Application for a §1915(c) Home and Community-Based Services Waiver

PURPOSE OF THE HCBS WAIVER PROGRAM

The Medicaid Home and Community-Based Services (HCBS) waiver program is authorized in §1915(c) of the Social Security Act. The program permits a State to furnish an array of home and community-based services that assist Medicaid beneficiaries to live in the community and avoid institutionalization. The State has broad discretion to design its waiver program to address the needs of the waiver's target population. Waiver services complement and/or supplement the services that are available to participants through the Medicaid State plan and other federal, state and local public programs as well as the supports that families and communities provide.

The Centers for Medicare & Medicaid Services (CMS) recognizes that the design and operational features of a waiver program will vary depending on the specific needs of the target population, the resources available to the State, service delivery system structure, State goals and objectives, and other factors. A State has the latitude to design a waiver program that is cost-effective and employs a variety of service delivery approaches, including participant direction of services.

Request for an Amendment to a §1915(c) Home and Community-Based Services Waiver

1. Request Information

A. The **State** of **California** requests approval for an amendment to the following Medicaid home and community-based services waiver approved under authority of §1915(c) of the Social Security Act.
B. **Program Title:**
HCBS Waiver for Californians with Developmental Disabilities
C. **Waiver Number:CA.0336**
Original Base Waiver Number: CA.0336.
D. **Amendment Number:CA.0336.R04.01**
E. **Proposed Effective Date:** *(mm/dd/yy)*
07/01/18
Approved Effective Date: 09/19/18
Approved Effective Date of Waiver being Amended: 01/01/18

2. Purpose(s) of Amendment

Purpose(s) of the Amendment. Describe the purpose(s) of the amendment:
The purpose of this amendment is to reflect a rate increase to Home Health Aide and Skilled Nursing Services in Appendix J, to align them with increases to Medi-Cal, as authorized by the 2018 Budget Act. The appropriation in the 2018 Budget Act will be applied to increase the payment rates for certified Home Health Aides, Licensed Vocational Nurses, and Registered Nurses. This does not result in a change to the rate methodology.

3. Nature of the Amendment

A. **Component(s) of the Approved Waiver Affected by the Amendment.** This amendment affects the following component(s) of the approved waiver. Revisions to the affected subsection(s) of these component(s) are being submitted concurrently *(check each that applies):*

Component of the Approved Waiver	Subsection(s)
☐ **Waiver Application**	
☐ **Appendix A – Waiver Administration and Operation**	
☐ **Appendix B – Participant Access and Eligibility**	

Component of the Approved Waiver	Subsection(s)
☐ Appendix C – Participant Services	
☐ Appendix D – Participant Centered Service Planning and Delivery	
☐ Appendix E – Participant Direction of Services	
☐ Appendix F – Participant Rights	
☐ Appendix G – Participant Safeguards	
☐ Appendix H	
☑ Appendix I – Financial Accountability	I-2-a
☑ Appendix J – Cost-Neutrality Demonstration	J-1, J-2

B. Nature of the Amendment. Indicate the nature of the changes to the waiver that are proposed in the amendment *(check each that applies):*

- ☐ **Modify target group(s)**
- ☐ **Modify Medicaid eligibility**
- ☐ **Add/delete services**
- ☐ **Revise service specifications**
- ☐ **Revise provider qualifications**
- ☐ **Increase/decrease number of participants**
- ☑ **Revise cost neutrality demonstration**
- ☐ **Add participant-direction of services**
- ☐ **Other**

Specify:

Application for a §1915(c) Home and Community-Based Services Waiver

1. Request Information (1 of 3)

A. The **State** of **California** requests approval for a Medicaid home and community-based services (HCBS) waiver under the authority of §1915(c) of the Social Security Act (the Act).

B. Program Title (*optional - this title will be used to locate this waiver in the finder*):
HCBS Waiver for Californians with Developmental Disabilities

C. Type of Request: amendment

Requested Approval Period:*(For new waivers requesting five year approval periods, the waiver must serve individuals who are dually eligible for Medicaid and Medicare.)*

○ **3 years** ◉ **5 years**

Original Base Waiver Number: CA.0336
Waiver Number:CA.0336.R04.01
Draft ID: CA.014.04.01

D. Type of Waiver *(select only one):*
Regular Waiver

E. Proposed Effective Date of Waiver being Amended: 01/01/18
Approved Effective Date of Waiver being Amended: 01/01/18

1. Request Information (2 of 3)

F. Level(s) of Care. This waiver is requested in order to provide home and community-based waiver services to individuals who, but for the provision of such services, would require the following level(s) of care, the costs of which would be reimbursed under the approved Medicaid State plan (*check each that applies*):

☐ **Hospital**

Select applicable level of care

○ **Hospital as defined in 42 CFR §440.10**

If applicable, specify whether the State additionally limits the waiver to subcategories of the hospital level of care:

○ **Inpatient psychiatric facility for individuals age 21 and under as provided in42 CFR §440.160**

☐ **Nursing Facility**

Select applicable level of care

○ **Nursing Facility as defined in 42 CFR ►►440.40 and 42 CFR ►►440.155**

If applicable, specify whether the State additionally limits the waiver to subcategories of the nursing facility level of care:

○ **Institution for Mental Disease for persons with mental illnesses aged 65 and older as provided in 42 CFR §440.140**

☑ **Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID) (as defined in 42 CFR §440.150)**

If applicable, specify whether the State additionally limits the waiver to subcategories of the ICF/IID level of care:

This waiver will serve individuals who, in the absence of this waiver, would require care in either an intermediate care facility for the developmentally disabled (ICF/DD), ICF/DD-H (habilitative) or ICF/DD-N (nursing.)

1. Request Information (3 of 3)

G. Concurrent Operation with Other Programs. This waiver operates concurrently with another program (or programs) approved under the following authorities

Select one:

◉ **Not applicable**

○ **Applicable**

Check the applicable authority or authorities:

☐ **Services furnished under the provisions of §1915(a)(1)(a) of the Act and described in Appendix I**

☐ **Waiver(s) authorized under §1915(b) of the Act.**

Specify the §1915(b) waiver program and indicate whether a §1915(b) waiver application has been submitted or previously approved:

Specify the §1915(b) authorities under which this program operates *(check each that applies):*

☐ **§1915(b)(1) (mandated enrollment to managed care)**

☐ **§1915(b)(2) (central broker)**

☐ **§1915(b)(3) (employ cost savings to furnish additional services)**

☐ **§1915(b)(4) (selective contracting/limit number of providers)**

☐ **A program operated under §1932(a) of the Act.**

Specify the nature of the State Plan benefit and indicate whether the State Plan Amendment has been submitted or previously approved:

☐ **A program authorized under §1915(i) of the Act.**

☐ **A program authorized under §1915(j) of the Act.**

☐ **A program authorized under §1115 of the Act.**

Specify the program:

H. Dual Eligiblity for Medicaid and Medicare.
Check if applicable:
☑ **This waiver provides services for individuals who are eligible for both Medicare and Medicaid.**

2. Brief Waiver Description

Brief Waiver Description. *In one page or less*, briefly describe the purpose of the waiver, including its goals, objectives, organizational structure (e.g., the roles of state, local and other entities), and service delivery methods.
California''s HCBS DD Waiver offers community-based services not otherwise available through a participant's Medicaid program. The purpose of the HCBS DD Waiver is to serve participants in their own homes and communities as an alternative to placing Medicaid-eligible individuals in intermediate care facilities for persons with developmental disabilities. The HCBS DD Waiver program recognizes that many individuals at risk of being placed in these facilities can be cared for in their homes and communities, preserving their independence and ties to family and friends at a cost no higher than that of institutional care.

Community-based services for individuals with developmental disabilities are provided through a statewide system of 21 private, non-profit corporations known as regional centers. Regional centers, as established by the Lanterman Developmental Disabilities Services Act, provide fixed points of contact in the community for persons with developmental disabilities and their families. Regional centers coordinate and/or provide community-based services to eligible individuals. The regional centers are community-based nonprofit corporations governed by volunteer Boards of Directors that include individuals with developmental disabilities, their families, a representative of the vendor community, and other defined community representatives.

Regional centers are funded through contracts with the Department of Developmental Services (DDS). They are responsible for the provision of outreach; intake, assessment, evaluation and diagnostic services; and case management/service coordination for persons with developmental disabilities and persons who are at risk of becoming developmentally disabled. In addition, regional centers are responsible for developing, maintaining, monitoring and funding a wide range of services and supports to implement the plans of care [or individual program plans (IPP)] for consumers. The IPPs are developed using a person-centered planning approach. Regional centers also conduct quality assurance activities in the community, and maintain and monitor a wide array of qualified service providers.

Regional centers are responsible for ensuring that eligible consumers who want to participate on the Waiver are enrolled, service providers meet the qualifications for providing Waiver services, IPPs are developed and monitored, consumer health and welfare is addressed and monitored, and financial accountability is assured.

DDS ensures, under the oversight of the Department of Health Care Services, the State Medicaid agency, that the HCBS Waiver is implemented by regional centers in accordance with Medicaid law and the State's approved Waiver application. The HCBS Waiver affords California the flexibility to develop and implement creative, community alternatives to institutions. California's HCBS Waiver services are available to regional center consumers who are Medicaid (Medi-Cal in California) eligible and meet the level of-care requirements for an intermediate care facility serving individuals with developmental disabilities.

California's first Home and Community-based Services Waiver for Californians with developmental disabilities was approved effective July 1982 with a total enrollment cap of 3,360. This Waiver application seeks to enroll up to 150,000 individuals in the federal fiscal year ending September 30, 2021.

3. Components of the Waiver Request

The waiver application consists of the following components. *Note: Item 3-E must be completed.*

A. Waiver Administration and Operation. Appendix A specifies the administrative and operational structure of this waiver.

B. **Participant Access and Eligibility. Appendix B** specifies the target group(s) of individuals who are served in this waiver, the number of participants that the State expects to serve during each year that the waiver is in effect, applicable Medicaid eligibility and post-eligibility (if applicable) requirements, and procedures for the evaluation and reevaluation of level of care.

C. **Participant Services. Appendix C** specifies the home and community-based waiver services that are furnished through the waiver, including applicable limitations on such services.

D. **Participant-Centered Service Planning and Delivery. Appendix D** specifies the procedures and methods that the State uses to develop, implement and monitor the participant-centered service plan (of care).

E. **Participant-Direction of Services.** When the State provides for participant direction of services, **Appendix E** specifies the participant direction opportunities that are offered in the waiver and the supports that are available to participants who direct their services. (*Select one*):

- (●) **Yes. This waiver provides participant direction opportunities.** *Appendix E is required.*
- ( ) **No. This waiver does not provide participant direction opportunities.** *Appendix E is not required.*

F. **Participant Rights. Appendix F** specifies how the State informs participants of their Medicaid Fair Hearing rights and other procedures to address participant grievances and complaints.

G. **Participant Safeguards. Appendix G** describes the safeguards that the State has established to assure the health and welfare of waiver participants in specified areas.

H. **Quality Improvement Strategy. Appendix H** contains the Quality Improvement Strategy for this waiver.

I. **Financial Accountability. Appendix I** describes the methods by which the State makes payments for waiver services, ensures the integrity of these payments, and complies with applicable federal requirements concerning payments and federal financial participation.

J. **Cost-Neutrality Demonstration. Appendix J** contains the State's demonstration that the waiver is cost-neutral.

4. Waiver(s) Requested

A. **Comparability.** The State requests a waiver of the requirements contained in §1902(a)(10)(B) of the Act in order to provide the services specified in **Appendix C** that are not otherwise available under the approved Medicaid State plan to individuals who: (a) require the level(s) of care specified in Item 1.F and (b) meet the target group criteria specified in **Appendix B**.

B. **Income and Resources for the Medically Needy.** Indicate whether the State requests a waiver of §1902(a)(10)(C)(i)(III) of the Act in order to use institutional income and resource rules for the medically needy *(select one)*:

- ( ) **Not Applicable**
- ( ) **No**
- (●) **Yes**

C. **Statewideness.** Indicate whether the State requests a waiver of the statewideness requirements in §1902(a)(1) of the Act *(select one)*:

- (●) **No**
- ( ) **Yes**

If yes, specify the waiver of statewideness that is requested *(check each that applies)*:

- [ ] **Geographic Limitation.** A waiver of statewideness is requested in order to furnish services under this waiver only to individuals who reside in the following geographic areas or political subdivisions of the State.
  Specify the areas to which this waiver applies and, as applicable, the phase-in schedule of the waiver by geographic area:
- [ ] **Limited Implementation of Participant-Direction.** A waiver of statewideness is requested in order to make *participant-direction of services* as specified in **Appendix E** available only to individuals who reside

in the following geographic areas or political subdivisions of the State. Participants who reside in these areas may elect to direct their services as provided by the State or receive comparable services through the service delivery methods that are in effect elsewhere in the State.
Specify the areas of the State affected by this waiver and, as applicable, the phase-in schedule of the waiver by geographic area:

5. Assurances

In accordance with 42 CFR §441.302, the State provides the following assurances to CMS:

A. Health & Welfare: The State assures that necessary safeguards have been taken to protect the health and welfare of persons receiving services under this waiver. These safeguards include:

1. As specified in **Appendix C**, adequate standards for all types of providers that provide services under this waiver;

2. Assurance that the standards of any State licensure or certification requirements specified in **Appendix C** are met for services or for individuals furnishing services that are provided under the waiver. The State assures that these requirements are met on the date that the services are furnished; and,

3. Assurance that all facilities subject to §1616(e) of the Act where home and community-based waiver services are provided comply with the applicable State standards for board and care facilities as specified in **Appendix C**.

B. Financial Accountability. The State assures financial accountability for funds expended for home and community-based services and maintains and makes available to the Department of Health and Human Services (including the Office of the Inspector General), the Comptroller General, or other designees, appropriate financial records documenting the cost of services provided under the waiver. Methods of financial accountability are specified in **Appendix I**.

C. Evaluation of Need: The State assures that it provides for an initial evaluation (and periodic reevaluations, at least annually) of the need for a level of care specified for this waiver, when there is a reasonable indication that an individual might need such services in the near future (one month or less) but for the receipt of home and community-based services under this waiver. The procedures for evaluation and reevaluation of level of care are specified in **Appendix B**.

D. Choice of Alternatives: The State assures that when an individual is determined to be likely to require the level of care specified for this waiver and is in a target group specified in **Appendix B**, the individual (or, legal representative, if applicable) is:

1. Informed of any feasible alternatives under the waiver; and,

2. Given the choice of either institutional or home and community-based waiver services. **Appendix B** specifies the procedures that the State employs to ensure that individuals are informed of feasible alternatives under the waiver and given the choice of institutional or home and community-based waiver services.

E. Average Per Capita Expenditures: The State assures that, for any year that the waiver is in effect, the average per capita expenditures under the waiver will not exceed 100 percent of the average per capita expenditures that would have been made under the Medicaid State plan for the level(s) of care specified for this waiver had the waiver not been granted. Cost-neutrality is demonstrated in **Appendix J**.

F. Actual Total Expenditures: The State assures that the actual total expenditures for home and community-based waiver and other Medicaid services and its claim for FFP in expenditures for the services provided to individuals under the waiver will not, in any year of the waiver period, exceed 100 percent of the amount that would be incurred in the absence of the waiver by the State's Medicaid program for these individuals in the institutional setting(s) specified for this waiver.

G. **Institutionalization Absent Waiver:** The State assures that, absent the waiver, individuals served in the waiver would receive the appropriate type of Medicaid-funded institutional care for the level of care specified for this waiver.

H. **Reporting:** The State assures that annually it will provide CMS with information concerning the impact of the waiver on the type, amount and cost of services provided under the Medicaid State plan and on the health and welfare of waiver participants. This information will be consistent with a data collection plan designed by CMS.

I. **Habilitation Services.** The State assures that prevocational, educational, or supported employment services, or a combination of these services, if provided as habilitation services under the waiver are: (1) not otherwise available to the individual through a local educational agency under the Individuals with Disabilities Education Act (IDEA) or the Rehabilitation Act of 1973; and, (2) furnished as part of expanded habilitation services.

J. **Services for Individuals with Chronic Mental Illness.** The State assures that federal financial participation (FFP) will not be claimed in expenditures for waiver services including, but not limited to, day treatment or partial hospitalization, psychosocial rehabilitation services, and clinic services provided as home and community-based services to individuals with chronic mental illnesses if these individuals, in the absence of a waiver, would be placed in an IMD and are: (1) age 22 to 64; (2) age 65 and older and the State has not included the optional Medicaid benefit cited in 42 CFR §440.140; or (3) age 21 and under and the State has not included the optional Medicaid benefit cited in 42 CFR § 440.160.

6. Additional Requirements

Note: Item 6-I must be completed.

A. **Service Plan**. In accordance with 42 CFR §441.301(b)(1)(i), a participant-centered service plan (of care) is developed for each participant employing the procedures specified in **Appendix D**. All waiver services are furnished pursuant to the service plan. The service plan describes: (a) the waiver services that are furnished to the participant, their projected frequency and the type of provider that furnishes each service and (b) the other services (regardless of funding source, including State plan services) and informal supports that complement waiver services in meeting the needs of the participant. The service plan is subject to the approval of the Medicaid agency. Federal financial participation (FFP) is not claimed for waiver services furnished prior to the development of the service plan or for services that are not included in the service plan.

B. **Inpatients**. In accordance with 42 CFR §441.301(b)(1)(ii), waiver services are not furnished to individuals who are in-patients of a hospital, nursing facility or ICF/IID.

C. **Room and Board**. In accordance with 42 CFR §441.310(a)(2), FFP is not claimed for the cost of room and board except when: (a) provided as part of respite services in a facility approved by the State that is not a private residence or (b) claimed as a portion of the rent and food that may be reasonably attributed to an unrelated caregiver who resides in the same household as the participant, as provided in **Appendix I**.

D. **Access to Services**. The State does not limit or restrict participant access to waiver services except as provided in **Appendix C**.

E. **Free Choice of Provider**. In accordance with 42 CFR §431.151, a participant may select any willing and qualified provider to furnish waiver services included in the service plan unless the State has received approval to limit the number of providers under the provisions of §1915(b) or another provision of the Act.

F. **FFP Limitation**. In accordance with 42 CFR §433 Subpart D, FFP is not claimed for services when another third-party (e.g., another third party health insurer or other federal or state program) is legally liable and responsible for the provision and payment of the service. FFP also may not be claimed for services that are available without charge, or as free care to the community. Services will not be considered to be without charge, or free care, when (1) the provider establishes a fee schedule for each service available and (2) collects insurance information from all those served (Medicaid, and non-Medicaid), and bills other legally liable third party insurers. Alternatively, if a provider certifies that a particular legally liable third party insurer does not pay for the service(s), the provider may not generate further bills for that insurer for that annual period.

G. **Fair Hearing:** The State provides the opportunity to request a Fair Hearing under 42 CFR §431 Subpart E, to individuals: (a) who are not given the choice of home and community-based waiver services as an alternative to institutional level of care specified for this waiver; (b) who are denied the service(s) of their choice or the provider(s)

of their choice; or (c) whose services are denied, suspended, reduced or terminated. **Appendix F** specifies the State's procedures to provide individuals the opportunity to request a Fair Hearing, including providing notice of action as required in 42 CFR §431.210.

H. Quality Improvement. The State operates a formal, comprehensive system to ensure that the waiver meets the assurances and other requirements contained in this application. Through an ongoing process of discovery, remediation and improvement, the State assures the health and welfare of participants by monitoring: (a) level of care determinations; (b) individual plans and services delivery; (c) provider qualifications; (d) participant health and welfare; (e) financial oversight and (f) administrative oversight of the waiver. The State further assures that all problems identified through its discovery processes are addressed in an appropriate and timely manner, consistent with the severity and nature of the problem. During the period that the waiver is in effect, the State will implement the Quality Improvement Strategy specified in **Appendix H**.

I. Public Input. Describe how the State secures public input into the development of the waiver:
Public input was sought by making the draft Waiver application available for comment. The application was posted on the Department of Developmental Services' (DDS) internet site on November 10, 2016, accompanied by an announcement published in the California Regulatory Notice Register on November 11th. The public comment period ran through December 11, 2016. People were able to make public comment via regular mail, email, or by telephone. During the comment period, the Department received one set of both written and verbal comments.

As a result of the public comments received, the waiver application was revised to include incentive payments for providers who assist individuals with developmental disabilities to obtain and retain competitive integrated employment. Additionally, the waiver application was revised to include Enhanced Behavioral Supports Homes as a new provider type under Community Living Arrangement Services.
Below is a summary of other comments received:

Comments concerning the timeline and process of the HCBS settings rules as it pertains to the Statewide Transition Plan. As the comments acknowledge, these recommendations may be addressed through the Statewide Transition Plan.

Recommendation to include a community-based vocational development service as proposed in state law. However, due to geographical limitations for this service in the state law, it has been determined that this service cannot be included as part of this waiver. The state will work with CMS to explore other options for obtaining federal funding.

Comment to show support and appreciation for the addition of Housing Access Services with this waiver renewal.

The state received approval for no notice to tribal governments and/or organizations as this renewal did not have a direct impact on their members.

J. Notice to Tribal Governments. The State assures that it has notified in writing all federally-recognized Tribal Governments that maintain a primary office and/or majority population within the State of the State's intent to submit a Medicaid waiver request or renewal request to CMS at least 60 days before the anticipated submission date is provided by Presidential Executive Order 13175 of November 6, 2000. Evidence of the applicable notice is available through the Medicaid Agency.

K. Limited English Proficient Persons. The State assures that it provides meaningful access to waiver services by Limited English Proficient persons in accordance with: (a) Presidential Executive Order 13166 of August 11, 2000 (65 FR 50121) and (b) Department of Health and Human Services "Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons" (68 FR 47311 - August 8, 2003). **Appendix B** describes how the State assures meaningful access to waiver services by Limited English Proficient persons.

7. Contact Person(s)

A. The Medicaid agency representative with whom CMS should communicate regarding the waiver is:

Last Name:

Joseph

First Name:

Billingsley

Title:

Long-Term Care Division

Agency:

Department of Health Care Services

Address:

1501 Capitol Ave, MS 4503

Address 2:

P.O. Box 997413, MS 0000

City:

Sacramento

State: **California**

Zip:

95899-7413

Phone:

(916) 750-1876 **Ext:** ☐ **TTY**

Fax:

(916) 440-5720

E-mail:

Joseph.Billingsley@dhcs.ca.gov

B. If applicable, the State operating agency representative with whom CMS should communicate regarding the waiver is:

Last Name:

Powell

First Name:

Carie

Title:

Chief, Federal Programs Operations Section

Agency:

Department of Developmental Services

Address:

1600 Ninth Street, MS 3-8

Address 2:

City:

Sacramento

State: **California**

Zip:

95814

Phone:

(916) 654-2300 **Ext:** ☐ **TTY**

Fax:

(916) 654-3256

E-mail:

Carie.powell@dds.ca.gov

8. Authorizing Signature

This document, together with the attached revisions to the affected components of the waiver, constitutes the State's request to amend its approved waiver under §1915(c) of the Social Security Act. The State affirms that it will abide by all provisions of the waiver, including the provisions of this amendment when approved by CMS. The State further attests that it will continuously operate the waiver in accordance with the assurances specified in Section V and the additional requirements specified in Section VI of the approved waiver. The State certifies that additional proposed revisions to the waiver request will be submitted by the Medicaid agency in the form of additional waiver amendments.

Signature: MARI CANTWELL

State Medicaid Director or Designee

Submission Date: Sep 11, 2018

Note: The Signature and Submission Date fields will be automatically completed when the State Medicaid Director submits the application.

Last Name: Cantwell

First Name: Mari

Title: Medicaid Director

Agency: Department of Health Care Services

Address: 1501 Capitol Ave, Ste. 6000

Address 2: PO Box 997413, MS 0000

City: Sacramento

State: **California**

Zip: 95899-7413

Phone: (916) 440-7400 **Ext:** ☐ **TTY**

Fax: (916) 440-7404

E-mail: mari.cantwell@dhcs.ca.gov

Attachments

Attachment #1: Transition Plan
Check the box next to any of the following changes from the current approved waiver. Check all boxes that apply.

- ☐ **Replacing an approved waiver with this waiver.**
- ☐ **Combining waivers.**
- ☐ **Splitting one waiver into two waivers.**
- ☐ **Eliminating a service.**
- ☐ **Adding or decreasing an individual cost limit pertaining to eligibility.**
- ☐ **Adding or decreasing limits to a service or a set of services, as specified in Appendix C.**
- ☐ **Reducing the unduplicated count of participants (Factor C).**
- ☐ **Adding new, or decreasing, a limitation on the number of participants served at any point in time.**
- ☐ **Making any changes that could result in some participants losing eligibility or being transferred to another waiver under 1915(c) or another Medicaid authority.**
- ☐ **Making any changes that could result in reduced services to participants.**

Specify the transition plan for the waiver:

N/A

Attachment #2: Home and Community-Based Settings Waiver Transition Plan
Specify the state's process to bring this waiver into compliance with federal home and community-based (HCB) settings requirements at 42 CFR 441.301(c)(4)-(5), and associated CMS guidance.
Consult with CMS for instructions before completing this item. This field describes the status of a transition process at the point in time of submission. Relevant information in the planning phase will differ from information required to describe attainment of milestones.
To the extent that the state has submitted a statewide HCB settings transition plan to CMS, the description in this field may reference that statewide plan. The narrative in this field must include enough information to demonstrate that this waiver complies with federal HCB settings requirements, including the compliance and transition requirements at 42 CFR 441.301 (c)(6), and that this submission is consistent with the portions of the statewide HCB settings transition plan that are germane to this waiver. Quote or summarize germane portions of the statewide HCB settings transition plan as required.
Note that Appendix C-5 HCB Settings describes settings that do not require transition; the settings listed there meet federal HCB setting requirements as of the date of submission. Do not duplicate that information here.
Update this field and Appendix C-5 when submitting a renewal or amendment to this waiver for other purposes. It is not necessary for the state to amend the waiver solely for the purpose of updating this field and Appendix C-5. At the end of the state's HCB settings transition process for this waiver, when all waiver settings meet federal HCB setting requirements, enter "Completed" in this field, and include in Section C-5 the information on all HCB settings in the waiver.

The state assures that this waiver amendment will be subject to any provisions or requirements included in the state's most recent and/or approved home and community-based settings Statewide Transition Plan. The state will implement any required changes by the end of the transition period as outlined in the home and community-based settings Statewide Transition Plan."

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

CONTINUATION OF I-2(a) RATE DETERMINATION METHODS:

b) The calculation for the range of rates for each service category is described below.
• The mean of rates of all like service providers is determined by adding the rates calculated in a) above for all vendors and dividing the sum of these rates by the total number of providers.
• The mean is then multiplied by 50 percent to determine the range. This range is then compared to the range determined for like services in fiscal year 1991-1992 (base year), and adjusted for any COLA. The lower of these two ranges is then divided by two and used for further calculations. The upper limit is determined by adding the amount calculated in the step above to the mean. Conversely, the lower limit is determined by subtracting the amount calculated in the step above from

the mean.

2) The median rate setting methodology – This methodology, as defined previously, is used to determine the applicable daily rate for Creative Art Program, Community Integration Program and Community Activities Support Program providers. This methodology is also used to determine the applicable hourly rate for Adaptive Skills Trainer, Socialization Training Program, Personal Assistance and Independent Living Specialist providers.
B. Therapeutic/Activity-Based Day Services – The providers in this subcategory are Specialized Recreation Therapy, Special Olympics, Sports Club, Art Therapist, Dance Therapist, Music Therapist and Recreational Therapist. There are two rate setting methodologies for providers in this subcategory. If the provider does not have a "usual and customary" rate, then the maximum rate is established using the median rate setting methodology. Usual and customary and median rate are defined previously.
C. Mobility Related Day Services – The providers in this subcategory are Driver Trainer, Mobility Training Services Agency and Mobility Training Services Individual. There are two rate setting methodologies for providers in this subcategory. If the provider does not have a "usual and customary" rate, then the maximum rate is established using the median rate setting methodology. Usual and customary and median rate are defined previously.

Home Health Aide
Funding was authorized in the 2018 Budget Act to increase the rates for Home Health Aide and Skilled Nursing services provided under this Waiver, to align with separate increases to Medi-Cal rates for home health services authorized by Senate Bill 856 (Stats. 2018, ch. 30, § 44, Item 4260-101-3305). The increase will be applied to increase the payment rates for certified Home Health Aides, Licensed Vocational Nurses, and Registered Nurses. These increases do not result in a change to the rate methodology.

Most adjustments to rates are tied to the annual HCPCS process (which may adjust codes/rates across multiple services and provider types), or other state/federal authorized/mandated adjustments. DHCS develops a policy justification for rate changes, outlines authorities relevant and needed to adjust the rates, and works with the FI to update rates. The maximum rates for home health aides are based on the "Schedule of Maximum Allowances (SMA)", as defined previously.

Homemaker
There are two rate setting methodologies for homemakers. If the provider does not have a "usual and customary" rate, then the maximum rate is established using the median rate setting methodology. Usual and customary and median rates are defined previously.

Prevocational Services
There are two rate setting methodologies for providers in this subcategory.

1)Work Activity Program provider rates are set via cost statement. Prior to 7/1/06, newly vendored providers received the "new vendor" rate until a cost statement rate, not exceeding the maximum amount, was established as described below. Effective July 1, 2016, rates increased for the purpose of enhancing wages and benefits for provider staff who spend 75 percent of their time providing direct services for consumers as well as administrative expenses for service providers.

2)Supported Employment Group providers are set in State statute [Welfare and Institutions Code Section 4860(a) (1)] in conjunction with the increases authorized in Sections 4961.10 and 4961.11] at $36.57 per job coach hour effective July 1, 2016. Incentive payments will be paid to service providers as referenced in WIC 4870(d).

The costs used to calculate the daily rate are based on actual allowable costs in a historical period of at least three months ending no later than March 31 preceding the payment year for which the rate is being established. Only costs attributable to the provision of the work activity program service are included. The following information is used to calculate the rate:
• Staff salaries and wages (direct service and administrative)
• Fringe benefit costs (for staff identified above)
• Operating expenses
The total of the allowable costs is then divided by the days of actual consumer attendance to determine the rate per consumer. If the calculated rate exceeds the maximum allowable rate, the provider's rate shall be reduced to the maximum for the provider's size. (The maximum allowable rate is set as the mean plus one standard deviation for each size grouping of providers.)

Respite Care
There are two subcategories for this service.

A. In-Home Respite Care – There are two rate setting methodologies for providers in this subcategory.
1) Rates set in State regulation – This applies to individual respite providers. Per Title 17, CCR, Section 57332(c)(3), effective July 1, 2016, the current rate for this service is $15.23 per hour. This rate is based on the current California minimum wage of $10.00 per hour, effective January 1, 2016, plus $1.17 differential (retention incentive), plus mandated employer costs of 17.28%; a 5% rate increase for respite services per Assembly Bill (AB) X2-1, effective July 1, 2016; and an 11.25% rate increase for enhancing wages and benefits for staff who spend 75% of their time providing direct services to consumers per ABX2-1, effective July 1, 2016.

2) Rates set pursuant to a cost statement (as defined previously under "Day Services") – This methodology applies to In-Home Respite Service Agency providers.
B. Out-of-Home Respite Care – There are three rate setting methodologies for providers in this subcategory.
1) Rates based on the Alternative Residential Model (ARM defined previously under Community Living Arrangements) – This methodology applies to residential facilities with established ARM rates that also provide respite. Per Title 17, CCR, Section 57332(c)(6), the respite rate is 1/21 of the established monthly ARM rate.
2) The usual and customary rate methodology – This methodology, as defined previously, applies to adult day care and camping services providers.
3) Median rate setting methodology – This methodology, as defined previously is applicable the providers listed in #2 above who do not have a usual and customary rate. In these instances, the maximum rate is established using the median rate setting methodology.

Family Support Services
There are two rate setting methodologies for this service. If the provider does not have a "usual and customary," then the maximum rate is set using the median rate setting methodology. Usual and customary and median rates are defined previously.

Supported Employment (Individual)
Supported employment rates for all providers are set in State statute [Welfare and Institutions Code Section 4860(a) (1)] in conjunction with the increases authorized in Sections 4961.10 and 4961.11] at $36.57 per job coach hour effective July 1, 2016. Incentive payments will be paid to service providers as referenced in WIC 4870(d).

Speech, Hearing Language Services
There are two rate setting methodologies to determine the hourly rates for providers in this subcategory.
1. Schedule Maximum Allowance (SMA) – as defined previously.
2. Median Rate Methodology – the median rate (as defined previously) may be used if the provider has at least one year experience working with persons with developmental disabilities.

Dental Services
There are two rate setting methodologies to determine the hourly rates for providers in this subcategory.
1. Schedule Maximum Allowance (SMA) – as defined previously.
2. Median Rate Methodology – the median rate (as defined previously) may be used if the provider has at least one year experience working with persons with developmental disabilities.

Optometric/Optician Services
The maximum rates for this service are based on the SMA, as defined previously.

Prescription Lenses and Frames
The maximum rates for this service are based on the SMA, as defined previously.

Psychology Services
There are two rate setting methodologies to determine the hourly rates for providers in this subcategory.
1. Schedule Maximum Allowance (SMA) – as defined previously.
2. Median Rate Methodology – the median rate (as defined previously) may be used if the provider has at least one year experience working with persons with developmental disabilities.

Occupational Therapy
There are two rate setting methodologies to determine the hourly rates for providers in this subcategory.
1. Schedule Maximum Allowance (SMA) – as defined previously.
2. Median Rate Methodology – the median rate (as defined previously) may be used if the provider has at least one year experience working with persons with developmental disabilities.

Physical Therapy
There are two rate setting methodologies to determine the hourly rates for providers in this subcategory.
1. Schedule Maximum Allowance (SMA) – as defined previously.
2. Median Rate Methodology – the median rate (as defined previously) may be used if the provider has at least one year experience working with persons with developmental disabilities.

Family/Consumer Training
There are two rate setting methodologies to determine the hourly rates for providers in this subcategory.
1.Schedule Maximum Allowance (SMA) – as defined previously.
2.Median Rate Methodology – the median rate (as defined previously) may be used if the provider has at least one year experience working with persons with developmental disabilities.

Chore Services
The rates for chore services providers are determined utilizing the usual and customary rate methodology, as previously defined.

Community-Based Training Service
The maximum rate for this service is set in pursuant to State statute [Welfare and Institutions Code Section 4688.21(c)(7), in conjunction with the increases authorized in Sections 4961.10 and 4961.11] at $14.99 per hour effective July 1, 2016.

Communication Aides
There are two rate setting methodologies for all communication aides providers. If the provider does not have a "usual and customary" rate (U&C), then the maximum rate is established using the median rate setting methodology. U&C and median rate are defined previously.

Environmental Accessibility Adaptations
The rates for contractors providing this service are determined utilizing the U&C rate methodology, as previously defined.

Financial Management Services (FMS)
Rates for FMS are set in State regulation, Title 17, CCR, Section 58888(b), in conjunction with the increases authorized by State statute [Welfare and Institutions Code Section 4691.10] The rates range from $45.88 to $96.86 per month depending on the number of participant directed services used.

Non-Medical Transportation
There are three rate setting methodologies for this service:
1) The U&C rate methodology – This methodology, as defined previously, applies to transportation assistants and public transit authorities.
2) Median rate setting methodology – This methodology, as defined previously is used to establish the maximum rate for the following providers; transportation company, transportation-additional component and transportation broker. In addition, effective July 1, 2016, these rates were increased by 5 percent.
3) Rate based on regional center employee travel reimbursement – The maximum rate paid to individual transportation providers is established as the travel rate paid by the regional center to its own employees.

Nutritional Consultation
The rates for nutritional consultation providers are determined utilizing the U&C rate methodology, as previously defined.

Personal Emergency Response Systems (PERS)
The rates for PERS providers are determined utilizing the U&C rate methodology, as previously defined.

Skilled Nursing
Funding was authorized in the 2018 Budget Act to increase the rates for Home Health Aide and Skilled Nursing services provided under this Waiver, to align with separate increases to Medi-Cal rates for home health services authorized by Senate Bill 856 (Stats. 2018, ch. 30, § 44, Item 4260-101-3305). The increase will be applied to increase the payment rates for certified Home Health Aides, Licensed Vocational Nurses, and Registered Nurses. These increases do not result in a change to the rate methodology.

The maximum rates for this service are based on the SMA, as defined previously.

Specialized Medical Equipment and Supplies
The maximum rates for this service are based on the SMA, as defined previously.

Transition/Set-Up Expenses
The rates for transition/set-up expenses are determined utilizing the U&C rate methodology, as previously defined.

Vehicle Modifications and Adaptations
The rates for vehicle modifications and adaptations are determined utilizing the U&C rate methodology, as previously defined.

Housing Access Services- The rate for Housing Access Service is determined utilizing the U&C rate methodology as previously defined.
Rate determination methodologies are set in State statute and/or by regulations. The Legislature conducts hearings that are open to the public and allow for public comment prior to amending state law. Prior to finalization of any proposed regulation, interested stakeholders have the opportunity to provide comment on proposed regulations during the 45-day comment period. Stakeholders are notified of the proposed regulatory change in the following manner; by direct notification by the State agency, publication of the proposed change in regulation in the California Regulatory Notice Register, and publication on the agency's website.

The state makes service provider rate information available to the public on the Department of Developmental Disabilities website: http://www.dds.ca.gov/Rates/ReimbRates.cfm

As required by recent statute, the Department is in the process of conducting a rate study addressing the sustainability, quality, and transparency of community-based services for individuals with developmental disabilities. The study will include an assessment of the effectiveness of the methods used to pay each category of community service provider. This assessment will also include consideration of the following factors:
• whether the current method of rate setting for a service category provides an adequate supply of providers in that category, including, but not limited to,
whether there is a sufficient supply of providers to enable consumers throughout the state to have a choice of providers, depending upon the nature of the
service;
• a comparison of the estimated fiscal effects of alternative rate methodologies; and
• how different rate methodologies can incentivize outcomes for consumers.

Appendix A: Waiver Administration and Operation

1. **State Line of Authority for Waiver Operation.** Specify the state line of authority for the operation of the waiver (*select one*):

   ○ **The waiver is operated by the State Medicaid agency.**

   Specify the Medicaid agency division/unit that has line authority for the operation of the waiver program *(select one)*:

   ○ **The Medical Assistance Unit.**

   Specify the unit name:

   (Do not complete item A-2)

   ○ **Another division/unit within the State Medicaid agency that is separate from the Medical Assistance Unit.**

   Specify the division/unit name. This includes administrations/divisions under the umbrella agency that has been identified as the Single State Medicaid Agency.

   (Complete item A-2-a).

◉ **The waiver is operated by a separate agency of the State that is not a division/unit of the Medicaid agency.**

Specify the division/unit name:
California Department of Developmental Services

In accordance with 42 CFR §431.10, the Medicaid agency exercises administrative discretion in the administration and supervision of the waiver and issues policies, rules and regulations related to the waiver. The interagency agreement or memorandum of understanding that sets forth the authority and arrangements for this policy is available through the Medicaid agency to CMS upon request. *(Complete item A-2-b).*

Appendix A: Waiver Administration and Operation

2. **Oversight of Performance.**

   a. **Medicaid Director Oversight of Performance When the Waiver is Operated by another Division/Unit within the State Medicaid Agency.** When the waiver is operated by another division/administration within the umbrella agency designated as the Single State Medicaid Agency. Specify (a) the functions performed by that division/administration (i.e., the Developmental Disabilities Administration within the Single State Medicaid Agency), (b) the document utilized to outline the roles and responsibilities related to waiver operation, and (c) the methods that are employed by the designated State Medicaid Director (in some instances, the head of umbrella agency) in the oversight of these activities:
   As indicated in section 1 of this appendix, the waiver is not operated by another division/unit within the State Medicaid agency. Thus this section does not need to be completed.

   b. **Medicaid Agency Oversight of Operating Agency Performance.** When the waiver is not operated by the Medicaid agency, specify the functions that are expressly delegated through a memorandum of understanding (MOU) or other written document, and indicate the frequency of review and update for that document. Specify the methods that the Medicaid agency uses to ensure that the operating agency performs its assigned waiver operational and administrative functions in accordance with waiver requirements. Also specify the frequency of Medicaid agency assessment of operating agency performance:
   The Department of Health Care Services (DHCS) is the California Medicaid Agency. DHCS has established an Interagency Agreement (IA) with the Department of Developmental Services (DDS), as the Organized Health Care Delivery System to administer the HCBS Waiver for persons with developmental disabilities (2012-2017) and the current waiver renewal request (control #0336; March 29, 2017 – March 28, 2022).
   The IA specifies the functions to be performed by both DHCS and DDS to ensure the administration of the waiver; the cost allocation plan; and the transfer of federal funds to DDS. The IA additionally specifies the oversight activities of DHCS, as well as billing and payment responsibilities of DHCS and DDS. The IA is reviewed annually and updated, as needed.
   DHCS exercises administrative oversight, on an ongoing and/or as-needed basis (unless otherwise specified), in the administration and supervision of the Waiver and reviews the performance of DDS in operating the Waiver as follows:
   1. Reviews and approves Waiver manuals, program advisories, technical letters and any other policies, procedures, rules or regulations that DHCS may identify as specific to the Waiver.
   2. Ensures the technical compliance and correctness of the IA between DHCS and DDS and any subsequent related subcontracts.
   3. Prepares required annual Waiver reports, i.e., CMS 372.
   4. Reviews, negotiates and approves amendment requests for the IA.
   5. Develops documents and guidelines that are used for monitoring fiscal and programmatic elements of the IA.
   6. Coordinates with DDS in the administration of the Waiver Biennial Monitoring Protocol. The Protocol specifies the performance monitoring, analysis and evaluation of the regional centers. The on-site monitoring reviews are conducted by DDS, and when necessary, in collaboration with DHCS.
   7. Monitors DDS follow-up to ensure that areas of non-compliance discovered during monitoring reviews of the regional centers are remediated.
   8. Conducts follow-up reviews with DDS as necessary, to determine if the areas of non-compliance have been corrected. The scope of the follow-up review is based upon the nature and extent of the areas of noncompliance.

9. Retains the authority to conduct independent focused reviews (announced and unannounced) to investigate DDS follow-up on significant special incident reports. Selection criteria may include, but is not limited to, severity of the event, unusual nature of circumstances, participant/advocate complaints or Centers for Medicare & Medicaid Services (CMS) concerns/requests for investigation.
10. Retains the authority to initiate a full-scope monitoring review in addition to routine monitoring reviews when: (a) there is a failure of fiscal audit; (b) there is a lack of response to a corrective action plan; (c) in the course of a monitoring review, DHCS or DDS needs assistance from other departmental branches; or (d) DHCS elects to conduct a full scale review based on evidence of inadequate case management and or poor fiscal management by regional center.
11. Exercise oversight of Waiver operations by quarterly reviewing the performance data compiled through the Waiver QMS. Through the Quality Management Executive Committee, DHCS collaborates with DDS in setting priorities for the Waiver quality improvement, in developing, implementing and monitoring remedial (system improvement) strategies; evaluating the effectiveness of interventions; and evaluating the effectiveness of the Waiver QMS.
12. DHCS exercises ongoing financial administration of the Waiver as follows:
a. Monitors DDS compliance with fiscal provisions specified in the IA regarding audits of regional center.
b. Reviews DDS audit protocol to ensure compliance with the Waiver and to ensure that DDS audits of regional centers are performed in accordance with established protocols and meet Generally Accepted Governmental Auditing Standards (GAGAS) requirements.
c. Reviews DDS regional center audit working papers on a sample basis and attends entrance and exit conferences of selected regional center audits.
d. DHCS reviews DDS audits of regional centers. These audits are designed to “wrap around” the independent CPA audit to ensure comprehensive financial accountability.
e. DHCS reviews DDS fiscal reviews of service providers and vendors as specified in the Waiver and the IA.
f. Refer and follow up on any program integrity issues that are identified as a result of oversight activities to DHCS, DDS for follow up, DDS Audits and DHCS for information.
g. Issues an annual report to the DHCS director and to CMS that summarizes oversight functions performed. A copy of the annual report is submitted to the DDS Director.
A copy of the interagency agreement setting forth the authority and arrangements for this policy is on file at the Medicaid agency.

Appendix A: Waiver Administration and Operation

3. **Use of Contracted Entities.** Specify whether contracted entities perform waiver operational and administrative functions on behalf of the Medicaid agency and/or the operating agency (if applicable) (*select one*):

   ○ **Yes. Contracted entities perform waiver operational and administrative functions on behalf of the Medicaid agency and/or operating agency (if applicable).**
   Specify the types of contracted entities and briefly describe the functions that they perform. *Complete Items A-5 and A-6.:*

   ◉ **No. Contracted entities do not perform waiver operational and administrative functions on behalf of the Medicaid agency and/or the operating agency (if applicable).**

Appendix A: Waiver Administration and Operation

4. **Role of Local/Regional Non-State Entities.** Indicate whether local or regional non-state entities perform waiver operational and administrative functions and, if so, specify the type of entity (*Select One*):

   ○ **Not applicable**
   ◉ **Applicable** - Local/regional non-state agencies perform waiver operational and administrative functions. Check each that applies:
   ☐ **Local/Regional non-state public agencies** perform waiver operational and administrative functions at the local or regional level. There is an **interagency agreement or memorandum of understanding** between the State and these agencies that sets forth responsibilities and performance requirements for these agencies that is available through the Medicaid agency.

Specify the nature of these agencies and complete items A-5 and A-6:

☑ **Local/Regional non-governmental non-state entities** conduct waiver operational and administrative functions at the local or regional level. There is a contract between the Medicaid agency and/or the operating agency (when authorized by the Medicaid agency) and each local/regional non-state entity that sets forth the responsibilities and performance requirements of the local/regional entity. The **contract(s)** under which private entities conduct waiver operational functions are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Specify the nature of these entities and complete items A-5 and A-6:

Community-based services for individuals with developmental disabilities are provided through a statewide system of 21 private, non-profit corporations known as regional centers. Regional centers, as established by the Lanterman Developmental Disabilities Services Act, provide fixed points of contact in the community for persons with developmental disabilities and their families. Regional centers coordinate and/or provide community-based services to eligible individuals. The regional centers are community-based nonprofit corporations governed by volunteer Boards of Directors that include individuals with developmental disabilities, their families, a representative of the vendor community, and other defined community representatives.

Regional centers are funded through contracts with the Department of Developmental Services (DDS). They are responsible for the provision of outreach; intake, assessment, evaluation and diagnostic services; and case management/service coordination for persons with developmental disabilities and persons who are at risk of becoming developmentally disabled. In addition, regional centers are responsible for developing, maintaining, monitoring and funding a wide range of services and supports to implement the plans of care [or individual program plans (IPP)] for consumers. The IPPs are developed using a person-centered planning approach. Regional centers also conduct quality assurance activities in the community, and maintain and monitor a wide array of qualified service providers.

Regional centers are responsible for ensuring that eligible consumers who want to participate on the Waiver are enrolled, service providers meet the qualifications for providing Waiver services, individual program plans are developed and monitored, consumer health and welfare is addressed and monitored, and financial accountability is assured.

The vendorization process is the process for identification, selection, and utilization of service providers based on the qualifications and other requirements necessary in order to provide services. The vendorization process allows regional centers to verify, prior to the provision of services to individuals, that a provider applicant meets all of the requirements and standards specified in regulations.

The regional center is responsible for ensuring that the applicant meets licensing, certification, education, staffing and other Title 17 requirements for vendorization and approving vendorization based upon their review of the documentation submitted by the applicant.

California protection & advocacy organization, Disability Rights California (DRC), does not provide operational or administrative functions at the local or regional level. All individuals who receive services through regional centers have access to independent advocacy provided by the Office of Client's Rights Advocacy (OCRA), which is within DRC.

DDS ensures, under the oversight of the Department of Health Care Services, the State Medicaid agency, that the HCBS Waiver is implemented by regional centers in accordance with Medicaid law and the State's approved Waiver application. The HCBS Waiver affords California the flexibility to develop and implement creative, community alternatives to institutions. California's HCBS Waiver services are available to regional center consumers who are Medicaid (Medi-Cal in California) eligible and meet the level of-care requirements for an intermediate care facility serving individuals with developmental disabilities.

Appendix A: Waiver Administration and Operation

5. **Responsibility for Assessment of Performance of Contracted and/or Local/Regional Non-State Entities.** Specify the state agency or agencies responsible for assessing the performance of contracted and/or local/regional non-state entities in conducting waiver operational and administrative functions:
It is DDS' responsibility to ensure, with the oversight of DHCS, that the waiver is implemented by regional centers in accordance with Medicaid statute and regulation.

Appendix A: Waiver Administration and Operation

6. **Assessment Methods and Frequency.** Describe the methods that are used to assess the performance of contracted and/or local/regional non-state entities to ensure that they perform assigned waiver operational and administrative functions in accordance with waiver requirements. Also specify how frequently the performance of contracted and/or local/regional non-state entities is assessed:
DHCS and DDS perform operational oversight and monitoring of regional center DD Waiver operational performance through fiscal compliance audits and program policy compliance. When taken together, the oversight and monitoring methods test all six assurances.

Audits and Financial Accountability:
DDS performs fiscal compliance audits of each regional center no less than every two years, and completes follow-up reviews of each regional center in alternate years. DDS will continue to require regional centers to contract with independent auditors to conduct an annual audit. The DDS audit is designed to "wrap around" the required independent CPA audit to ensure comprehensive financial accountability.

DDS coordinates its activities with DHCS Audits and Investigations, who review DDS' audit reports of the regional centers on an ongoing basis.

Program Policy Compliance
• The State's Biennial on-site HCBS' Waiver Monitoring review team includes DDS staff, and when necessary, DHCS staff with specific duties assigned to prevent duplication of effort by the two departments.
o The review cycle is conducted every two years.
o The two-year review cycle consists of a statistically valid, stratified, statewide sample of 1,050 Waiver participants selected at random from three major residence types: 1) Own Home-Parent; 2) Community Care Facility; and, 3) Independent Living or Supported Living. The size of the sample for each regional center varies depending on each regional center's percentage of the statewide total of Waiver participants within each residence type.

The statewide sample size is 1,050. The sample size at each regional center is calculated based on the individual regional center's percentage of total consumers served in each of three major residence types; Own Home-Parent, Community Care Facility, and Independent Living or Supported Living. Were the state to use a sample size that had a 95% confidence level with a 5% margin of error for the 130,000 population, the statewide sample size would be 384. As noted in the application, the state's sample size of 1,050 provides a 95% confidence level with a 3.01% margin of error.

o The face-to-face visits include interviews with the consumer and his/her family or significant others, involved direct support professionals and on-site observation of programs.
o Ten consumers who had reportable special incidents during the review period are selected for a review of their records to assess the extent to which identified problems or issues were addressed in a timely and appropriate manner to continuously assure the health and safety of participants.
o DDS may, at its own discretion, or in response to a complaint, do unannounced visits to a regional center or a provider.

Program Policy Follow-up Compliance Reviews.
As needed, during the off-year cycle of the two-year reviews, DHCS and DDS conduct follow-up monitoring and compliance reviews at the regional centers. This follow-up review focuses on the areas requiring implementation of a corrective action plan as identified by the previous compliance review, and progress in areas where changes were recommended. DHCS and DDS provide on-going training and technical assistance as needed during the review process. The training and technical assistance covers, at a minimum, all aspects of the waiver program, and is designed to address the needs of administrators, case managers, and clinicians. Because the training and technical assistance is tailored to each individual regional center's needs and is delivered on-site, it affords maximum opportunity to follow-up on issues identified in the compliance reviews.

Quality Assurance
DHCS and DDS jointly oversee the overall design and operation of a quality assurance program which allows it to continually plan, assess, assure, and improve the quality and effectiveness of services and the level of satisfaction of consumers. The system is outcome-based, focusing primarily on its customers, but also on its services and operations. The following are the key components of the State's quality assurance system:
• Through the planning team, development and periodic review (at least annually) of an individualized program plan for each consumer that addresses his or her health, living, and support needs.
• For licensed community care facilities, annual licensing evaluations by the Department of Social Services.
• Quarterly monitoring visits by the regional center for each person living in licensed community care facilities or receiving services from supported living or family home agencies.
• Enhanced case management (at a minimum, face to face monitoring every 30 days for the first 90 days after transition to the community) for individuals moving from developmental centers to community living arrangements.
• Daily, DDS and regional center review and follow-up on special incidents.
• Annual review by the regional centers of each community residential care facility to assure services are consistent with the program design and applicable laws, and development and implementation of corrective action plans as needed.
• On an ongoing basis, review and investigation of health and safety complaints by protective services agencies, area boards, Disability Rights California, DDS, regional centers, licensing agencies, and/or law enforcement agencies.
• On an ongoing basis and at a minimum, quarterly, training and technical assistance provided by the Department and regional centers to enhance service quality.
• Contracts with Disability Rights California to provide ongoing clients' rights advocacy services to individuals with developmental disabilities residing in the community.
• On an annual basis, DDS issues a report card to each center on Performance Contract outcomes. Each regional center is required to share these results with their community. DDS takes follow-up action as appropriate when decreases in the desired measures are noted.
• On an ongoing basis, DDS collects information about the fair hearing process including type(s) of services in dispute, the resolution of the appeals, and at what level (informal, mediation or state level) the appeal was resolved. DDS disseminates semi-annual reports to regional centers, and reviews the data for anomalies or irregularities with fair hearing filings, and monitors as needed.

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7. **Distribution of Waiver Operational and Administrative Functions.** In the following table, specify the entity or entities that have responsibility for conducting each of the waiver operational and administrative functions listed (*check each that applies*):
In accordance with 42 CFR §431.10, when the Medicaid agency does not directly conduct a function, it supervises the performance of the function and establishes and/or approves policies that affect the function. All functions not performed directly by the Medicaid agency must be delegated in writing and monitored by the Medicaid Agency.
Note: More than one box may be checked per item. Ensure that Medicaid is checked when the Single State Medicaid Agency (1) conducts the function directly; (2) supervises the delegated function; and/or (3) establishes and/or approves policies related to the function.

Function	Medicaid Agency	Other State Operating Agency	Local Non-State Entity
Participant waiver enrollment	☑	☑	☑
Waiver enrollment managed against approved limits	☑	☑	☑
Waiver expenditures managed against approved levels	☑	☑	☐
Level of care evaluation	☑	☐	☑
Review of Participant service plans	☑	☑	☑
Prior authorization of waiver services	☑	☐	☑
Utilization management	☑	☑	☑
Qualified provider enrollment	☑	☑	☑
Execution of Medicaid provider agreements	☑	☑	☑
Establishment of a statewide rate methodology	☑	☑	☐

Function	Medicaid Agency	Other State Operating Agency	Local Non-State Entity
Rules, policies, procedures and information development governing the waiver program	☑	☑	☐
Quality assurance and quality improvement activities	☑	☑	☑

Appendix A: Waiver Administration and Operation

Quality Improvement: Administrative Authority of the Single State Medicaid Agency

As a distinct component of the State's quality improvement strategy, provide information in the following fields to detail the State's methods for discovery and remediation.

a. **Methods for Discovery: Administrative Authority**
The Medicaid Agency retains ultimate administrative authority and responsibility for the operation of the waiver program by exercising oversight of the performance of waiver functions by other state and local/regional non-state agencies (if appropriate) and contracted entities.

i. **Performance Measures**

For each performance measure the State will use to assess compliance with the statutory assurance, complete the following. Performance measures for administrative authority should not duplicate measures found in other appendices of the waiver application. *As necessary and applicable, performance measures should focus on:*

- Uniformity of development/execution of provider agreements throughout all geographic areas covered by the waiver
- Equitable distribution of waiver openings in all geographic areas covered by the waiver
- Compliance with HCB settings requirements and other new regulatory components (for waiver actions submitted on or after March 17, 2014)

Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of HCBS Waiver Monitoring Protocols, policies and procedures reviewed by the Medicaid Agency found to be compliant. Numerator = number of HCBS Waiver monitoring Protocols, policies and procedures reviewed by the Medicaid Agency that are found to be compliant. Denominator = total number of HCBS Waiver monitoring protocols, policies and procedures reviewed by the Medicaid Agency

Data Source (Select one):
Other
If 'Other' is selected, specify:
Periodic policy updates, waiver applications/ amendments.

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☑ **Monthly**	☐ **Less than 100% Review**

☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of funds identified in DDS fiscal audits for repayment that were recovered. Numerator = dollar amount of funds identified for repayment by DDS audits that were recovered. Denominator = total dollar amount identified for recovery.

Data Source (Select one):
Other
If 'Other' is selected, specify:
DDS Fiscal Audits

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach***(check each that applies):*

☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of DDS Quality Management Executive Committee (QMEC) Meetings conducted. Numerator = number of QMEC Meetings Conducted. Denominator = total number of planned QMEC Meetings.

Data Source (Select one):
Other

If 'Other' is selected, specify:
QMEC Meetings

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: At least semi-annually.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☑ **Other** Specify: At least semi-annually.

Performance Measure:
Number and percent of DDS invoices reviewed to ensure expenditures are managed against approved limits. Numerator = number of DDS invoices reviewed to ensure

expenditures are managed against approved limits. Denominator = total number of invoices submitted by DDS.

Data Source (Select one):
Other
If 'Other' is selected, specify:
DDS Invoices

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
	Specify:

Performance Measure:
Number and percent of eligibility files submitted to and reviewed by DHCS to ensure consumer eligibility. Numerator = number of eligibility files reviewed by DHCS. Denominator = total number of eligibility files submitted to DHCS.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Eligibility Files Submitted to DHCS

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☑ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of required coordination meetings conducted between the Medicaid Agency, DDS and DSS (As required). Numerator = number of coordination meetings conducted. Denominator = total number of planned coordination meetings.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Coordination meetings conducted between the Medicaid Agency, DDS and DSS

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: At least quarterly	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of required oversight/monitoring meetings conducted between DDS and the Medicaid agency. Numerator = number of oversight meetings conducted. Denominator = number of planned oversight meetings.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Oversight/monitoring meetings conducted between DDS and Medicaid Agency

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: At least semi-annually	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of funds identified in DDS fiscal audits for repayment that remain uncollected after one year. Numerator = dollar amount of funds identified for repayment by DDS audits that remain uncollected after one year. Denominator = total dollar amount identified for recovery.

Data Source (Select one):
Other
If 'Other' is selected, specify:
DDS Fiscal Audits

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:

	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of consumer IPPs developed in accordance with State policies and procedures. Numerator = number of consumer IPPs developed in accordance with State policies and procedures. Denominator = total number of IPPs reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State's Biennial on-site HCBS Waiver Monitoring Reviews.

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = Representative Sample; Confidence Interval = 3.01 Based on sample size of 1050,

		population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center (RC) every two years. Focused follow -up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number of oversight/monitoring review reports reviewed by DHCS. Numerator = number of reports submitted to and reviewed by DHCS. Denominator = total number of reports submitted to DHCS.

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☑ **Continuously and Ongoing**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
	☐ **Other** Specify:

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.
N/A

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
When individual problems are discovered, DDS, with oversight from DHCS, works with the regional centers to resolve the problem. For example, individual issues identified during the State's Biennial on -site HCBS Waiver Monitoring Reviews are documented in monitoring reports which are sent to the regional centers with the State's recommendations for resolution. Depending on the situation, resolution may require further site visits from the regional center or the Department of Social Services. The regional center's plans for correction submitted in response to the State's recommendations are evaluated and approved by DHCS and DDS before the final monitoring report is issued to the regional center and forwarded to CMS. Individual problems identified through the other discovery methods identified above and elsewhere in this application are addressed in a similar fashion. Documentation of individual issues and resolution is maintained and aggregated by DDS and allows for system wide analysis by the Quality Management Executive Committee.

ii. Remediation Data Aggregation
Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☑ **Other** Specify: Regional Centers	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

c. Timelines
When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Administrative Authority that are currently non-operational.

◉ **No**
○ **Yes**
Please provide a detailed strategy for assuring Administrative Authority, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix B: Participant Access and Eligibility

B-1: Specification of the Waiver Target Group(s)

a. **Target Group(s).** Under the waiver of Section 1902(a)(10)(B) of the Act, the State limits waiver services to one or more groups or subgroups of individuals. Please see the instruction manual for specifics regarding age limits. *In accordance with 42 CFR §441.301(b)(6), select one or more waiver target groups, check each of the subgroups in the selected target group(s) that may receive services under the waiver, and specify the minimum and maximum (if any) age of individuals served in each subgroup:*

Target Group	Included	Target SubGroup	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
☐ Aged or Disabled, or Both - General					
	☐	Aged			☐
	☐	Disabled (Physical)			
	☐	Disabled (Other)			
☐ Aged or Disabled, or Both - Specific Recognized Subgroups					
	☐	Brain Injury			☐
	☐	HIV/AIDS			☐
	☐	Medically Fragile			☐
	☐	Technology Dependent			☐
☑ Intellectual Disability or Developmental Disability, or Both					
	☑	Autism	0		☑
	☑	Developmental Disability	0		☑
	☑	Intellectual Disability	0		☑
☐ Mental Illness					
	☐	Mental Illness			☐
	☐	Serious Emotional Disturbance			

b. **Additional Criteria.** The State further specifies its target group(s) as follows:

• California uses the State's definition of "developmentally disabled" and "substantial disability" for the target population of this waiver, as defined in the California Lanterman Developmental Disabilities Services Act, Welfare and Institutions Code, §4512, as follows:

"Developmental disability" means a disability which originates before an individual attains age 18, continues, or can be expected to continue, indefinitely, and constitutes a substantial disability for that individual. As defined by the Director of Developmental Services, in consultation with the Superintendent of Public Instruction, this term shall include intellectual disability, cerebral palsy, epilepsy, and autism. This term shall also include disabling conditions found to be closely related to intellectual disability or to require treatment similar to that required for individuals with intellectual disability , but shall not include other handicapping conditions that are solely physical in nature.

"Substantial disability" means the existence of significant functional limitations in three or more of the following areas of major life activity, as determined by a regional center, and as appropriate to the age of the person:
(1) Self-care.
(2) Receptive and expressive language.
(3) Learning.
(4) Mobility.

(5) Self-direction.
(6) Capacity for independent living.
(7) Economic self-sufficiency.

Regional center consumers who are Medi-Cal beneficiaries who meet the level of care for this waiver. Consumers shall only be enrolled in one Section1915(c) waiver at any one time.

c. **Transition of Individuals Affected by Maximum Age Limitation.** When there is a maximum age limit that applies to individuals who may be served in the waiver, describe the transition planning procedures that are undertaken on behalf of participants affected by the age limit *(select one):*

- (●) **Not applicable. There is no maximum age limit**
- ( ) **The following transition planning procedures are employed for participants who will reach the waiver's maximum age limit.**

Specify:

Appendix B: Participant Access and Eligibility

B-2: Individual Cost Limit (1 of 2)

a. **Individual Cost Limit.** The following individual cost limit applies when determining whether to deny home and community-based services or entrance to the waiver to an otherwise eligible individual *(select one)*. Please note that a State may have only ONE individual cost limit for the purposes of determining eligibility for the waiver:

- (●) **No Cost Limit.** The State does not apply an individual cost limit. *Do not complete Item B-2-b or item B-2-c.*
- ( ) **Cost Limit in Excess of Institutional Costs.** The State refuses entrance to the waiver to any otherwise eligible individual when the State reasonably expects that the cost of the home and community-based services furnished to that individual would exceed the cost of a level of care specified for the waiver up to an amount specified by the State. *Complete Items B-2-b and B-2-c.*

  The limit specified by the State is *(select one)*

  - ( ) **A level higher than 100% of the institutional average.**

    Specify the percentage:

  - ( ) **Other**

    Specify:

- ( ) **Institutional Cost Limit.** Pursuant to 42 CFR 441.301(a)(3), the State refuses entrance to the waiver to any otherwise eligible individual when the State reasonably expects that the cost of the home and community-based services furnished to that individual would exceed 100% of the cost of the level of care specified for the waiver. *Complete Items B-2-b and B-2-c.*
- ( ) **Cost Limit Lower Than Institutional Costs.** The State refuses entrance to the waiver to any otherwise qualified individual when the State reasonably expects that the cost of home and community-based services furnished to that individual would exceed the following amount specified by the State that is less than the cost of a level of care specified for the waiver.

  Specify the basis of the limit, including evidence that the limit is sufficient to assure the health and welfare of waiver participants. Complete Items B-2-b and B-2-c.

The cost limit specified by the State is *(select one)*:

○ **The following dollar amount:**

Specify dollar amount:

The dollar amount *(select one)*

○ **Is adjusted each year that the waiver is in effect by applying the following formula:**

Specify the formula:

○ **May be adjusted during the period the waiver is in effect. The State will submit a waiver amendment to CMS to adjust the dollar amount.**

○ **The following percentage that is less than 100% of the institutional average:**

Specify percent:

○ **Other:**

Specify:

Appendix B: Participant Access and Eligibility

B-2: Individual Cost Limit (2 of 2)

Answers provided in Appendix B-2-a indicate that you do not need to complete this section.

b. **Method of Implementation of the Individual Cost Limit.** When an individual cost limit is specified in Item B-2-a, specify the procedures that are followed to determine in advance of waiver entrance that the individual's health and welfare can be assured within the cost limit:

c. **Participant Safeguards.** When the State specifies an individual cost limit in Item B-2-a and there is a change in the participant's condition or circumstances post-entrance to the waiver that requires the provision of services in an amount that exceeds the cost limit in order to assure the participant's health and welfare, the State has established the following safeguards to avoid an adverse impact on the participant *(check each that applies)*:

☐ **The participant is referred to another waiver that can accommodate the individual's needs.**

☐ **Additional services in excess of the individual cost limit may be authorized.**

Specify the procedures for authorizing additional services, including the amount that may be authorized:

☐ **Other safeguard(s)**

Specify:

Appendix B: Participant Access and Eligibility

B-3: Number of Individuals Served (1 of 4)

a. **Unduplicated Number of Participants.** The following table specifies the maximum number of unduplicated participants who are served in each year that the waiver is in effect. The State will submit a waiver amendment to CMS to modify the number of participants specified for any year(s), including when a modification is necessary due to legislative appropriation or another reason. The number of unduplicated participants specified in this table is basis for the cost-neutrality calculations in Appendix J:

Table: B-3-a

Waiver Year	Unduplicated Number of Participants
Year 1	130000
Year 2	135000
Year 3	140000
Year 4	145000
Year 5	150000

b. **Limitation on the Number of Participants Served at Any Point in Time.** Consistent with the unduplicated number of participants specified in Item B-3-a, the State may limit to a lesser number the number of participants who will be served at any point in time during a waiver year. Indicate whether the State limits the number of participants in this way: *(select one)*:

- (●) **The State does not limit the number of participants that it serves at any point in time during a waiver year.**
- ( ) **The State limits the number of participants that it serves at any point in time during a waiver year.**

The limit that applies to each year of the waiver period is specified in the following table:

Table: B-3-b

Waiver Year	Maximum Number of Participants Served At Any Point During the Year
Year 1	
Year 2	
Year 3	
Year 4	
Year 5	

Appendix B: Participant Access and Eligibility

B-3: Number of Individuals Served (2 of 4)

c. **Reserved Waiver Capacity.** The State may reserve a portion of the participant capacity of the waiver for specified purposes (e.g., provide for the community transition of institutionalized persons or furnish waiver services to individuals experiencing a crisis) subject to CMS review and approval. The State *(select one)*:

- (●) **Not applicable. The state does not reserve capacity.**
- ( ) **The State reserves capacity for the following purpose(s).**

Appendix B: Participant Access and Eligibility

B-3: Number of Individuals Served (3 of 4)

d. Scheduled Phase-In or Phase-Out. Within a waiver year, the State may make the number of participants who are served subject to a phase-in or phase-out schedule *(select one)*:

- (●) **The waiver is not subject to a phase-in or a phase-out schedule.**
- ( ) **The waiver is subject to a phase-in or phase-out schedule that is included in Attachment #1 to Appendix B-3. This schedule constitutes an intra-year limitation on the number of participants who are served in the waiver.**

e. Allocation of Waiver Capacity.

Select one:

- (●) **Waiver capacity is allocated/managed on a statewide basis.**
- ( ) **Waiver capacity is allocated to local/regional non-state entities.**

Specify: (a) the entities to which waiver capacity is allocated; (b) the methodology that is used to allocate capacity and how often the methodology is reevaluated; and, (c) policies for the reallocation of unused capacity among local/regional non-state entities:

f. Selection of Entrants to the Waiver. Specify the policies that apply to the selection of individuals for entrance to the waiver:

All individuals who express an interest and are eligible for enrollment are enrolled in the DD Waiver.

California will submit necessary DD Waiver amendments to accommodate all individuals who are eligible for and express an interest in participating in the DD Waiver should the approved DD Waiver capacity be insufficient to accommodate all interested persons.

Appendix B: Participant Access and Eligibility

B-3: Number of Individuals Served - Attachment #1 (4 of 4)

Answers provided in Appendix B-3-d indicate that you do not need to complete this section.

Appendix B: Participant Access and Eligibility

B-4: Eligibility Groups Served in the Waiver

a.

1. **State Classification.** The State is a *(select one)*:
   - (●) **§1634 State**
   - ( ) **SSI Criteria State**
   - ( ) **209(b) State**

2. **Miller Trust State.**
   Indicate whether the State is a Miller Trust State *(select one)*:
   - (●) **No**
   - ( ) **Yes**

b. Medicaid Eligibility Groups Served in the Waiver. Individuals who receive services under this waiver are eligible under the following eligibility groups contained in the State plan. The State applies all applicable federal financial participation limits under the plan. *Check all that apply*:

Eligibility Groups Served in the Waiver (excluding the special home and community-based waiver group under 42 CFR §435.217)

- [ ] **Low income families with children as provided in §1931 of the Act**
- [x] **SSI recipients**
- [ ] **Aged, blind or disabled in 209(b) states who are eligible under 42 CFR §435.121**
- [x] **Optional State supplement recipients**
- [x] **Optional categorically needy aged and/or disabled individuals who have income at:**

Select one:

- (●) **100% of the Federal poverty level (FPL)**
- ( ) **% of FPL, which is lower than 100% of FPL.**

Specify percentage:

- [x] **Working individuals with disabilities who buy into Medicaid (BBA working disabled group as provided in §1902(a)(10)(A)(ii)(XIII)) of the Act)**
- [ ] **Working individuals with disabilities who buy into Medicaid (TWWIIA Basic Coverage Group as provided in §1902(a)(10)(A)(ii)(XV) of the Act)**
- [ ] **Working individuals with disabilities who buy into Medicaid (TWWIIA Medical Improvement Coverage Group as provided in §1902(a)(10)(A)(ii)(XVI) of the Act)**
- [ ] **Disabled individuals age 18 or younger who would require an institutional level of care (TEFRA 134 eligibility group as provided in §1902(e)(3) of the Act)**
- [ ] **Medically needy in 209(b) States (42 CFR §435.330)**
- [x] **Medically needy in 1634 States and SSI Criteria States (42 CFR §435.320, §435.322 and §435.324)**
- [x] **Other specified groups (include only statutory/regulatory reference to reflect the additional groups in the State plan that may receive services under this waiver)**

Specify:

All other mandatory and optional eligibility groups included under the State Plan including parents and caretaker relatives specified at 435.110, pregnant women specified at 435.116 and children specified at 435.118, and any who would otherwise be eligible for SSI/SSP as provided in Section 1902(a)(10)(A)(ii)(I), including those who are eligible under section 1634(a)(c) and (d).

Special home and community-based waiver group under 42 CFR §435.217) *Note: When the special home and community-based waiver group under 42 CFR §435.217 is included, Appendix B-5 must be completed*

- ( ) **No. The State does not furnish waiver services to individuals in the special home and community-based waiver group under 42 CFR §435.217.** *Appendix B-5 is not submitted.*
- (●) **Yes. The State furnishes waiver services to individuals in the special home and community-based waiver group under 42 CFR §435.217.**

Select one and complete Appendix B-5.

- (●) **All individuals in the special home and community-based waiver group under 42 CFR §435.217**
- ( ) **Only the following groups of individuals in the special home and community-based waiver group under 42 CFR §435.217**

Check each that applies:

- [ ] **A special income level equal to:**

Select one:

- ○ **300% of the SSI Federal Benefit Rate (FBR)**
- ○ **A percentage of FBR, which is lower than 300% (42 CFR §435.236)**

  Specify percentage: [ ]
- ○ **A dollar amount which is lower than 300%.**

  Specify dollar amount: [ ]

☐ **Aged, blind and disabled individuals who meet requirements that are more restrictive than the SSI program (42 CFR §435.121)**

☐ **Medically needy without spenddown in States which also provide Medicaid to recipients of SSI (42 CFR §435.320, §435.322 and §435.324)**

☐ **Medically needy without spend down in 209(b) States (42 CFR §435.330)**

☐ **Aged and disabled individuals who have income at:**

Select one:

- ○ **100% of FPL**
- ○ **% of FPL, which is lower than 100%.**

  Specify percentage amount: [ ]

☐ **Other specified groups (include only statutory/regulatory reference to reflect the additional groups in the State plan that may receive services under this waiver)**

Specify:

[ ]

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (1 of 7)

In accordance with 42 CFR §441.303(e), Appendix B-5 must be completed when the State furnishes waiver services to individuals in the special home and community-based waiver group under 42 CFR §435.217, as indicated in Appendix B-4. Post-eligibility applies only to the 42 CFR §435.217 group.

a. Use of Spousal Impoverishment Rules. Indicate whether spousal impoverishment rules are used to determine eligibility for the special home and community-based waiver group under 42 CFR §435.217:

Note: For the five-year period beginning January 1, 2014, the following instructions are mandatory. The following box should be checked for all waivers that furnish waiver services to the 42 CFR §435.217 group effective at any point during this time period.

☑ **Spousal impoverishment rules under §1924 of the Act are used to determine the eligibility of individuals with a community spouse for the special home and community-based waiver group. In the case of a participant with a community spouse, the State uses *spousal* post-eligibility rules under §1924 of the Act.** *Complete Items B-5-e (if the selection for B-4-a-i is SSI State or §1634) or B-5-f (if the selection for B-4-a-i is 209b State) and Item B-5-g unless the state indicates that it also uses spousal post-eligibility rules for the time periods before January 1, 2014 or after December 31, 2018.*

Note: The following selections apply for the time periods before January 1, 2014 or after December 31, 2018 (select one).

◉ **Spousal impoverishment rules under §1924 of the Act are used to determine the eligibility of individuals with a community spouse for the special home and community-based waiver group.**

In the case of a participant with a community spouse, the State elects to (*select one*):

- (●) **Use spousal post-eligibility rules under §1924 of the Act.**
  (Complete Item B-5-b (SSI State) and Item B-5-d)
- ( ) **Use regular post-eligibility rules under 42 CFR §435.726 (SSI State) or under §435.735 (209b State)**
  (Complete Item B-5-b (SSI State). Do not complete Item B-5-d)

( ) **Spousal impoverishment rules under §1924 of the Act are not used to determine eligibility of individuals with a community spouse for the special home and community-based waiver group. The State uses regular post-eligibility rules for individuals with a community spouse.**
(Complete Item B-5-b (SSI State). Do not complete Item B-5-d)

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (2 of 7)

Note: The following selections apply for the time periods before January 1, 2014 or after December 31, 2018.

b. Regular Post-Eligibility Treatment of Income: SSI State.

The State uses the post-eligibility rules at 42 CFR 435.726 for individuals who do not have a spouse or have a spouse who is not a community spouse as specified in §1924 of the Act. Payment for home and community-based waiver services is reduced by the amount remaining after deducting the following allowances and expenses from the waiver participant's income:

i. Allowance for the needs of the waiver participant (*select one*):

( ) **The following standard included under the State plan**

Select one:

- ( ) **SSI standard**
- ( ) **Optional State supplement standard**
- ( ) **Medically needy income standard**
- ( ) **The special income level for institutionalized persons**

(*select one*):

- ( ) **300% of the SSI Federal Benefit Rate (FBR)**
- ( ) **A percentage of the FBR, which is less than 300%**

  Specify the percentage: [ ]
- ( ) **A dollar amount which is less than 300%.**

  Specify dollar amount: [ ]
- ( ) **A percentage of the Federal poverty level**

  Specify percentage: [ ]
- ( ) **Other standard included under the State Plan**

  Specify:

  [ ]

( ) **The following dollar amount**

Specify dollar amount: [ ] If this amount changes, this item will be revised.

(●) **The following formula is used to determine the needs allowance:**

Specify:

The maximum amount of income to be eligible under the 435.217 group including any income disregards or exemptions.

○ **Other**

Specify:

ii. Allowance for the spouse only (*select one*):

◉ **Not Applicable**

○ **The state provides an allowance for a spouse who does not meet the definition of a community spouse in §1924 of the Act. Describe the circumstances under which this allowance is provided:**

Specify:

Specify the amount of the allowance (*select one*):

○ **SSI standard**

○ **Optional State supplement standard**

○ **Medically needy income standard**

○ **The following dollar amount:**

Specify dollar amount: [ ] If this amount changes, this item will be revised.

○ **The amount is determined using the following formula:**

Specify:

iii. Allowance for the family (*select one*):

◉ **Not Applicable (see instructions)**

○ **AFDC need standard**

○ **Medically needy income standard**

○ **The following dollar amount:**

Specify dollar amount: [ ] The amount specified cannot exceed the higher of the need standard for a family of the same size used to determine eligibility under the State's approved AFDC plan or the medically needy income standard established under 42 CFR §435.811 for a family of the same size. If this amount changes, this item will be revised.

○ **The amount is determined using the following formula:**

Specify:

○ **Other**

Specify:

iv. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 §CFR 435.726:

a. Health insurance premiums, deductibles and co-insurance charges
b. Necessary medical or remedial care expenses recognized under State law but not covered under the State's Medicaid plan, subject to reasonable limits that the State may establish on the amounts of these expenses.

Select one:

- (●) **Not Applicable (see instructions)***Note: If the State protects the maximum amount for the waiver participant, not applicable must be selected.*
- ( ) **The State does not establish reasonable limits.**
- ( ) **The State establishes the following reasonable limits**

Specify:

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (3 of 7)

Note: The following selections apply for the time periods before January 1, 2014 or after December 31, 2018.

c. Regular Post-Eligibility Treatment of Income: 209(B) State.

Answers provided in Appendix B-4 indicate that you do not need to complete this section and therefore this section is not visible.

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (4 of 7)

Note: The following selections apply for the time periods before January 1, 2014 or after December 31, 2018.

d. Post-Eligibility Treatment of Income Using Spousal Impoverishment Rules

The State uses the post-eligibility rules of §1924(d) of the Act (spousal impoverishment protection) to determine the contribution of a participant with a community spouse toward the cost of home and community-based care if it determines the individual's eligibility under §1924 of the Act. There is deducted from the participant's monthly income a personal needs allowance (as specified below), a community spouse's allowance and a family allowance as specified in the State Medicaid Plan. The State must also protect amounts for incurred expenses for medical or remedial care (as specified below).

i. Allowance for the personal needs of the waiver participant

(*select one*):

- ( ) **SSI standard**
- ( ) **Optional State supplement standard**
- ( ) **Medically needy income standard**
- ( ) **The special income level for institutionalized persons**
- ( ) **A percentage of the Federal poverty level**

Specify percentage:

○ **The following dollar amount:**

Specify dollar amount: If this amount changes, this item will be revised

○ **The following formula is used to determine the needs allowance:**

Specify formula:

◉ **Other**

Specify:

The maximum amount of income to be eligible under the 435.217 group including any income disregards or exemptions.

ii. If the allowance for the personal needs of a waiver participant with a community spouse is different from the amount used for the individual's maintenance allowance under 42 CFR §435.726 or 42 CFR §435.735, explain why this amount is reasonable to meet the individual's maintenance needs in the community.

Select one:

◉ **Allowance is the same**

○ **Allowance is different.**

Explanation of difference:

iii. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 CFR §435.726:

a. Health insurance premiums, deductibles and co-insurance charges
b. Necessary medical or remedial care expenses recognized under State law but not covered under the State's Medicaid plan, subject to reasonable limits that the State may establish on the amounts of these expenses.

Select one:

◉ **Not Applicable (see instructions)***Note: If the State protects the maximum amount for the waiver participant, not applicable must be selected.*

○ **The State does not establish reasonable limits.**

○ **The State uses the same reasonable limits as are used for regular (non-spousal) post-eligibility.**

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (5 of 7)

Note: The following selections apply for the five-year period beginning January 1, 2014.

e. Regular Post-Eligibility Treatment of Income: §1634 State - 2014 through 2018.

Answers provided in Appendix B-5-a indicate the selections in B-5-b also apply to B-5-e.

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (6 of 7)

Note: The following selections apply for the five-year period beginning January 1, 2014.

f. Regular Post-Eligibility Treatment of Income: 209(B) State - 2014 through 2018.

Answers provided in Appendix B-4 indicate that you do not need to complete this section and therefore this section is not visible.

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (7 of 7)

Note: The following selections apply for the five-year period beginning January 1, 2014.

g. Post-Eligibility Treatment of Income Using Spousal Impoverishment Rules - 2014 through 2018.

The State uses the post-eligibility rules of §1924(d) of the Act (spousal impoverishment protection) to determine the contribution of a participant with a community spouse toward the cost of home and community-based care. There is deducted from the participant's monthly income a personal needs allowance (as specified below), a community spouse's allowance and a family allowance as specified in the State Medicaid Plan. The State must also protect amounts for incurred expenses for medical or remedial care (as specified below).

Answers provided in Appendix B-5-a indicate the selections in B-5-d also apply to B-5-g.

Appendix B: Participant Access and Eligibility

B-6: Evaluation/Reevaluation of Level of Care

As specified in 42 CFR §441.302(c), the State provides for an evaluation (and periodic reevaluations) of the need for the level(s) of care specified for this waiver, when there is a reasonable indication that an individual may need such services in the near future (one month or less), but for the availability of home and community-based waiver services.

a. Reasonable Indication of Need for Services. In order for an individual to be determined to need waiver services, an individual must require: (a) the provision of at least one waiver service, as documented in the service plan, and (b) the provision of waiver services at least monthly or, if the need for services is less than monthly, the participant requires regular monthly monitoring which must be documented in the service plan. Specify the State's policies concerning the reasonable indication of the need for services:

i. Minimum number of services.

The minimum number of waiver services (one or more) that an individual must require in order to be determined to need waiver services is: 1

ii. Frequency of services. The State requires (select one):

- (●) **The provision of waiver services at least monthly**
- ( ) **Monthly monitoring of the individual when services are furnished on a less than monthly basis**

If the State also requires a minimum frequency for the provision of waiver services other than monthly (e.g., quarterly), specify the frequency:

b. Responsibility for Performing Evaluations and Reevaluations. Level of care evaluations and reevaluations are performed (*select one*):

- ( ) **Directly by the Medicaid agency**
- ( ) **By the operating agency specified in Appendix A**

○ **By an entity under contract with the Medicaid agency.**

Specify the entity:

◉ **Other**
Specify:

Regional Centers

c. **Qualifications of Individuals Performing Initial Evaluation:** Per 42 CFR §441.303(c)(1), specify the educational/professional qualifications of individuals who perform the initial evaluation of level of care for waiver applicants:

Qualified Intellectual Disability Professional (QIDP) as defined in 42 CFR §483.430(a).

d. **Level of Care Criteria.** Fully specify the level of care criteria that are used to evaluate and reevaluate whether an individual needs services through the waiver and that serve as the basis of the State's level of care instrument/tool. Specify the level of care instrument/tool that is employed. State laws, regulations, and policies concerning level of care criteria and the level of care instrument/tool are available to CMS upon request through the Medicaid agency or the operating agency (if applicable), including the instrument/tool utilized.

The level of care (LOC) criteria are based on California Code of Regulations (CCR) Title 22 §§ 51343, 51343.1 and 51343.2 which specify the LOC requirements for admittance to an intermediate care facility for the developmentally disabled (ICF/DD), ICF/DD-H (habilitative) or ICF/DD-N (nursing.) The Client Development Evaluation Report (CDER) is utilized in making LOC determinations.

These regulations indicate that an individual must have at least two moderate or severe support needs (qualifying conditions) in one or a combination of the following areas: self-help (e.g. dressing, personal care, etc.); social-emotional (e.g. aggression, running away, etc.) ; or health (e.g. tracheostomy care, apnea monitoring, etc.)

e. **Level of Care Instrument(s).** Per 42 CFR §441.303(c)(2), indicate whether the instrument/tool used to evaluate level of care for the waiver differs from the instrument/tool used to evaluate institutional level of care *(select one)*:

◉ **The same instrument is used in determining the level of care for the waiver and for institutional care under the State Plan.**

○ **A different instrument is used to determine the level of care for the waiver than for institutional care under the State plan.**

Describe how and why this instrument differs from the form used to evaluate institutional level of care and explain how the outcome of the determination is reliable, valid, and fully comparable.

f. **Process for Level of Care Evaluation/Reevaluation:** Per 42 CFR §441.303(c)(1), describe the process for evaluating waiver applicants for their need for the level of care under the waiver. If the reevaluation process differs from the evaluation process, describe the differences:

When assessing level-of-care (LOC), the regional center QMRP reviews the CDER data including the diagnostic, special conditions and personal outcomes sections. In addition to the CDER data, the QMRP reviews other pertinent information in the consumer's record, such as the individual program plan, progress reports, medical and psychological evaluations and case management notes, to determine the Waiver qualifying conditions that significantly affect the consumer's ability to perform activities of daily living and/or participate in community activities. The qualifying conditions identified in this analysis are documented on the "Medicaid Waiver Eligibility Record" (DS 3770). The consumer must have a minimum of two qualifying conditions to meet the LOC requirements for this Waiver.

g. **Reevaluation Schedule.** Per 42 CFR §441.303(c)(4), reevaluations of the level of care required by a participant are conducted no less frequently than annually according to the following schedule *(select one)*:

○ **Every three months**

○ **Every six months**

- (●) **Every twelve months**
- ( ) **Other schedule**
  Specify the other schedule:

h. **Qualifications of Individuals Who Perform Reevaluations.** Specify the qualifications of individuals who perform reevaluations *(select one)*:
   - (●) **The qualifications of individuals who perform reevaluations are the same as individuals who perform initial evaluations.**
   - ( ) **The qualifications are different.**
     Specify the qualifications:

i. **Procedures to Ensure Timely Reevaluations.** Per 42 CFR §441.303(c)(4), specify the procedures that the State employs to ensure timely reevaluations of level of care *(specify):*

   Monthly State computer-generated reports of consumers who are due for reevaluation are provided to regional centers one month in advance of the annual reevaluation date. The processes in place to monitor this requirement are detailed in the Quality Improvement section below.

j. **Maintenance of Evaluation/Reevaluation Records.** Per 42 CFR §441.303(c)(3), the State assures that written and/or electronically retrievable documentation of all evaluations and reevaluations are maintained for a minimum period of 3 years as required in 45 CFR §92.42. Specify the location(s) where records of evaluations and reevaluations of level of care are maintained:

   Records are kept at each of the 21 regional centers in each participant''s file.

Appendix B: Evaluation/Reevaluation of Level of Care

Quality Improvement: Level of Care

As a distinct component of the State's quality improvement strategy, provide information in the following fields to detail the State's methods for discovery and remediation.

a. **Methods for Discovery: Level of Care Assurance/Sub-assurances**

   The state demonstrates that it implements the processes and instrument(s) specified in its approved waiver for evaluating/reevaluating an applicant's/waiver participant's level of care consistent with level of care provided in a hospital, NF or ICF/IID.

   i. **Sub-Assurances:**

      a. ***Sub-assurance: An evaluation for LOC is provided to all applicants for whom there is reasonable indication that services may be needed in the future.***

         Performance Measures

         For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

         For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

         Performance Measure:

Number and percent of new enrollees who had a LOC indicating a need for institutional level of care prior to receipt of waiver services. Numerator = number of consumer records reviewed of new enrollees that documented an initial LOC determination prior to receipt of waiver services. Denominator = total number of new enrollee consumer records reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State's Biennial on-site HCBS Waiver Monitoring Reviews.

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = Sample size will represent a 95% confidence interval with no more than a 5% margin of error
☑ **Other** Specify: On-site reviews are conducted at each regional center (RC) every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center (RC) every two years. Focused follow-up reviews	

	are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

b. ***Sub-assurance: The levels of care of enrolled participants are reevaluated at least annually or as specified in the approved waiver.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

c. ***Sub-assurance: The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of level-of-care (LOC) determinations that were done utilizing the process outlined in the approved waiver. Numerator = number of consumer records reviewed that documented LOC determinations utilizing the process outlined in the approved waiver. Denominator = total number of consumer records reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State's Biennial on-site HCBS Waiver Monitoring Reviews.

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other**	

	Specify: On-site reviews are conducted at each regional center (RC) every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of LOC determinations that were completed accurately. Numerator = number of consumer records reviewed that documented accurate LOC determinations. Denominator = total number of records reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State''s Biennial on-site HCBS Waiver Monitoring Reviews.

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample**

		Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center (RC) every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.
N/A

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
Individual level-of-care (LOC) issues (e.g. appropriateness, timeliness, etc.) identified during the State''s Biennial on-site HCBS Waiver Monitoring Reviews are documented in monitoring reports which are sent to the regional centers with the State''s recommendations for resolution. The regional center''s plans for correction submitted in response to the State''s recommendations are evaluated and approved by DHCS and DDS before the final monitoring report is issued to the regional center and forwarded to CMS. Typically, the remediation for identified individual LOC issues involves 1) a reassessment of LOC to determine the areas of need, and 2) correction of documentation to ensure only qualifying conditions (issues requiring moderate or severe support needs) are used in making LOC determinations. When the results of these reassessments indicate the LOC criteria are not met, then the individual's waiver eligibility is terminated.

As referenced in Appendix B-6(i), timeliness of LOC reevaluations is also monitored on a statewide basis through automated monthly reports. DDS follows-up on each occurrence to ensure appropriate action is taken.

ii. Remediation Data Aggregation
Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☑ **Other** Specify: Semi-annually

c. **Timelines**
When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Level of Care that are currently non-operational.

- (●) **No**
- ( ) **Yes**

Please provide a detailed strategy for assuring Level of Care, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix B: Participant Access and Eligibility

B-7: Freedom of Choice

Freedom of Choice. *As provided in 42 CFR §441.302(d), when an individual is determined to be likely to require a level of care for this waiver, the individual or his or her legal representative is:*

i. *informed of any feasible alternatives under the waiver; and*
ii. *given the choice of either institutional or home and community-based services.*

a. **Procedures.** Specify the State's procedures for informing eligible individuals (or their legal representatives) of the feasible alternatives available under the waiver and allowing these individuals to choose either institutional or waiver services. Identify the form(s) that are employed to document freedom of choice. The form or forms are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

When an individual is determined to be likely to require a level of care described in Appendix B-6 of this request, the individual, or where appropriate his/her legal representative will be informed of any feasible alternatives under the DD waiver and given the choice of either institutional or services under the DD waiver.
The regional center will provide an opportunity for a fair hearing under 42 CFR Part 431, subpart E, to individuals who are not given the choice of home and community-based services as an alternative to institutional services, or who are denied the service(s), of their choice, or the providers of their choice. Individuals will be notified, in writing, of their fair hearing rights. The regional center case manager is responsible for informing individuals of the feasible alternatives for obtaining necessary services and giving each eligible individual the choice of receiving necessary care and services in an institutional health facility or through the HCBS Waiver for regional center consumers. The regional center case manager ensures that:
1. Individuals, their legal representative, parents, relatives, or involved persons are informed of the choice of either participating or not participating in the DD waiver, if the consumer is determined to be eligible for DD waiver services and chooses to receive DD waiver services in lieu of institutional services.
2. The individual's choice is documented on the Medicaid Waiver Consumer Choice of Services/Living Arrangement form (DS 2200) at the time of any of the following:
• Determination of initial eligibility for the DD waiver.
• Reactivation of the DD waiver eligibility after an individual's termination from participation in the DD waiver.
• Transition from minor to adult status.
3. The consumer's choice to participate in the waiver is documented in a dated and signed DS 2200.

b. **Maintenance of Forms.** Per 45 CFR §92.42, written copies or electronically retrievable facsimiles of Freedom of Choice forms are maintained for a minimum of three years. Specify the locations where copies of these forms are maintained.

The signed DS 2200 is retained in the participant''s record at the regional center.

Appendix B: Participant Access and Eligibility

B-8: Access to Services by Limited English Proficiency Persons

Access to Services by Limited English Proficient Persons. Specify the methods that the State uses to provide meaningful access to the waiver by Limited English Proficient persons in accordance with the Department of Health and Human Services "Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons" (68 FR 47311 - August 8, 2003):

Under the provisions of the California Welfare and Institutions Code (WIC) §4641, regional centers are required to conduct outreach activities to inform their communities of their services and to actively pursue individuals in need of services. Outreach and other information developed and used by regional centers must be available in English and other languages that are reflective of the populations in the service area of the regional center. Outreach activities lead to persons with developmental disabilities finding or being referred to regional centers for intake and assessment and a determination of eligibility for services. DDS monitors and facilitates this requirement.

During intake and assessment, consumers are informed of feasible alternative services under the DD Waiver. To accomplish this, consumers and families must be able to communicate effectively with regional center staff and other members of the planning team. WIC §4642(a) requires regional centers to provide information and advice on medical services, including programs that may be useful to persons with developmental disabilities or their families. Regional centers are required to comply with WIC §4646(h)(1) during the individual program planning process, which stipulates that the family's native language must be documented and written materials must be provided in the family's native language. Every effort is made to communicate in the language of the consumer or family. These efforts include using a facilitator who may also be a member of the planning team, employing bilingual staff at the regional center, and/or using an interpreter or translator. In no case does a planning team proceed to develop a plan or explain alternatives that are not understood by the participant, or where appropriate a family member or legal representative. WIC §4502.1 requires that information be provided in an understandable form to aid the consumer in making choices by all public or private agencies receiving state funds for the purpose of providing services persons with developmental disabilities.

Appendix C: Participant Services

C-1: Summary of Services Covered (1 of 2)

a. **Waiver Services Summary.** *List the services that are furnished under the waiver in the following table. If case management is not a service under the waiver, complete items C-1-b and C-1-c:*

Service Type	Service		
Statutory Service	**Behavioral Intervention Services**		
Statutory Service	**Community Living Arrangement Services**		
Statutory Service	**Day Service**		
Statutory Service	**Homemaker**		
Statutory Service	**Prevocational Services**		
Statutory Service	**Respite Care**		
Statutory Service	**Supported Employment Individual**		
Extended State Plan Service	**Dental Services**		
Extended State Plan Service	**Home Health Aide**		
Extended State Plan Service	**Occupational Therapy**		
Extended State Plan Service	**Optometric/Optician Services**		
Extended State Plan Service	**Physical Therapy**		
Extended State Plan Service	**Prescription Lenses and Frames**		
Extended State Plan Service	**Psychology Services**		
Extended State Plan Service	**Speech, Hearing and Language Services**		
Supports for Participant Direction	**Financial Management Service**		
Other Service	**Chore Services**		
Other Service	**Communication Aides**		
Other Service	**Community-Based Training Service**		
Other Service	**Environmental Accessibility Adaptations**		
Other Service	**Family Support Services**		
Other Service	**Family/ Consumer Training**		
Other Service	**Housing Access Services**		
Other Service	**Non-Medical Transportation**		
Other Service	**Nutritional Consultation**		
Other Service	**Personal Emergency Response Systems (PERS)**		

Service Type	Service		
Other Service	Skilled Nursing		
Other Service	Specialized Medical Equipment and Supplies		
Other Service	Transition/Set Up Expenses		
Other Service	Vehicle Modifications and Adaptations		

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Statutory Service

Service:

Habilitation

Alternate Service Title (if any):

Behavioral Intervention Services

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*

Habilitation—Behavioral Intervention Services include two components:

A) Individual/Group Practitioners -which may provide Behavioral Intervention Services in multiple settings, including the individual's home, and workplace, depending on the individual's needs.

B) Crisis Support – If relocation becomes necessary, emergency housing in the person's home community is available. Crisis Support provides a safe, stable highly structured environment by combining concentrated, highly skilled staffing and intensive behavior modification programs. Conditions that would qualify an individual for crisis support include aggression to others, self-injurious behavior, property destruction, or other pervasive behavior issues that have precluded effective treatment in the current living arrangement. While the location and intensity of the components of this service vary based on the individual's needs, all components of behavioral intervention services include use and development of intensive behavioral intervention (see #1 below) programs to improve the recipient's development; and behavior tracking and analysis. The intervention programs will be restricted to generally accepted, evidence-based, positive approaches. Behavioral intervention services are designed to assist individuals in acquiring, retaining and improving the self-help, socialization and adaptive skills necessary to reside successfully in home and community-based settings. Services may be provided to family members if they are for the benefit of the recipient. Services for family members may include training and instruction about treatment regimens and risk management strategies to enable the family to

support the recipient. The participation of parent(s) of minor children is critical to the success of a behavioral intervention plan. The person-centered planning team determines the extent of participation necessary to meet the individual's needs. "Participation" includes the following meanings: Completion of group instruction on the basics of behavior intervention; Implementation of intervention strategies, according to the intervention plan; If needed, collection of data on behavioral strategies and submission of that data to the provider for incorporation into progress reports; Participation in any needed clinical meetings; provision of suggested nominal behavior modification materials or community involvement if a reward system is used. If the absence of sufficient participation prevents successful implementation of the behavioral plan, other services will be provided to meet the individual's identified needs.

(1) "Intensive behavioral intervention" means any form of applied behavioral analysis (ABA) based treatment (see #2 below) that is comprehensive, designed to address all domains of functioning, and provided in multiple settings, depending on the individual's needs and progress. Interventions can be delivered in a one-to-one ratio or small group format, as appropriate.

(2) "Applied behavioral analysis based treatment" means the design, implementation, and evaluation of systematic instructional and environmental modifications to promote positive social behaviors and reduce or ameliorate behaviors which interfere with learning and social interaction. Behavioral Habilitation services do not include services otherwise available to the person under the Individuals with Disabilities Education Act or the Rehabilitation Act of 1973.
This service in the HCBS Waiver is only provided to individuals age 21 and over. All medically necessary Behavioral Intervention Services for children under age 21 are covered in the state plan pursuant to Early Periodic Screening, Diagnostic and Testing (EPSDT) benefit.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Behavior Management Consultant: Marriage Family Child Counselor
Individual	Psychiatrist
Agency	Behavior Management Consultant: (Psychologist)
Individual	Behavior Management Consultant: (Psychologist)
Individual	Behavior Analyst
Agency	Behavior Analyst
Agency	Behavioral Technician / Paraprofessional
Agency	Behavior Management Assistant: (Psychology Assistant; Associate Licensed Clinical Social Worker)
Agency	Parenting Support Services Provider
Individual	Individual or Family Training Provider
Agency	Licensed Psychiatric Technician
Agency	Associate Behavior Analyst
Individual	Family Counselor (MFCC), Clinical Social Worker (CSW)
Agency	Family Counselor (MFCC), Clinical Social Worker (CSW)

Provider Category	Provider Type Title
Individual	Behavior Management Consultant: Licensed Clinical Social Worker
Individual	Client/Parent Support Behavior Intervention Training
Individual	Psychologist
Agency	Psychologist
Individual	Marriage Family Therapist (MFT)
Agency	Marriage Family Therapist (MFT)
Individual	Social Worker
Agency	Social Worker
Individual	Parenting Support Services Provider
Agency	Psychiatrist
Agency	Behavior Management Consultant: Licensed Clinical Social Worker
Agency	Crisis Team-Evaluation and Behavioral Intervention
Individual	Chemical Addiction Counselor
Individual	Behavior Management Consultant: Marriage Family Child Counselor
Agency	Chemical Addiction Counselor
Individual	Crisis Team-Evaluation and Behavioral Intervention
Agency	Client/Parent Support Behavior Intervention Training
Agency	Individual or Family Training Provider
Agency	Crisis Intervention Facility

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Agency
Provider Type:
Behavior Management Consultant: Marriage Family Child Counselor
Provider Qualifications
License *(specify):*
Licensed Marriage and Family Therapist by the Department of Consumer Affairs, Board of Behavioral Sciences pursuant to Business and Professions Code §4980(b).

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Individual
Provider Type:
Psychiatrist
Provider Qualifications
License *(specify):*
Licensed psychiatrist, a physician and surgeon by the Medical Board of California pursuant to Business and Professions Code § 2000.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certified by the American Board of Psychiatry and Neurology
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Agency
Provider Type:
Behavior Management Consultant: (Psychologist)
Provider Qualifications
License *(specify):*
Licensed Psychologist by the Board of Psychology pursuant to Business and Professions Code, §§2940-2948

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certified by the Board of Psychology
Other Standard *(specify):*
1) Complete twelve semester units in applied behavior analysis; and
2) Have two years experience designing and implementing behavior modification intervention services.
Verification of Provider Qualifications
Entity Responsible for Verification:
Vendored by the regional center in accordance with Title 17, CCR, §§ 54310 and 54326.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Individual
Provider Type:
Behavior Management Consultant: (Psychologist)
Provider Qualifications
License *(specify):*
Licensed Psychologist by the Board of Psychology pursuant to Business and Professions Code, §§2940-2948

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certified by the Board of Psychology
Other Standard *(specify):*
1) Complete twelve semester units in applied behavior analysis; and
2) Have two years experience designing and implementing behavior modification intervention services.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Individual
Provider Type:
Behavior Analyst
Provider Qualifications
License *(specify):*
Licensed in accordance with Business and Professions Code as appropriate to the skilled professions staff.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certification by the Behavior Analyst Certification Board accredited by the National Commission for Certifying Agencies.
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Agency

Provider Type:

Behavior Analyst

Provider Qualifications

License *(specify):*

Licensed in accordance with Business and Professions Code as appropriate to the skilled professions staff.

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Certification by the Behavior Analyst Certification Board accredited by the National Commission for Certifying Agencies.

Other Standard *(specify):*

N/A

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Agency

Provider Type:

Behavioral Technician / Paraprofessional

Provider Qualifications

License *(specify):*

No state licensing category

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A
Other Standard *(specify):*
Works under the direct supervision of a Behavior Analyst or Behavior Management Consultant.

(1) Has a High School Diploma or the equivalent, has completed 30 hours of competency-based training designed by a certified behavior analyst, and has
six months experience working with persons with developmental disabilities;
or
(2) Possesses an Associate's Degree in either a human, social, or educational services discipline, or a degree or certification related to behavior management, from an accredited community college or educational institution, and has six months experience working with persons with developmental disabilities.

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Agency
Provider Type:
Behavior Management Assistant: (Psychology Assistant; Associate Licensed Clinical Social Worker)
Provider Qualifications
License *(specify):*
Licensed Psychology Assistant by the Medical Board of California pursuant to Business and Professions Code §2913

Licensed Associate Clinical Social Worker by the California Board of Behavioral Science Examiners pursuant to Business and Professions Code §4996.18.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Registered as either:
1. A psychological assistant of a psychologist by the Medical Board of California or Psychology Examining Board; or
2. An Associate Licensed Clinical Social Worker pursuant to Business and Professions Code, Section 4996.18.
Other Standard *(specify):*
Possesses a Bachelor of Arts or Science Degree and has either:
1. Twelve semester units in applied behavior analysis and one year of experience in designing and/or implementing behavior modification intervention services; BPC Sec. 2913(b)or
2. Two years of experience in designing and/or implementing behavior modification intervention services.

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as

applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Agency

Provider Type:

Parenting Support Services Provider

Provider Qualifications

License *(specify):*

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Vendor must ensure that trainers are credentialed and/or licensed as required by the State of California to practice in the field of training being offered.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Individual

Provider Type:

Individual or Family Training Provider

Provider Qualifications

License *(specify):*

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Vendor must ensure that trainers are credentialed and/or licensed as required by the State of California to practice in the field of training being offered.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Agency

Provider Type:

Licensed Psychiatric Technician

Provider Qualifications

License *(specify):*

Licensed Psychiatric Technician by the California State Board of Vocational Nurse and Psychiatric Technician pursuant to Business and Professions Code §4510

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

N/A

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Agency

Provider Type:

Associate Behavior Analyst

Provider Qualifications

License *(specify):*

No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Certification by the national Behavior Analyst Certification Board and accredited by the National Commission for Certifying Agencies.

Other Standard *(specify):*

Works under the direct supervision of a Behavior Analyst or Behavior Management Consultant.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Individual

Provider Type:

Family Counselor (MFCC), Clinical Social Worker (CSW)

Provider Qualifications

License *(specify):*

Licensed Marriage Family Therapist by the Board of Behavioral Sciences pursuant to Business and Professions Code §§4980 (b)

Licensed Clinical Social worker by the California Board of Behavioral Science Examiners pursuant to Business and Professions Code §§4996-4996.2

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

N/A

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Agency

Provider Type:
Family Counselor (MFCC), Clinical Social Worker (CSW)
Provider Qualifications
License *(specify):*
Licensed Marriage Family Therapist by the Board of Behavioral Sciences pursuant to Business and Professions Code §§4980 (b)

Licensed Clinical Social worker by the California Board of Behavioral Science Examiners pursuant to Business and Professions Code §§4996-4996.2

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Individual
Provider Type:
Behavior Management Consultant: Licensed Clinical Social Worker
Provider Qualifications
License *(specify):*
Licensed Clinical Social Worker by the California Board of Behavioral Science Examiners pursuant to Business and Professions Code §§4996-4996.2

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Issued and certified by the Board of Behavioral Sciences.
Other Standard *(specify):*
1) Complete twelve semester units in applied behavior analysis; and
2) Have two years experience designing and implementing behavior modification intervention services.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Individual
Provider Type:
Client/Parent Support Behavior Intervention Training
Provider Qualifications
License *(specify):*
Licensed in accordance with Business and Professions Code as appropriate to the skilled professions of staff.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*

Other Standard *(specify):*
Client/Parent Support Behavior Intervention Training services may be provided by a Behavior Analyst, Associate Behavior Analyst, Psychologist, Psychiatric Technician or Psychiatrist. Specific qualifications and training of providers are as specified in the requirements established in this section.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Individual
Provider Type:
Psychologist
Provider Qualifications
License *(specify):*
Psychologist: Licensed Psychologist by the Board of Psychology pursuant to Business and Professions Code§§2940-2948

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Agency

Provider Type:

Psychologist

Provider Qualifications

License *(specify):*

Psychologist: Licensed Psychologist by the Board of Psychology pursuant to Business and Professions Code§§2940-2948

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Individual

Provider Type:

Marriage Family Therapist (MFT)

Provider Qualifications

License *(specify):*

Marriage & Family Therapist (MFT): Licensed MFT by the California Board of Behavioral Sciences pursuant to Business and Professions Code §§4980-4989

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Agency

Provider Type:

Marriage Family Therapist (MFT)

Provider Qualifications

License *(specify):*

Marriage & Family Therapist (MFT): Licensed MFT by the California Board of Behavioral Sciences pursuant to Business and Professions Code §§4980-4989

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Individual
Provider Type:
Social Worker
Provider Qualifications
License *(specify):*
Social Worker: Licensed Social Worker by the California Board of Behavioral Sciences pursuant to Business and Professions Code §§4996-4997.1

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Agency
Provider Type:
Social Worker
Provider Qualifications
License *(specify):*
Social Worker: Licensed Social Worker by the California Board of Behavioral Sciences pursuant to Business and Professions Code §§4996-4997.1

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Individual
Provider Type:
Parenting Support Services Provider
Provider Qualifications
License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Vendor must ensure that trainers are credentialed and/or licensed as required by the State of California to practice in the field of training being offered.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Agency
Provider Type:
Psychiatrist
Provider Qualifications
License *(specify):*
Licensed Psychiatrist, a physician and surgeon by the Medical Board of California pursuant to Business and Professions Code § 2000.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certified by the American Board of Psychiatry and Neurology

Other Standard *(specify):*
N/A

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Agency

Provider Type:
Behavior Management Consultant: Licensed Clinical Social Worker

Provider Qualifications

License *(specify):*
Licensed clinical social worker by the California Board of Behavioral Sciences Examiners pursuant to Business and Professions Code §§4996-4996.2

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*
issued and certified by the Board of Behavioral Sciences

Other Standard *(specify):*
1) Complete twelve semester units in applied behavior analysis; and
2) Have two years experience designing and implementing behavior modification intervention services.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Agency

Provider Type:
Crisis Team-Evaluation and Behavioral Intervention

Provider Qualifications

License *(specify):*
Licensed pursuant to Business and Professions Code as appropriate to the skilled professions staff assigned to the team.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certified as appropriate to the skilled professions staff assigned to the team.
Other Standard *(specify):*
Program utilizes licensed and/or certified personnel as appropriate to provide develop and implement individualized crisis behavioral services plans. Specific qualifications and training of personnel per agency guidelines consistent with requirements for Behavior Analyst, Behavior Management Assistant, Behavior Management Consultant: Psychologist, Psychiatric Technician or Psychiatrist established in this section.

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Individual
Provider Type:
Chemical Addiction Counselor
Provider Qualifications
License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Chemical Addition Counselor: Certified in accordance with Title 9 CCR § 9846-13075
Other Standard *(specify):*

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Individual
Provider Type:
Behavior Management Consultant: Marriage Family Child Counselor
Provider Qualifications
License *(specify):*
Licensed Marriage and Family Therapist by the Department of Consumer Affairs, Board of Behavioral Sciences pursuant to Business and Professions Code §4980(b)

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Agency
Provider Type:
Chemical Addiction Counselor
Provider Qualifications
License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located
Certificate *(specify):*
Chemical Addition Counselor: Certified in accordance with Title 9 CCR § 9846-13075
Other Standard *(specify):*

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Individual
Provider Type:
Crisis Team-Evaluation and Behavioral Intervention
Provider Qualifications
License *(specify):*
Licensed pursuant to Business and Professions Code as appropriate to the skilled professions staff assigned to the team.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certified as appropriate to the skilled professions staff assigned to the team.
Other Standard *(specify):*
Program utilizes licensed and/or certified personnel as appropriate to provide develop and implement individualized crisis behavioral services plans. Specific qualifications and training of personnel per agency guidelines consistent with requirements for Behavior Analyst, Behavior Management Assistant, Behavior Management Consultant: Psychologist, Psychiatric Technician or Psychiatrist established in this section.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially ongoing thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:
Agency
Provider Type:
Client/Parent Support Behavior Intervention Training
Provider Qualifications
License *(specify):*
Licensed in accordance with Business and Professions Code as appropriate to the skilled professions of staff.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*

Other Standard *(specify):*
Client/Parent Support Behavior Intervention Training services may be provided by a Behavior Analyst, Associate Behavior Analyst, Psychologist, Psychiatric Technician or Psychiatrist.

Specific qualifications and training of providers are as specified in the requirements established in this section.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Agency

Provider Type:

Individual or Family Training Provider

Provider Qualifications

License *(specify):*

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Vendor must ensure that trainers are credentialed and/or licensed as required by the State of California to practice in the field of training being offered.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Behavioral Intervention Services

Provider Category:

Agency

Provider Type:

Crisis Intervention Facility

Provider Qualifications

License *(specify):*

Licensed Crisis Intervention Facility by the State Department of Social Services pursuant to Health & Safety Code §§1567.80 -1567.87.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
A certificate of program approval issued by the State Department of Developmental Services, pursuant to Health and Safety code § 1567.81 (a)(1)
Other Standard *(specify):*
Crisis services may be provided in any of the types of 24-hour care services identified in Habilitation – Community Living Arrangement Services (CLAS) section. Refer to the CLAS section for standards found in the Health and Safety Code §§1500-1567.87.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:
Statutory Service

Service:
Residential Habilitation

Alternate Service Title (if any):
Community Living Arrangement Services

HCBS Taxonomy:

Category 1:	Sub-Category 1:

Category 2:	Sub-Category 2:

Category 3:	Sub-Category 3:

Category 4:	Sub-Category 4:

Service Definition *(Scope):*
Habilitation—Community Living Arrangement Services (CLAS) includes two components, based on the setting:
A) Licensed/certified settings - CLAS provided in these settings include assistance with acquisition, retention, or improvement in skills related to living in the community. Services and supports include assistance with activities of daily living, community inclusion, social and leisure skill development and the adaptive skills necessary to enable the individual to reside in a non-institutional setting.

Services provided in licensed/certified settings will take into consideration the provision of the following:
1. Private or semi-private bedrooms shared by no more than two persons with personal décor. The choice of residential settings, including making decisions regarding sharing a bedroom, is made during the person-centered planning process.
2. Private or semi-private bathrooms. The residence must have enough bathroom space to ensure residents' privacy for personal hygiene, dressing, etc.
3. Common living areas or shared common space for interaction between residents, and residents and their guests.
4. Residents must have access to a kitchen area at all times.
5. Residents' opportunity to make decisions on their day-to-day activities, including visitors and when and what to eat, in their home and in the community.
6. Services which meet the needs of each resident.
7. Assurance of residents rights: a) to be treated with respect; b) choose and wear their own clothes; c) have private space to store personal items; d) have private space to visit with friends and family; e) use the telephone with privacy; f) choose how and with whom to spend free time; and h) have opportunities to take part in community activities of their choice.

Settings that contain multiple independent living units (e.g. apartments) are considered home-like settings for the purposes of this Waiver.

B) Supported living services (provided in residences owned or leased by the recipients.) - CLAS provided in these settings are tailored supports that provide assistance with acquisition, retention, or improvement in skills related to:
• Activities of daily living, such as personal grooming and cleanliness, bed making and household chores, eating and the preparation of meals, including planning, shopping, cooking, and storage activities;
• Social and adaptive skills necessary for participating in community life, such as building and maintaining interpersonal relationships, including a Circle of Support;
• Locating and scheduling appropriate medical services;
• Managing personal financial affairs;
• Selecting and moving into a home;
• Locating and choosing suitable house mates;
• Acquiring household furnishings;
• Recruiting, training, and hiring personal attendants;
• Acquiring, using, and caring for canine and other animal companions specifically trained to provide assistance;
• Acquiring, using and maintaining devices to facilitate immediate assistance when threats to health, safety, and well-being occur.

CLAS may include additional activities, as appropriate, to meet the recipients' unique needs. These activities include those that address social, adaptive, behavioral, and health care needs as identified in the individual program plan. CLAS may also include the provision of medical and health care services that are integral to meeting the daily needs of residents. Medical and health care services such as physician services that are not routinely provided to meet the daily needs of residents are not included.

The specific services provided to each recipient vary based on the residential setting chosen and needs identified in the individual program plan.

Payments will not be made for the routine care and supervision which would be expected to be provided by a family, or for activities or supervision for which a payment is made by a source for which the state is obligated, nor will payments be made for any maintenance and supervision costs for children in foster care. Such costs are paid by the child's county of residence, not by the regional center. Payments for CLAS in licensed/certified

settings do not include the cost for room and board. The method by which the costs of room and board are excluded from payment in these settings is specified in Appendix I-5.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Adult Residential Facilities (ARF)
Individual	In-Home Day Program (CB)
Agency	Adult Residential Facility for Persons with Special Health Care Needs
Agency	Group Homes (Children Only)
Agency	Residential Care Facility for the Elderly (RCFE)
Agency	In-Home Day Program (CB)
Agency	Supported Living Provider
Agency	Small Family Homes (Children Only)
Agency	Foster Family Agency (FFA)-Certified Family Homes (Children Only)
Agency	Foster Family Homes (FFHs) (Children Only)
Agency	Family Home Agency(FHA): Adult Family Home(AFH)/Family Teaching Home(FTH)
Agency	Residential Facility (out of state)
Individual	Supported Living Provider
Agency	Enhanced Behavioral Supports Homes (EBSH)

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:
Agency

Provider Type:
Adult Residential Facilities (ARF)

Provider Qualifications

License *(specify):*
Licensed Adult Residential facilities by the Department of Social Services pursuant to Health and Safety code §§ 1500 - 1567.8

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*
N/A

Other Standard *(specify):*

Title 22, CCR, §§85000-85092: Establish licensing requirements for persons 18 years of age through 59 years of age; and persons 60 years of age and older by exception.

Administrator Qualifications
- At least 21 years of age;
- High school graduation or a GED;
- Complete a program approved by DSS that consists of 35 hours of classroom instruction
o 8 hrs. in laws, including resident's personal rights, regulations, policies, and procedural standards that impact the operations of adult residential facilities;
o 3 hrs. in business operations;
o 3 hrs. in management and supervision of staff;
o 5 hrs. in the psychosocial needs of the facility residents;
o 3 hrs. in the use of community and support services to meet the resident's needs;
o 4 hrs. in the physical needs of the facility residents;
o 5 hrs. in the use, misuse and interaction of drugs commonly used by facility residents;
o 4 hrs. on admission, retention, and assessment procedures;
- Pass a standardized test, administered by the Department of Social Services with a minimum score of 70%.
- Criminal Record/Child Abuse Registry Clearance.

Additional Administrator Qualifications may also include:
- Has at least one year of administrative and supervisory experience in a licensed residential program for persons with developmental disabilities, and is one or more of the following:
(A) A licensed registered nurse.
(B) A licensed nursing home administrator.
(C) A licensed psychiatric technician with at least five years of experience serving individuals with developmental disabilities.
(D) An individual with a bachelors degree or more advanced degree in the health or human services field and two years experience working in a licensed residential program for persons with developmental disabilities and special health care needs.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services - –Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:
Individual

Provider Type:
In-Home Day Program (CB)

Provider Qualifications

License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Qualifications and training for staff in agency guidelines.

Must have a provision for an annual assessment process to ensure consumer participation in this type of program remains appropriate.

Providers may include employees of community-based day, pre-vocation, or vocational programs.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Regional Centers
DDS
Family Home Agency
Frequency of Verification:
Verified upon application for vendorization and biennally thereafter.

Annually
Biennially
Monthly

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:
Agency
Provider Type:
Adult Residential Facility for Persons with Special Health Care Needs
Provider Qualifications
License *(specify):*
Licensed Adult Residential Facility for Persons with Special Health Care Needs by the Department of Social Services pursuant to Health and Safety Code § 1567.50(b)(c)

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Per Health and Safety Code §1567.50, the State Department of Developmental Services shall be responsible for granting the certificate of program approval.
Other Standard *(specify):*
Welfare and Institutions Code, § 4684.50 et seq.

The administrator must:
1. Complete the 35-hour administrator certification program pursuant to paragraph (1) of subdivision (c) of Section 1562.3 of the Health and Safety Code without exception,
2. Has at least one year of administrative and supervisory experience in a licensed residential

program for persons with developmental disabilities, and is one or more of the following:
a. A licensed registered nurse.
b. A licensed nursing home administrator.
c. A licensed psychiatric technician with at least five years of experience serving individuals with developmental disabilities.
d. An individual with a bachelors degree or more advanced degree in the health or human services field and two years experience working in a licensed residential program for persons with developmental disabilities and special health care needs.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:

Agency

Provider Type:

Group Homes (Children Only)

Provider Qualifications

License *(specify):*

Licensed group homes by the Department of Social Services pursuant to Health and Safety Code §§ 1500-1567.8

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Title 22, CCR, § 84000-84808
Regulations adopted by DSS to specify requirements for licensure of Group Homes.
Administrator Qualifications:
1. Master's degree in a behavioral science, plus a minimum of one year of employment as a social worker in an agency serving children or in a group residential program for children;
2. Bachelor's degree, plus at least one year of administrative or supervisory experience (as above);
3. At least two years of college, plus at least two years administrative or supervisory experience (as above); or
4.Completed high school, or equivalent, plus at least three years administrative or supervisory experience (as above); and,
5. Criminal Records/Child Abuse Registry Clearance

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as

applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.
Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:
Agency
Provider Type:
Residential Care Facility for the Elderly (RCFE)
Provider Qualifications
License *(specify):*
Licensed Residential Care Facility of the Elderly by the Department of Social Services pursuant to Health and Safety Code §§1569-1569.889

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Title 22, CCR, §§87100-87793: Establish licensing requirements for facilities where 75 percent of the residents are sixty years of age or older. Younger residents must have needs compatible with other residents.

Administrator Qualifications:
1. Knowledge of the requirements for providing care and supervision appropriate to the residents.
2. Knowledge of and ability to conform to the applicable laws, rules and regulations.
3. Ability to maintain or supervise the maintenance of financial and other records.
4. Ability to direct the work of others.
5. Good character and a continuing reputation of personal integrity.
6. High school diploma or equivalent.
7. At least 21 years of age.
8. Criminal Record Clearance.

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:
Agency
Provider Type:
In-Home Day Program (CB)
Provider Qualifications
License *(specify):*
No state licensing category.
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Qualifications and training for staff in agency guidelines.
Must have a provision for an annual assessment process to ensure consumer participation in this type of program remains appropriate.
Providers may include employees of community-based day, pre-vocation, or vocational programs.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Regional Centers
DDS
Family Home Agency
Frequency of Verification:
Verified upon application for vendorization and biennally thereafter.
Annually
Biennially
Monthly

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:
Agency
Provider Type:
Supported Living Provider
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*

SLS requirements:
1. Service design including:
- Staff hiring criteria, including any minimum qualifications requirements; and
- Procedures and practices the agency will use to screen paid staff, consultants, and volunteers who will have direct contact with consumers.
2. Staff appropriate to services rendered with skills to establish and maintain constructive and appropriate personal relationship with recipients, minimize risks of endangerment to health, safety, and well-being of recipients, perform CPR and operate 24-hour emergency response systems, achieve the intended results of services being performed and maintenance of current and valid licensure, certification, or registration as are legally required for the service.
3. Staff orientation and training in theory and practice of supported living services and recipient training in supported living services philosophy, recipient rights, abuse prevention and reporting, grievance procedures and strategies for building and maintaining a circle of support.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:

Agency

Provider Type:

Small Family Homes (Children Only)

Provider Qualifications

License *(specify):*

Licensed Small Family Home by the Department of Social Services pursuant to the Health and Safety Code §§1500-1567.8

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Title 22, CCR §§ 83000-83088.
Regulations adopted by DSS to specify requirements for licensure of Small Family Homes.
Licensee/Administrator Qualifications
- Criminal Records/Child Abuse Index Clearance;
- At least 18 years of age;
- Documented education, training, or experience in providing family home care and supervision appropriate to the type of children to be served. The amount of units or supervision appropriate to the type of children to be served. The amount of units or training hours is not specified. The following are examples of acceptable education or training topics. Programs which can be shown to be similar are accepted:
o Child Development;
o Recognizing and/or dealing with learning disabilities;
o Infant care and stimulation;
o Parenting skills;
o Complexities, demands and special needs of children in placement;

o Building self esteem, for the licensee or the children;
o First aid and/or CPR;
o Bonding and/or safeguarding of children's property;
o Ability to keep financial and other records;
o Ability to recruit, employ, train, direct the work of and evaluate qualified staff.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:

Agency

Provider Type:

Foster Family Agency (FFA)-Certified Family Homes (Children Only)

Provider Qualifications

License *(specify):*

Licensed Foster Family Agency by the Department of Social Services pursuant to Health and Safety Code §§1500-1567.8

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Certified Family Homes under Title 22, CCR, § 88030 establishes requirements for FFA certification of family homes

Other Standard *(specify):*

Title 22, CCR §§ 88000-88087. Regulations adopted by DSS to specify requirements for licensure of FFA's, certification and use of homes,

FFA administrator qualifications:
(1) A Master's Degree in social work or a related field. Three years of experience in the field of child or family services, two years of which have been administrative/ managerial; or,

(2) A Bachelor's Degree in a behavioral science from an accredited college or university. A minimum of five years of experience in child or family services, two years of which have been in an administrative or managerial position.

Certified family home providers meet requirements for foster family homes (Refer to Foster Family Homes below).

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as

applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:

Agency

Provider Type:

Foster Family Homes (FFHs) (Children Only)

Provider Qualifications

License *(specify):*

Licensed Foster Family Agency by the Department of Social services pursuant to Health and Safety Code §§1500-1567.8.

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Certified Family Homes under Title 22, CCR, § 88030 establishes requirements for FFA certification of family homes

Other Standard *(specify):*

Title 22, CCR §§89200-89587.1

Regulations adopted by DSS to specify requirements for licensure of Foster Family Homes.

Qualifications/Requirements for FFH providers:

1. Comply with applicable laws and regulations and:
2. Provide care and supervision to meet the child's needs including communicating with the child;
3. Maintain all child records, safeguard cash resources and personal property;
4. Direct the work of others in providing care when applicable,
5. Apply the reasonable and prudent parent standard;
6. Promote a normal, healthy, balanced, and supported childhood experience and treat a child as part of the family;
7. Attend training and professional development;
8. Criminal Records/Child Abuse Registry clearance;
9. Report special incidents;
10. Ensure each child's personal rights; and,
11. Maintain a clean, safe, health home environment.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:
Agency
Provider Type:
Family Home Agency(FHA): Adult Family Home(AFH)/Family Teaching Home(FTH)
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
AFH Title 17, CCR, §56088
Authorizes the FHA to issue a Certificate of Approval to each family home which has:
1. Completed the criminal record review ;
2. Been visited by the FHA and a determination ensuring safe and reasonable and the prospective providers experience, knowledge, cooperation, history and interest to become an approved family home.
3. Completed required orientation and training.
Other Standard *(specify):*
Welfare and Institutions Code 4689.1-4689.6 provides definition and statutory authority for FHA.

FHA employs sufficient staff with the combined experience, training and education to perform the following duties:
1. Administration of the FHA;
2. Recruitment of family homes;
3. Training of FHA staff and family homes;
4. Ensuring an appropriate match between the needs and preferences of the consumer and the family home;
5. Monitoring of family homes;
6. Provision of services and supports to consumers and family homes which are consistent with the consumer's preferences and needs and the consumer's IPP; and
7. Coordination with the regional center and others.

In order to accomplish these duties, selection criteria for hiring purposes should include but not be limited to: education in the fields of social work, psychology, education of related areas; experience with persons with developmental disabilities; experience in program management, fiscal management and organizational development.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Regional Centers
DDS

Family Home Agency
Frequency of Verification:
Verified upon application for vendorization and thereafter.

Annually
Biennially

Monthly

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:
Agency
Provider Type:
Residential Facility (out of state)
Provider Qualifications
License *(specify):*
Appropriate Facility License, as required by State law.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Department approval is required per the Welfare and Institutions Code, § 4519. Residential facility providers must meet state of residence waiver standards and requirements in all respects.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:
Individual
Provider Type:
Supported Living Provider
Provider Qualifications
License *(specify):*
No state licensing Category.
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
SLS requirements:
1. Service design including:
-Staff hiring criteria, including any minimum qualifications requirements; and
-Procedures and practices the agency will use to screen paid staff, consultants, and volunteers who will have direct contact with consumers.
2. Staff appropriate to services rendered with skills to establish and maintain constructive and appropriate personal relationship with recipients, minimize risks of endangerment to health, safety, and well-being of recipients, perform CPR and operate 24-hour emergency response systems, achieve the intended results of services being performed and maintenance of current and valid

licensure, certification, or registration as are legally required for the service.
3. Staff orientation and training in theory and practice of supported living services and recipient training in supported living services philosophy, recipient rights, abuse prevention and reporting, grievance procedures and strategies for building and maintaining a circle of support.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Regional Centers
DDS
Family Home Agency

Frequency of Verification:
Verified upon application for vendorization and biennally thereafter.
Annually
Biennially
Monthly

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Community Living Arrangement Services

Provider Category:
Agency

Provider Type:
Enhanced Behavioral Supports Homes (EBSH)

Provider Qualifications

License *(specify):*
Licensed Adult Residential Facility or group home by the Department of Social Services pursuant to Health and Safety Code §§ 1567.61 - 1567.80

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*
Certified by the Department of Developmental Services pursuant to WIC 4684.80

Other Standard *(specify):*
In addition to the requirements in Title 22, CCR, §§85000-85092, the following requirements from Title 17, CCR, §§59050 also apply:
Administrator Qualifications

(a) An administrator must:
(1) Have a minimum of 2 years of prior experience providing direct care or supervision to individuals with developmental disabilities; and be one of the following:
(A) A registered behavior technician.
(B) A licensed psychiatric technician.
(C) A qualified behavior modification professional.

(b) An administrator must complete the residential services orientation as required per Section 56003(b)
Direct Care Staff Qualifications.

(a) A direct care lead staff person must:
(1) Have at least one year prior experience providing direct care to individuals with developmental disabilities, with a focus on behavioral services; and

(2) Become a registered behavior technician within 60 days of initial employment; or, be either:
(A) A licensed psychiatric technician; or
(B) A qualified behavior modification professional.

(b) A direct care staff person must:
(1) Have at least six months prior experience providing direct care to individuals with developmental disabilities, with a focus on behavioral services; and
(2) Become a registered behavior technician within twelve months of initial employment; or be:
(A) Be a licensed psychiatric technician.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Regional Centers

DDS

Family Home Agency

Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Biennially

Monthly

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:
Statutory Service

Service:
Day Habilitation

Alternate Service Title (if any):
Day Service

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Habilitation – Day Services includes three components:
A) Community-Based Day Services – (Providers identified with "CB" below)
These services provide assistance with acquisition, retention, or improvement in self-help, socialization and adaptive skills which take place in a non-residential setting. Services may be furnished four or more hours per day on a regularly scheduled basis, for one or more days per week unless provided as an adjunct to other day activities included in an individual's plan of care. These services enable the individual to attain or maintain his or her maximum functional level and shall be coordinated with any physical, occupational, or speech therapies listed in the plan of care. In addition, day habilitation service may serve to reinforce skills or lessons taught in school, therapy, or other settings. Transportation services are not included in this service.
B) Activity-Based/Therapeutic Day Services – (Providers identified with "AT" below)
These services provide assistance with acquisition, retention, or improvement in self-help, socialization and adaptive skills through therapeutic and/or physical activities and are designed to:
• Gain insight into problematic behavior
• Provide opportunities for expression of needs and feelings
• Enhance gross and fine motor development
• Promote language development and communication skills
• Increase socialization and community awareness
• Improve communication skills
• Provide visual, auditory and tactile awareness and perception experiences
• Assist in developing appropriate peer interactions
C) Mobility Related Day Services - (Providers identified with "MT" below)
These services foster the acquisition of greater independence and personal choice by teaching individuals how to use public transportation or other modes of transportation which will enable them to move about the community independently.

The above described services are not available under a program funded under section 110 of the Rehabilitation Act of 1973 (29 USC Section 730) or section 602(16) and (17) of the Individuals with Disabilities Education Act (20 USC 1401(16 and 17).
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
A consumer may receive specialized recreation and non-medical therapies when the regional center determines that the service is a primary or critical means for ameliorating the physical, cognitive, or psychosocial effects of the consumer's developmental disability, or the service is necessary to enable the consumer to remain in his or her home and no alternative service is available to meet the consumer's need.

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Music Therapist (AT)
Agency	Adult Development Centers (CB)

Provider Category	Provider Type Title
Agency	Mobility Training Services Agency (MT)
Agency	Sports Club (AT)
Agency	Creative Art Program (AT)
Individual	Independent Living Specialist (CB)
Individual	Driver Trainer (MT)
Agency	Dance Therapist
Individual	Personal Assistant (CB)
Agency	Art Therapist (AT)
Individual	Recreational Therapist (AT)
Agency	Music Therapist (AT)
Agency	Specialized Recreational Therapist (AT)
Agency	Special Olympics (AT)
Individual	Adaptive Skills Trainer (CB)
Individual	Socialization Training Program; Community Integration Training Program: Community Activities Support Service (CB)
Individual	Special Olympics (AT)
Agency	Behavior Management Program (CB)
Individual	Creative Art Program (AT)
Agency	Activity Center (CB)
Agency	Independent Living Program (CB)
Individual	Mobility Training Services Specialist (MT)
Agency	Driver Trainer (MT)
Individual	Art Therapist (AT)
Agency	Personal Assistant (CB)
Individual	Specialized Recreational Therapist
Agency	Recreational Therapist (AT)
Agency	Socialization Training Program; Community Integration Training Program: Community Activities Support Service (CB)
Agency	Adaptive Skills Trainer (CB)
Individual	Dance Therapist (AT)
Agency	Social Recreation Program (CB)

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Individual
Provider Type:
Music Therapist (AT)
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Valid registration issued by the National Association for Music Therapy.
Other Standard *(specify):*
N/A

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:

Agency

Provider Type:

Adult Development Centers (CB)

Provider Qualifications

License *(specify):*

Licensed facility by the Department of Social Services pursuant to Health and Safety Code §§ 1500-1567.87

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Requires written program design, recipient entrance and exit criteria, and staff training.

Director must have BA/BS with 18 months experience in human services delivery, or five years experience in human services delivery field. Supervisory staff must have three years experience plus demonstrated supervisory skills.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Mobility Training Services Agency (MT)
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Personnel providing this service possess the skill, training or education necessary to teach individuals how to use public transportation or other modes of transportation which enable them to move about the community independently including:
a) previous experience working with individuals with developmental disabilities and awareness of associated problems, attitudes and behavior patterns;
b) a valid California Driver's license and current insurance;
c) ability to work independently with minimal supervision according to specific guidelines; and
d) flexibility and adaptive skills to facilitate individual recipient needs.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Sports Club (AT)
Provider Qualifications
License *(specify):*
No state licensing Category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
All community recreational program providers shall possess the following minimum qualifications:
1. Ability to perform the functions required by the individual plan of care;
2. Demonstrated dependability and personal integrity;
3. Willingness to pursue training as necessary based upon the individual consumer's needs.

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for

the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:

Agency

Provider Type:

Creative Art Program (AT)

Provider Qualifications

License *(specify):*

Licensed creative art program by the Department of Social Services pursuant to Health and Safety Code §§ 1500-1567.87

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Program Director: Equivalent of a high school diploma and experience with persons with developmental disabilities.

Direct Care Staff: Must have artistic experience as demonstrated through a resume.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:

Individual

Provider Type:

Independent Living Specialist (CB)

Provider Qualifications

License *(specify):*

No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Possesses the skill, training, or education necessary to teach recipients to live independently and/or to provide the supports necessary for the recipient to maintain a self-sustaining, independent living situation in the community, such as one year experience providing services to individuals in a residential or non-residential setting and possession of at least a two-year degree in a subject area related to skills training and development of program plans for eligible individuals.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Individual
Provider Type:
Driver Trainer (MT)
Provider Qualifications

License *(specify):*
Valid California driver's license

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Current certification by the California Department of Motor Vehicles as a driver instructor.
Other Standard *(specify):*
N/A

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Dance Therapist
Provider Qualifications
License *(specify):*
No state licensing category.
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Validly registered as a dance therapist by the American Dance Therapy Association
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.
Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Individual
Provider Type:
Personal Assistant (CB)
Provider Qualifications
License *(specify):*
No state licensing category

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Ability to provide assistance and support to meet Habilitation-Day Services needs as outlined in an individual program plan.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Art Therapist (AT)
Provider Qualifications
License *(specify):*
No state licensing category.
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Current registration issued by the American Art Therapy Association
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.
Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Individual
Provider Type:
Recreational Therapist (AT)
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certification issued by either the National Council for Therapeutic Recreation Certification or the California Board of Recreation and Park Certification.
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as

applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:

Agency

Provider Type:

Music Therapist (AT)

Provider Qualifications

License *(specify):*

No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Valid registration issued by the National Association for Music Therapy.

Other Standard *(specify):*

N/A

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:

Agency

Provider Type:

Specialized Recreational Therapist (AT)

Provider Qualifications

License *(specify):*

Credentialed and/or licensed as required by the State in the field of therapy being offered.

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Special Olympics (AT)
Provider Qualifications
License *(specify):*
No state licensing category.
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Knowledge and training sufficient to ensure consumer participation in Special Olympics.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Individual
Provider Type:

Adaptive Skills Trainer (CB)
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Individual providing this service shall possess:
1. Master's degree in education, psychology, counseling, nursing, social work, applied behavior analysis, behavioral medicine, speech and language or rehabilitation; and
2. At least one year of experience in the designing and implementation of adaptive skills training plans.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Individual
Provider Type:
Socialization Training Program; Community Integration Training Program: Community Activities Support Service (CB)
Provider Qualifications
License *(specify):*
Licensed facility by the Department of Social Services pursuant to Health and Safety Code §§ 1500-1567.87

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Qualifications and training of staff per agency guidelines.

For Community Integration Training Program: Program directors must have at least a bachelor's degree. Direct service workers may be qualified by experience.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Individual
Provider Type:
Special Olympics (AT)
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Knowledge and training sufficient to ensure consumer participation in Special Olympics.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Behavior Management Program (CB)
Provider Qualifications
License *(specify):*
Licensed Facility by the Department of Social Services pursuant to Health and Safety Code §§ 1500-1567.87

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A

Other Standard *(specify):*
Requires written program design, recipient entrance and exit criteria, and staff training.

Director must have BA/BS with 18 months experience in human services delivery, or five years experience in human services delivery field. Supervisory staff must have three years experience plus demonstrated supervisory skills.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Individual

Provider Type:
Creative Art Program (AT)

Provider Qualifications

License *(specify):*
Licensed creative art program by the Department of Social Services pursuant to Health and Safety Code §§ 1500-1567.87
As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*
N/A

Other Standard *(specify):*
Program Director: Equivalent of a high school diploma and experience with persons with developmental disabilities.
Direct Care Staff: Must have artistic experience as demonstrated through a resume.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Activity Center (CB)
Provider Qualifications
License *(specify):*
Licensed facility by the Department of Social Services pursuant to Health and Safety Code §§ 1500-1567.87.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Requires written program design, recipient entrance and exit criteria, and staff training.

Director must have BA/BS with 18 months experience in human services delivery, or five years experience in human services delivery field. Supervisory staff must have three years experience plus demonstrated supervisory skills.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Independent Living Program (CB)
Provider Qualifications
License *(specify):*
Licensed facility by the Department of Social Services pursuant to Health and Safety Code §§ 1500-1567.87

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*

N/A
Other Standard *(specify):*
Requires written program design, recipient entrance and exit criteria, and staff training.

Director must have BA/BS with 18 months experience in human services delivery, or five years experience in human services delivery field. Supervisory staff must have three years experience plus demonstrated supervisory skills.

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.
Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Individual
Provider Type:
Mobility Training Services Specialist (MT)
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Individuals providing this service possess the following minimum requirements:
1. Previous experience working with individuals with developmental disabilities and awareness of associated problems, attitudes and behavior patterns;
2. A valid California Driver's license and current insurance;
3. Ability to work independently, flexibility and adaptive skills to facilitate individual recipient needs.

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Driver Trainer (MT)
Provider Qualifications
License *(specify):*
Valid California driver's license
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Current certification by the California Department of Motor Vehicles as a driver instructor.
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Individual
Provider Type:
Art Therapist (AT)
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Current registration issued by the American Art Therapy Association.
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as

applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:

Agency

Provider Type:

Personal Assistant (CB)

Provider Qualifications

License *(specify):*

No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Ability to provide assistance and support to meet Habilitation-Day Services needs as outlined in an individual program plan.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:

Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:

Individual

Provider Type:

Specialized Recreational Therapist

Provider Qualifications

License *(specify):*

Credentialed and/or licensed as required by the State in the field of therapy being offered.

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*
Equestrian therapists shall possess a current accreditation and instructor certification with the North American Riding for the Handicapped Association
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Recreational Therapist (AT)
Provider Qualifications
License *(specify):*
No state licensing category.
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certification issued by either the National Council for Therapeutic Recreation Certification or the California Board of Recreation and Park Certification.
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Socialization Training Program; Community Integration Training Program: Community Activities Support Service (CB)
Provider Qualifications
License *(specify):*
License facility by the Department of Social Services pursuant to Health and Safety Code §§ 1500-1567.87

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Qualifications and training of staff per agency guidelines.

For Community Integration Training Program: Program directors must have at least a bachelor's degree. Direct service workers may be qualified by experience.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Adaptive Skills Trainer (CB)
Provider Qualifications
License *(specify):*
No state licensing category.
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Individual providing this service shall possess:
1. Master's degree in education, psychology, counseling, nursing, social work, applied behavior analysis, behavioral medicine, speech and language or rehabilitation; and
2. At least one year of experience in the designing and implementation of adaptive skills training plans.
Verification of Provider Qualifications
Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and ongoing at least biennially thereafter through oversight and monitoring activities.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Individual
Provider Type:
Dance Therapist (AT)
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Validly registered as a dance therapist by the American Dance Therapy Association
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Day Service

Provider Category:
Agency
Provider Type:
Social Recreation Program (CB)
Provider Qualifications
License *(specify):*

Licensed Facility by the Department of Social Services pursuant to Health and Safety Code §§ 1500-1567.87

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Requires written program design, recipient entrance and exit criteria, and staff training.
Director must have BA/BS with 18 months experience in human services delivery, or five years experience in human services delivery field. Supervisory staff must have three years experience plus demonstrated supervisory skills.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and at least biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Statutory Service
Service:
Homemaker
Alternate Service Title (if any):

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Services consisting of general household activities (meal preparation and routine household care) provided by a trained homemaker, when the individual regularly responsible for these activities is temporarily absent or unable to manage the home and care for him or herself or others in the home.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
None

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Paid individual
Agency	Service Agency

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Homemaker

Provider Category:
Individual
Provider Type:
Paid individual
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Individual providers of homemaker services shall have the ability to maintain, strengthen, or safeguard the care of individuals in their homes.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Homemaker

Provider Category:
Agency
Provider Type:
Service Agency
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Must employ, train and assign personnel who maintain, strengthen, or safeguard the care of individuals in their homes.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Statutory Service
Service:
Prevocational Services
Alternate Service Title (if any):

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Prevocational services are services that are delivered for the purpose of furthering habilitation goals of leaning and work experience through a habilitation service plan required by 17 CCR § 58812 to outline a specific path to competitive, integrated employment in the community. The service plan is to be reviewed not less than annually or more frequently if requested by the individual.

Services are intended to develop and teach general skills that lead to competitive and integrated employment including, but not limited to: ability to communicate effectively with supervisors, co-workers and customers; generally accepted community work place conduct and dress; ability to follow directions; ability to attend to asks; work place problem solving skills and strategies; general work place safety and mobility training. Additionally, both work adjustment and supportive habilitation services as defined in Title 17 CCR § 58820 (c)(2), should allow for the development of productive skills, physical and psychomotor skills, interpersonal and communicative skills, health and hygiene maintenance, personal safety practices, self-advocacy training, and other skills aimed at maintaining a job and as outlined in the individual's person-centered services and supports plan. Individuals may be compensated based upon their performance and upon prevailing wage. However, compensation is not the sole purpose of participation in this service.

Prevocational services are designed to prepare individuals in non-job-task-specific strengths and skills that contribute towards obtaining a competitive and integrated employment, as opposed to vocational services whose sole purpose is to provide employment without habilitation goals geared towards skill building.

Transportation services are not included under Prevocational Services.

Federal financial participation is not claimed for incentive payments, subsidies, or unrelated vocational training expenses such as incentive payments made to an employer to encourage or subsidize the employer's participation in supported employment; or payments that are passed through to users of supported employment services.

o The above-described services are not available under a program funded under section 110 of the Rehabilitation Act of 1973 (29 USC Section 730) or section 602(16) and (17) of the Individuals with Disabilities Education Act (20 U.S.C. 1401 (16 and 17)).

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Work Activity Program
Agency	Supported Employment Programs

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Prevocational Services

Provider Category:
Agency
Provider Type:
Work Activity Program
Provider Qualifications
License *(specify):*
Licensed facility by the Department of Social Services pursuant to the Health and Safety Code §§ 1500-1567.87

if applicable Federal/State Tax Exempt Letter.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Programs must initially meet the Department of Rehabilitation Program certification standards and be accredited by CARF within four years of providing services per Welfare and Institutions Code § 4851
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Commission on Accreditation of Rehabilitation Facilities (CARF). CARF communicates with DDS on all CARF accreditation renewals in process. The information is shared with regional centers as needed.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Within four years at start-up; every one to three years thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Prevocational Services

Provider Category:
Agency
Provider Type:
Supported Employment Programs
Provider Qualifications

License *(specify):*
No state licensing category.

Federal/State Tax Exempt Letter.
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Programs must initially meet the Department of Rehabilitation Program certification standards and be accredited by CARF within four years of providing services pursuant to Title 17 § 58810(f)(1)(2).
Other Standard *(specify):*
N/A

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Commission on Accreditation of Rehabilitation Facilities (CARF). CARF communicates with DDS on all CARF accreditation renewals in process. The information is shared with regional centers as needed.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.
Within four years at start-up; every one to three years thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:
Statutory Service

Service:
Respite

Alternate Service Title (if any):
Respite Care

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Intermittent, temporary non-medical care (with the exception of colostomy, ileostomy, catheter maintenance, and gastrostomy) and supervision provided in the recipient's own home or in an approved out of home location to do all of the following:
1. Assist family members in maintaining the recipient at home;
2. Provide appropriate care and supervision to protect the recipient's safety in the temporary absence of family members;
3. Temporarily relieve family members from the constantly demanding responsibility of caring for a recipient; and
4. Attend to the recipient's basic self-help needs and other activities of daily living, including interaction, socialization, and continuation of usual daily routines which would ordinarily be performed by family members.

FFP will not be claimed for the following:
- Respite services provided beyond thirty consecutive days.
- Cost of room and board except when provided as part of respite care furnished in a facility approved by the State that is not a private residence.

Respite care may be provided in the following locations:

Private residence
- Residential licensed by the Department of Social Services.
- Respite facility licensed by the Department of Social Services
- Other community setting approved by the State that is not a private residence, such as:
o Adult Family Home/Family Teaching Home
o Certified Family Homes for Children
o Adult Day Care Facility
o Camp
o Licensed Preschool

A regional center may offer family members or adult consumers the option to self-direct their own respite services.
Respite services do not duplicate services provided under the Individuals with Disabilities Education Act (IDEA) of 2004.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [x] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Respite Facility; Residential Facility: Foster Family Homes (FFHs) (Children Only)
Agency	Respite Facility; Residential Facility: Adult Residential Facility for Persons with Special Health Care Needs
Agency	Respite Facility; Residential Facility: Adult Residential Facilities (ARF)

Provider Category	Provider Type Title
Agency	Respite Facility; Residential Facility: Family Home Agency(FHA): Adult Family Home (AFH)/Family Teaching Home(FTH)
Individual	Adult Day Care
Agency	Respite Facility; Residential Facility: Group Homes (Children Only)
Individual	Individual
Agency	Respite Facility; Residential Facility: Foster Family Agency (FFA)-Certified Family Homes (Children Only)
Agency	Respite Facility; Residential Facility: Small Family Homes (Children Only)
Agency	Camping Services
Agency	Respite Facility; Residential Facility: Residential Care Facility for the Elderly (RCFE)
Agency	Respite Agency
Agency	Adult Day Care Facility

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:
Agency
Provider Type:
Respite Facility; Residential Facility: Foster Family Homes (FFHs) (Children Only)
Provider Qualifications
License *(specify):*
Licensed Foster Family Home by the State Department of Social Services pursuant to Health and Safety Code §§1500-1567.87

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
The licensed Family Home Agency must certify Family Homes pursuant to Title 22, CCR, § 88030
Other Standard *(specify):*
Title 22, CCR §§89200-89587.1
Regulations adopted by DSS to specify requirements for licensure of Foster Family Homes.

Qualifications/Requirements for FFH providers:
1. Comply with applicable laws and regulations and:
2. Provide care and supervision to meet the child's needs including communicating with the child;
3. Maintain all child records, safeguard cash resources and personal property;
4. Direct the work of others in providing care when applicable,
5. Apply the reasonable and prudent parent standard;
6. Promote a normal, healthy, balanced, and supported childhood experience and treat a child as part of the family;
7. Attend training and professional development;
8. Criminal Records/Child Abuse Registry clearance;
9. Report special incidents;
10. Ensure each child's personal rights; and,
11. Maintain a clean, safe, health home environment.

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:
Agency
Provider Type:
Respite Facility; Residential Facility: Adult Residential Facility for Persons with Special Health Care Needs
Provider Qualifications
License *(specify):*
Licensed Adult Residential Facility for Persons with Special Health Care Needs by the Department of Social Services pursuant to Health and Safety Code §1567.50

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
The State Department of Social Services shall not issue a license unless the applicant has obtained a certification of program approval from the State Department of Developmental Services pursuant to Health and Safety Code 1567.50(1)
Other Standard *(specify):*
Welfare and Institutions Code, § 4684.50 et seq.

The administrator must:
1. Complete the 35-houradministrator certification program pursuant to paragraph (1) of subdivision (c) of Section 1562.3 of the Health and Safety Code without exception,
2. Has at least one year of administrative and supervisory experience in a licensed residential program for persons with developmental disabilities, and is one or more of the following:
a. A licensed registered nurse.
b. A licensed nursing home administrator.
c. A licensed psychiatric technician with at least five years of experience serving individuals with developmental disabilities.
d. An individual with a bachelor's degree or more advanced degree in the health or human services field and two years experience working in a licensed residential program for persons with developmental disabilities and special health care needs.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.
Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:
Agency
Provider Type:
Respite Facility; Residential Facility: Adult Residential Facilities (ARF)
Provider Qualifications
License *(specify):*
Licensed Adult Residential Facility by the Department of Social Services pursuant to Health and Safety Code §§ 1500 - 1567.8

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Title 22, CCR, §§85000-85092: Establish licensing requirements for persons 18 years of age through 59 years of age; and persons 60 years of age and older by exception.

Administrator Qualifications
- At least 21 years of age;
- High school graduation or a GED;
- Complete a program approved by DSS that consists of 35 hours of classroom instruction
o 8 hrs. in laws, including resident's personal rights, regulations, policies, and procedural standards that impact the operations of adult residential facilities;
o 3 hrs. in business operations;
o 3 hrs. in management and supervision of staff;
o 5 hrs. in the psychosocial needs of the facility residents;
o 3 hrs. in the use of community and support services to meet the resident's needs;
o 4 hrs. in the physical needs of the facility residents;
o 5 hrs. in the use, misuse and interaction of drugs commonly used by facility residents;
o 4 hrs. on admission, retention, and assessment procedures;
- Pass a standardized test, administered by the Department of Social Services with a minimum score of 70%.
- Criminal Record/Child Abuse Registry Clearance.

Additional Administrator Qualifications may also include:
- Has at least one year of administrative and supervisory experience in a licensed residential program for persons
- with developmental disabilities, and
is one or more of the following:
(A) A licensed registered nurse.
(B) A licensed nursing home administrator.
(C) A licensed psychiatric technician with at least five years of experience serving individuals with developmental disabilities.
(D) An individual with a bachelors degree or more advanced degree in the health or human services field and two years experience working in a licensed residential program for persons with developmental disabilities and special health care needs.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for

the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:

Verified upon application for vendorization and biennial thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:

Agency

Provider Type:

Respite Facility; Residential Facility: Family Home Agency(FHA): Adult Family Home(AFH)/Family Teaching Home(FTH)

Provider Qualifications

License *(specify):*

No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

AFH Title 17, CCR, §56088
Authorizes the FHA to issue a Certificate of Approval to each family home which has:
1. Completed the criminal record review ;
2. Been visited by the FHA and a determination ensuring safe and reasonable and the prospective providers experience, knowledge, cooperation, history and interest to become an approved family home.
3. Completed required orientation and training.

Other Standard *(specify):*

Welfare and Institutions Code 4689.1-4689.6 provides statutory authority for FHA.

FHA employs sufficient staff with the combined experience, training and education to perform the following duties:
1. Administration of the FHA;
2. Recruitment of family homes;
3. Training of FHA staff and family homes;
4. Ensuring an appropriate match between the needs and preferences of the consumer and the family home;
5. Monitoring of family homes;
6. Provision of services and supports to consumers and family homes which are consistent with the consumer's preferences and needs and the consumer's IPP; and
7. Coordination with the regional center and others.

In order to accomplish these duties, selection criteria for hiring purposes should include but not be limited to: education in the fields of social work, psychology, education of related areas; experience with persons with developmental disabilities; experience in program management, fiscal management and organizational development.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as

applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:
Individual
Provider Type:
Adult Day Care
Provider Qualifications
License *(specify):*
Licensed as an Ault Care facility by the Department of Social Services pursuant to Health and Safety code §§ 1500-1567.8
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
The administrator shall have the following qualifications:
1.Attainment of at least 18 years of age.
2.Knowledge of the requirements for providing the type of care and supervision needed by clients, including ability to communicate with such clients.
3.Knowledge of and ability to comply with applicable law and regulation.
4.Ability to maintain or supervise the maintenance of financial and other records.
5.Ability to direct the work of others, when applicable.
6.Ability to establish the facility's policy, program and budget.
7.Ability to recruit, employ, train, and evaluate qualified staff, and to terminate employment of staff, if applicable to the facility.
8.A baccalaureate degree in psychology, social work or a related human services field and a minimum of one year experience in the management of a human services delivery system; or three years experience in a human services delivery system including at least one year in a management or supervisory position and two years experience or training in one of the following:
A. Care and supervision of recipients in a licensed adult day care facility, adult day support center or an adult day health care facility.
B. Care and supervision of one or more of the categories of persons to be served by the center.
The licensee must make provision for continuing operation and carrying out of the administrator's responsibilities during any absence of the administrator by a person who meets the qualification of an administrator.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:
Agency
Provider Type:
Respite Facility; Residential Facility: Group Homes (Children Only)
Provider Qualifications
License *(specify):*
Licensed group homes by the Department of Social Services pursuant to Health and Safety Code §§ 1500-1567.8

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Title 22, CCR, § 84000-84808
Regulations adopted by DSS to specify requirements for licensure of Group Homes.
Administrator Qualifications:
1. Master's degree in a behavioral science, plus a minimum of one year of employment as a social worker in an agency serving children or in a group residential program for children;
2. Bachelor's degree, plus at least one year of administrative or supervisory experience (as above);
3. At least two years of college, plus at least two years administrative or supervisory experience (as above); or
4.Completed high school, or equivalent, plus at least three years administrative or supervisory experience (as above); and,
5. Criminal Records/Child Abuse Registry Clearance
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:
Individual
Provider Type:
Individual
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Has received Cardiopulmonary Resuscitation (CPR) and First Aid training from agencies offering such training. Such training, including but not limited to, the American Red Cross; and must have the skill, training, or education necessary to preform the required services.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:
Agency
Provider Type:
Respite Facility; Residential Facility: Foster Family Agency (FFA)-Certified Family Homes (Children Only)
Provider Qualifications
License *(specify):*
Licensed Foster Family Agency by the State Department of Social Services pursuant to Health and Safety Code §§1500-1567.8

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certified Family Homes; Title 22, CCR, § 88030 establishes requirements for FFA certification of family homes.
Other Standard *(specify):*
Title 22, CCR §§ 88000-88087. Regulations adopted by DSS to specify requirements for licensure of FFA's, certification and use of homes,

FFA administrator qualifications:
(1) A Master's Degree in social work or a related field. Three years of experience in the field of child or family services, two years of which have been administrative/ managerial; or,

(2) A Bachelor's Degree in a behavioral science from an accredited college or university. A minimum of five years of experience in child or family services, two years of which have been in an administrative or managerial position.

Certified family home providers meet requirements for foster family homes (Refer to Foster Family Homes below).

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:

Agency

Provider Type:

Respite Facility; Residential Facility: Small Family Homes (Children Only)

Provider Qualifications

License *(specify):*

Licensed Small Family Home by the Department of Social Services pursuant to Health and Safety Code §§1500-1567.87

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Title 22, CCR §§ 83000-83088.
Regulations adopted by DSS to specify requirements for licensure of Small Family Homes.
Licensee/Administrator Qualifications
- Criminal Records/Child Abuse Index Clearance;
- At least 18 years of age;
- Documented education, training, or experience in providing family home care and supervision appropriate to the type of children to be served. The amount of units or supervision appropriate to the type of children to be served. The amount of units or training hours is not specified. The following are examples of acceptable education or training topics. Programs which can be shown to be similar are accepted:
o Child Development;
o Recognizing and/or dealing with learning disabilities;
o Infant care and stimulation;
o Parenting skills;
o Complexities, demands and special needs of children in placement;
o Building self esteem, for the licensee or the children;
o First aid and/or CPR;
o Bonding and/or safeguarding of children's property;
o Ability to keep financial and other records;
o Ability to recruit, employ, train, direct the work of and evaluate qualified staff.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:
Agency
Provider Type:
Camping Services
Provider Qualifications
License *(specify):*
No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
The camp submits to the local health officer either
1) Verification that the camp is accredited by the American Camp Association or
2) A description of operating procedures that addresses areas including supervisor qualifications and staff skill verification criteria.
Other Standard *(specify):*
Camp Director Qualifications: must be at least 25 years of age, and have at least two seasons of administrative or supervisory experience in camp activities.

Health Supervisor (physician, registered nurse or licensed vocational nurse) employed full time will verify that all counselors have been trained in first aid and CPR.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:
Agency
Provider Type:
Respite Facility; Residential Facility: Residential Care Facility for the Elderly (RCFE)
Provider Qualifications
License *(specify):*
Licensed Residential Care Facility for the elderly by the Department of Social Services pursuant to Health and Safety Code §§1569-1569.889
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Title 22, CCR, §§87100-87793: Establish licensing requirements for facilities where 75 percent of the residents are sixty years of age or older. Younger residents must have needs compatible with other residents.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:
Agency
Provider Type:
Respite Agency
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
The agency director shall posses at a minimum:
1. A bachelor's degree and a minimum of 18 months experience in the management of a human services delivery system, or;
2. Five years experience in a human services delivery system, including at least two years in a management or supervisory position.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as

applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Respite Care

Provider Category:

Agency

Provider Type:

Adult Day Care Facility

Provider Qualifications

License *(specify):*

Licensed Adult Care Facility by Department of Social Services pursuant to Health and Safety Code §§ 1500 - 1567.8

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

The administrator shall have the following qualifications:
1. Attainment of at least 18 years of age.
2. Knowledge of the requirements for providing the type of care and supervision needed by clients, including ability to communicate with such clients.
3. Knowledge of and ability to comply with applicable law and regulation.
4. Ability to maintain or supervise the maintenance of financial and other records.
5. Ability to direct the work of others, when applicable.
6. Ability to establish the facility's policy, program and budget.
7. Ability to recruit, employ, train, and evaluate qualified staff, and to terminate employment of staff, if applicable to the facility.
8. A baccalaureate degree in psychology, social work or a related human services field and a minimum of one year experience in the management of a human services delivery system; or three years experience in a human services delivery system including at least one year in a management or supervisory position and two years experience or training in one of the following:
A. Care and supervision of recipients in a licensed adult day care facility, adult day support center or an adult day health care facility.
B. Care and supervision of one or more of the categories of persons to be served by the center.

The licensee must make provision for continuing operation and carrying out of the administrator's responsibilities during any absence of the administrator by a person who meets the qualification of an administrator.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Annually

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Statutory Service

Service:

Supported Employment

Alternate Service Title (if any):

Supported Employment Individual

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*

Supported employment services are defined in California Welfare and Institutions Code § 4851(n)(s) as; paid work that is integrated in the community for individuals with developmental disabilities. Individual services means job coaching and other supported employment services for regional center-funded consumers in a supported employment placement at a job coach-to-consumer ratio of one-to-one, and that decrease over time until stabilization is achieved. Individualized services may be provided on or off the jobsite. These services are received by eligible adults who are employed in integrated settings in the community. These individuals are unable to maintain this employment without an appropriate level of ongoing employment support services. Transportation services are not included under supported employment individual services.

Supported Employment- Individual Services (defined in California Welfare and Institutions Code §4851(n)(s).
• Training and supervision in addition to the training and supervision the employer normally provides to employees.
• Support services to ensure job adjustment and retention, provided on an individual basis in the community, as defined in California Welfare and Institutions Code §4851(q):
o Job development – The process of working with a consumer, based on the individuals interests and abilities to identify potential jobs, meet with the hiring business, and assist the consumer to apply for and compete for the job.

o Job analysis Classifying each of the required duties of a job to identify the support needed by the consumer.
o Training in adaptive functional skills
o Social skill training
o Ongoing support services -Services that are provided, typically off the job, to assist a consumer with concerns or issues that could affect his or her ability to maintain employment.
o Family counseling necessary to support the individual's employment
o Advocacy related to the employment, such as assisting individuals in understanding their benefits
o Advocacy or intervention to resolve problems affecting the consumer's work adjustment or retention.

Recipients receiving individual services normally earn minimum wage or above and are on the employer's payroll. Individuals receiving these services usually receive supervision 5-20% of the time by the program. The remainder of the time, the employer provides all supervision and training. The above described services are not available under a program funded under section 110 of the Rehabilitation Act of 1973 (29 USC Section 730) or section 602(16) and (17) of the Individuals with Disabilities Education Act (20 USC 1401(16 and 17).

The reimbursement for Supported Employment (Individual Services) includes incentive payments for measurable milestones identified below:
1. A one-time payment made to a provider when an individual obtains competitive integrated employment and is still employed after 30 consecutive days.
2. An additional one-time payment made to a provider when an individual obtains competitive integrated employment and is still employed after six consecutive months.
3. An additional one-time payment made to a provider when an individual has been employed consecutively for one year.

Federal financial participation is not claimed for incentive payments, subsidies, or unrelated vocational training expenses such as the following:
1. Incentive payments made to an employer to encourage or subsidize the employer's participation in supported employment; or
2. Payments that are passed through to users of supported employment services.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Supported Employment Programs

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Supported Employment Individual

Provider Category:
Individual
Provider Type:

Supported Employment Programs

Provider Qualifications

License *(specify):*

No state licensing category.

Federal/State Tax Exempt Letter.

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Programs must initially meet the Department of Rehabilitation Program certification standards and be accredited by CARF within four years of providing services pursuant to Title 17 § 58810(f)(1)(2).

Other Standard *(specify):*

N/A

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Commission on Accreditation of Rehabilitation Facilities (CARF). CARF communicates with DDS on all CARF accreditation renewals in process. The information is shared with regional centers as needed.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Within four years at start-up; every one to three years thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Extended State Plan Service

Service Title:

Dental Services

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Dental services are defined in Title 22, California Code of Regulations, Section 51059 as professional services performed or provided by dentists including diagnosis and treatment of malposed human teeth, of disease or defects of the alveolar process, gums, jaws and associated structures; the use of drugs, anesthetics and physical evaluation; consultations; home, office and institutional calls.

All medically necessary dental services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Dental services in this waiver are only provided to individuals age 21 and over and only when the limits of dental services furnished under the approved state plan are exhausted. Dental services in the approved state plan are limited to $1800 annually or by the amount that is determined medically necessary.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Dentist
Agency	Dentist
Agency	Dental Hygienist

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Dental Services

Provider Category:
Individual
Provider Type:
Dentist
Provider Qualifications
License *(specify):*
Licensed Dentist by the Dental Board of California pursuant to Business & Professions Code §§ 1611-1621

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Dental Board of California
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Biennially

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Dental Services

Provider Category:
Agency
Provider Type:
Dentist
Provider Qualifications
License *(specify):*
Licensed Dentist by the Dental Board of California pursuant to Business & Professions Code §§ 1611-1621

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Dental Board of California
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.
Biennially

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Dental Services

Provider Category:
Agency
Provider Type:
Dental Hygienist
Provider Qualifications

License *(specify):*
Dental Hygienist: Licensed Dental Hygienist by the Dental Hygiene Committee of California pursuant to Business and Professions Code §§1900-1966.6

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Dental Board of California
Frequency of Verification:
Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.
Biennially

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Extended State Plan Service
Service Title:
Home Health Aide

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*

Home health aide services defined in 42 CFR §440.70 are provided to individuals age 21 and over and only when the limits of home health aide services furnished under the approved State plan limits are exhausted. Home health aide services under the state plan are limited to the amount that is determined medically necessary. All medically necessary home health aide services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. The scope and nature of these services do not differ from home health aide services furnished under the State plan. Services are defined in the same manner as provided in the approved State plan. The provider qualifications specified in the State plan apply.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Home Health Aide
Agency	Home Health Agencies

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Home Health Aide

Provider Category:
Agency

Provider Type:
Home Health Aide

Provider Qualifications

License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*
Certified pursuant to Health and Safety Code § 1736.1.

Other Standard *(specify):*
Complete a training program approved by the California Department of Public Health.

Verification of Provider Qualifications

Entity Responsible for Verification:
California Department of Public Health

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Home Health Aide

Provider Category:
Agency
Provider Type:
Home Health Agencies
Provider Qualifications
License *(specify):*
licensed Home Health Agency by the Department of Public Health pursuant to Health and Safety Code §§1725-1742

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Medi-Cal certification using Medicare standards, Title 22, CCR, §51217.
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
California Department of Public Health

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Extended State Plan Service
Service Title:
Occupational Therapy

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Occupational Therapy services are defined in Title 22, California Code of Regulations, Sections 51085, and 51309 as services designed to restore or improve a person's ability to undertake activities of daily living when those skills are impaired by developmental or psychosocial disabilities, physical illness or advanced age. Occupational therapy includes evaluation, treatment planning, treatment, instruction and consultative services. All medically necessary occupational therapy services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Occupational therapy in this waiver is only provided to individuals age 21 and over and only when the limits of occupational therapy services furnished under the approved state plan are exhausted. Occupational therapy services in the approved state plan are limited to a maximum of two services in any one calendar month or any combination of two services per month from the following services: audiology, acupuncture, chiropractic, psychology, podiatry, and speech therapy or the amount determined medically necessary.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Occupational Therapy
Agency	Occupational Therapy
Agency	Occupational therapist Assistant

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Occupational Therapy

Provider Category:
Individual

Provider Type:
Occupational Therapy

Provider Qualifications

License *(specify):*
Occupational Therapist: Licensed Occupational Therapist by the California Board of Occupational Therapy pursuant to Business and Professions Code §§2570-2571

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.

Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Occupational Therapy

Provider Category:

Agency

Provider Type:

Occupational Therapy

Provider Qualifications

License *(specify):*

Occupational Therapist: Licensed Occupational Therapist by the California Board of Occupational Therapy pursuant to Business and Professions Code §§2570-2571

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.

Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Occupational Therapy

Provider Category:
Agency
Provider Type:
Occupational therapist Assistant
Provider Qualifications
License *(specify):*
Occupational Therapist Assistant: Licensed Occupational Therapist by the California Board of Occupational Therapy pursuant to Business and Professions Code §§2570-2571

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.
Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Extended State Plan Service
Service Title:
Optometric/Optician Services

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Optometric/Optician Services are defined in Title 22, California Code of Regulations, Sections 51093 and 51090, respectively. Optometric services means any services an optometrist may perform under the laws of this state. Dispensing optician means an individual or firm which fills prescriptions of physicians for prescription lenses and kindred products and fits and adjusts such lenses and spectacle frames. A dispensing optician is also authorized to act on the advice, direction and responsibility of a physician or optometrist in connection with the fitting of a contact lens or contact lenses.

All medically necessary Optometric/Optician services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Optometric/Optician services in this waiver are only provided to individuals age 21 and over and only when the limits of Optometric/Optician services furnished under the approved state plan are exhausted. Optometric/Optician Services under the state plan are limited to one eye exam every 24 months, however, this limit can be exceeded based on medical necessity. The provider qualifications listed in the plan will apply, and are hereby incorporated into this request by reference.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Optometrist
Agency	Orthoptic Technician
Individual	Optometrist

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Optometric/Optician Services

Provider Category:
Agency
Provider Type:
Optometrist
Provider Qualifications

License *(specify):*
Licensed Optometrist by the California State Board of Optometry pursuant to the Business and Professions Code §§3041-3041.3

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Before engaging in the practice of optometry, each licensed optometrist shall notify the board in writing of the address or addresses where he or she is to engage in the practice of optometry pursuant to Business and Professions Code § 3070

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

California State Board of Optometry
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Optometric/Optician Services

Provider Category:
Agency
Provider Type:
Orthoptic Technician
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
An orthoptic technician is validly certified by the American Orthoptic Council
Other Standard *(specify):*
N/A

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

American Orthoptic Council
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Every three years

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Optometric/Optician Services

Provider Category:
Individual
Provider Type:
Optometrist
Provider Qualifications
License *(specify):*
Licensed Optometrist by the California State Board of Optometry pursuant to Business and Professions Code §§3041-3041.3
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Before engaging in the practice of optometry, each licensed optometrist shall notify the board in writing of the address or addresses where he or she is to engage in the practice of optometry pursuant to BPC Sec. 3070
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Extended State Plan Service
Service Title:
Physical Therapy

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Physical Therapy services are defined in Title 22, California Code of Regulations, Sections 51081, and 51309 as services of any bodily condition by the use of physical, chemical, and or other properties of heat, light, water, electricity or sound, and by massage and active, resistive or passive exercise. Physical therapy includes evaluation, treatment planning, treatment, instruction, consultative services, and application of topical medications.
All medically necessary physical therapy services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Physical therapy in this waiver is only provided to individuals age 21 and over and only when the limits of physical therapy services furnished under the approved state plan are exhausted. Physical therapy services in the approved state plan are limited to six month treatments and may be renewed if determined medically necessary.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Physical Therapist
Agency	Physical Therapist
Agency	Physical Therapy Assistant

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Physical Therapy

Provider Category:
Individual
Provider Type:
Physical Therapist
Provider Qualifications
License *(specify):*
Physical Therapist: Licensed Physical Therapist by the Physical Therapy Board of California pursuant to Business and Professions Code §§2635-2639.1

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.

Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Physical Therapy

Provider Category:

Agency

Provider Type:

Physical Therapist

Provider Qualifications

License *(specify):*

Physical Therapist: Licensed Physical Therapist by the Physical Therapy Board of California pursuant to Business and Professions Code §§2635-2639.1

An appropriate business license as required by the local jurisdiction for the adaptations to be completed

Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service

Service Name: Physical Therapy

Provider Category:
Agency
Provider Type:
Physical Therapy Assistant
Provider Qualifications
License *(specify):*
Physical Therapy Assistant: Licensed Physical Therapy assistant by the Physical Therapy

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.
Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Extended State Plan Service
Service Title:
Prescription Lenses and Frames

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
This service covers prescription lenses and frames for consumers over 21 as prescribed by a physician and only when the limits of prescription lenses and frames furnished under the approved state plan are exhausted. All medically necessary prescription lenses and frames for children under the age of 21 are covered in the state plan pursuant to the EPSDT benefit. Prescription Lenses and Frames under the state plan are limited to the amount that is determined medically necessary. The provider qualifications listed in the plan will apply, and are hereby incorporated into this waiver request by reference. Prescription lenses and frames will not supplant services available through the approved Medicaid State plan or the EPSDT benefit.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Dispensing Optician
Agency	Dispensing Optician

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Prescription Lenses and Frames

Provider Category:
Individual
Provider Type:
Dispensing Optician
Provider Qualifications
License *(specify):*
Licensed dispensing optician by the state board of Optometry Professions pursuant to Business and Professions Code §§ 2550 - 2569

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Registered as a dispensing optician by the Division of Allied Health Professions of the Medical Board of California pursuant to Business and Professions Code §§ 2550 - 2569
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for

the performance or operation of the service; the staff qualifications and duty statements; and service design.

Medical Board of California
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Prescription Lenses and Frames

Provider Category:
Agency
Provider Type:
Dispensing Optician
Provider Qualifications
License *(specify):*
Licensed dispensing optician by the state board of Optometry Professional pursuant to Business and Professions Code §§ 2550-2569.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Registered as a dispensing optician by the Division of Allied Health Professions of the Medical Board of California pursuant to Business and Professions Code §§ 2550 - 2569
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Medical Board of California
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Extended State Plan Service
Service Title:
Psychology Services

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Psychology Services are defined in Title 22, California Code of Regulations, Section 51099 as the services of a person trained in the assessment, treatment, prevention, and amelioration of emotional and mental health disorders.

All medically necessary psychology services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Psychology services in this waiver are only provided to individuals age 21 and over and only when the limits of psychology services furnished under the approved state plan are exhausted. The approved state plan limits this service to the amount that is medically necessary.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Clinical Psychologist
Agency	Clinical Psychologist

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Psychology Services

Provider Category:
Individual
Provider Type:
Clinical Psychologist
Provider Qualifications

License *(specify):*
Licensed Psychologist by the Board of Psychology pursuant to Business and Professions Code, §§2940-2948.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Board of Psychology
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Psychology Services

Provider Category:
Agency
Provider Type:
Clinical Psychologist
Provider Qualifications
License *(specify):*
Licensed Psychologist by the Board of Psychology pursuant to Business and Professions Code, §§2940-2948.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Board of Psychology
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Extended State Plan Service

Service Title:

Speech, Hearing and Language Services

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*

Speech, Hearing and Language services are defined in Title 22, California Code of Regulations, Sections 51096, 51098, and 51094.1 as speech pathology audiology services, and hearing aids, respectively. Speech pathology services mean services for the purpose of identification, measurement and correction or modification of speech, voice or language disorders and conditions, and counseling related to such disorders and conditions. Audiological services means services for the measurement, appraisal, identification and counseling related to hearing and disorders of hearing; the modification of communicative disorders resulting from hearing loss affecting speech, language and auditory behavior; and the recommendation and evaluation of hearing aids. Hearing aid means any aid prescribed for the purpose of aiding or compensating for impaired human hearing loss.

All medically necessary speech, hearing and language services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Speech, hearing and language services in this waiver are only provided to individuals age 21 and over and only when the limits of speech, hearing and language services furnished under the approved state plan are exhausted. Speech, hearing and language services in the approved state plan are limited to two services in any one calendar month or any combination of two services per month; Hearing aid benefits are subject to a $1,510 maximum cap per beneficiary per fiscal year or the amount determined medically necessary.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Speech Therapist
Agency	Speech Pathologist
Agency	Audiology
Individual	Speech Pathologist
Individual	Speech Therapist
Agency	Hearing and Audiology Facilities
Individual	Audiology

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Speech, Hearing and Language Services

Provider Category:
Agency
Provider Type:
Speech Therapist
Provider Qualifications
License *(specify):*
Speech Therapist: Licensed Speech-Language Therapist by the Speech-Language Pathology & Audiology & Hearing Aid Dispensers Board pursuant to Business and Professions Code §2532-2532.8

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.
Biennially if non-dispensing audiologist; annually if dispensing.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Speech, Hearing and Language Services

Provider Category:
Agency
Provider Type:
Speech Pathologist
Provider Qualifications
License *(specify):*
Licensed speech pathologist by the Speech-Language Pathology and Audiology and Hearing Aid by the Board of the California Department of Consumer Affairs pursuant to Business & Professions Code §§ 2532-2532.8

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter through oversight and monitoring activities.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Speech, Hearing and Language Services

Provider Category:
Agency
Provider Type:
Audiology
Provider Qualifications
License *(specify):*
Licensed Audiologist by the Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board of the California Department of Consumer Affairs pursuant to Business and Professions Code §§ 2532-2532.8
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service

design.

Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Biennially if non-dispensing audiologist; annually if dispensing.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Speech, Hearing and Language Services

Provider Category:
Individual
Provider Type:
Speech Pathologist
Provider Qualifications
License *(specify):*
Licensed speech pathologist by the Speech-Language Pathology and Audiology and Hearing Aid by the Board of the California Department of Consumer Affairs pursuant to Business & Professions Code §§ 2532-2532.8

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Speech, Hearing and Language Services

Provider Category:
Individual
Provider Type:
Speech Therapist
Provider Qualifications
License *(specify):*
Speech Therapist: Licensed Speech-Language Therapist by the Speech-Language Pathology & Audiology & Hearing Aid Dispensers Board pursuant to Business and Professions Code §2532-

2532.8

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.
Biennially if non-dispensing audiologist; annually if dispensing.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Speech, Hearing and Language Services

Provider Category:
Agency
Provider Type:
Hearing and Audiology Facilities
Provider Qualifications

License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
An audiology facility:
1. Employs at least one audiologist who is licensed by the Speech Pathology and Audiology Examining Committee of the Medical Board of California; and
2. Employs individuals, other than 1. above, who perform services, all of whom shall be:
• Licensed audiologists; or
• Obtaining required professional experience, and whose required professional experience application has been approved by the Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board of the California Department of Consumer Affairs.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service
Service Name: Speech, Hearing and Language Services

Provider Category:
Individual
Provider Type:
Audiology
Provider Qualifications
License *(specify):*
Licensed Audiologist by the Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board of the California Department of Consumer Affairs pursuant to Business and Professions Code §§ 2532-2532.8

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Biennally if non-dispensing audiologist; annually if dispensing.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Supports for Participant Direction
The waiver provides for participant direction of services as specified in Appendix E. Indicate whether the waiver includes the following supports or other supports for participant direction.
Support for Participant Direction:
Information and Assistance in Support of Participant Direction

Alternate Service Title (if any):
Financial Management Service

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Financial Management Services (FMS) are designed to serve as a fiscal intermediary that performs financial transactions (paying for goods and services and/or processing payroll for adult consumers' or their families' workers included in the IPP) on behalf of the consumer. FMS is an important safeguard because it ensures that consumers are in compliance with Federal and state tax, labor, workers' compensation insurance and Medicaid regulations. The term "Financial Management Services" or "FMS" is used to distinguish this important participant direction support from the activities that are performed by intermediary organizations that function as Medicaid fiscal agents.
All FMS services shall:
1. Assist the family member or adult consumer in verifying worker citizenship status.
2. Collect and process timesheets of workers.
3. Process payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance.
4. Track, prepare and distribute reports to appropriate individual(s)/entities.
5. Maintain all source documentation related to the authorized service(s) and expenditures.
6. Maintain a separate accounting for each participant's participant-directed funds.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
FMS services are available only for the following self-directed services: respite,transportation, community-based training service and skilled nursing.

Service Delivery Method *(check each that applies)*:

- [x] **Participant-directed as specified in Appendix E**
- [ ] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [ ] **Relative**
- [ ] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Financial Management Services Provider
Individual	Financial Management Services Provider

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Supports for Participant Direction
Service Name: Financial Management Service

Provider Category:
Agency
Provider Type:
Financial Management Services Provider
Provider Qualifications
License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Supports for Participant Direction
Service Name: Financial Management Service

Provider Category:
Individual
Provider Type:
Financial Management Services Provider
Provider Qualifications
License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Chore Services

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*

Services needed to maintain the home in a clean, sanitary and safe environment. This service includes heavy household chores such as washing floors, windows and walls, tacking down loose rugs and tiles, moving heavy items of furniture in order to provide safe access and egress, and minor repairs such as those which could be completed by a handyman. These services will be provided only in cases where neither the individual, nor anyone else in the household, is capable of performing or financially providing for them, and where no other relative, caregiver, landlord, community/volunteer agency, or third party payer is capable of or responsible for their provision. In the case of rental property, the responsibility of the landlord, pursuant to the lease agreement, will be examined prior to any authorization of service.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Individual
Agency	Agency

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Chore Services

Provider Category:
Individual
Provider Type:
Individual
Provider Qualifications
License *(specify):*
As appropriate for the services to be done.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Individual chore service providers shall possess the following minimum qualifications:
1. The ability to perform the functions required in the individual plan of care;
2. Demonstrate dependability and personal integrity.

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Chore Services

Provider Category:
Agency
Provider Type:
Agency
Provider Qualifications
License *(specify):*
As appropriate for the services to be done.
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*

Individual chore service providers shall possess the following minimum qualifications:
1. The ability to perform the functions required in the individual plan of care;
2. Demonstrate dependability and personal integrity.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.
State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:
Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:
Communication Aides

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Communication aides are those human services necessary to facilitate and assist persons with hearing, speech, or vision impairment to be able to effectively communicate with service providers, family, friends, co-workers, and the general public. The following are allowable communication aides, as specified in the recipient's plan of care:

1.Facilitators;

2.Interpreters and interpreter services;
3.Translators and translator services; and

Communication aide services include evaluation for communication aides and training in the use of communication aides.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Translator
Individual	Interpreter
Individual	Translator
Individual	Facilitators
Agency	Facilitator
Agency	Interpreter

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Communication Aides

Provider Category:
Agency
Provider Type:
Translator
Provider Qualifications
License *(specify):*
No state licensing category.

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.
Certificate *(specify):*
N/A
Other Standard *(specify):*
1. Fluency in both English and a language other than English;
2. The ability to read and write accurately in both English and a language other than English.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for

the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Communication Aides

Provider Category:

Individual

Provider Type:

Interpreter

Provider Qualifications

License *(specify):*

No state licensing category.

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.

Certificate *(specify):*

N/A

Other Standard *(specify):*

An interpreter must demonstrate:

1. Fluency in both English and in sign language; 2. Proficiency in facilitating communication between hearing-impaired and hearing persons using American sign language and spoken language.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Communication Aides

Provider Category:

Individual

Provider Type:

Translator

Provider Qualifications

License *(specify):*

No state licensing category.

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.

Certificate *(specify):*

N/A

Other Standard *(specify):*
1. Fluency in both English and a language other than English;
2. The ability to read and write accurately in both English and a language other than English.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Communication Aides

Provider Category:
Individual

Provider Type:
Facilitators

Provider Qualifications

License *(specify):*
No state licensing category.

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.

Certificate *(specify):*
N/A

Other Standard *(specify):*
Qualifications and training as appropriate.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Communication Aides

Provider Category:
Agency

Provider Type:
Facilitator

Provider Qualifications

License *(specify):*

No state licensing category.
An appropriate business license as required by the local jurisdiction for the adaptations to be completed.
Certificate *(specify):*
N/A
Other Standard *(specify):*
Qualifications and training as appropriate.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Communication Aides

Provider Category:
Agency
Provider Type:
Interpreter
Provider Qualifications

License *(specify):*
No state licensing category.

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.
Certificate *(specify):*
N/A
Other Standard *(specify):*
An interpreter must demonstrate:
1. Fluency in both English and in sign language; 2. Proficiency in facilitating communication between hearing-impaired and hearing persons using American sign language and spoken language.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Community-Based Training Service

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*

Community-based training service is a participant-directed service that allows recipients the opportunity to customize day services to meet their individualized needs. As determined by the person-centered individual program planning process, the service may include opportunities and assistance to: further the development or maintenance of employment and volunteer activities; pursue post secondary education; and increase recipients' ability to lead integrated and inclusive lives. These services provide assistance with acquisition, retention, or improvement in self-help, socialization and adaptive skills. These services enable the individual to attain or maintain his or her maximum functional level and shall be coordinated with any physical, occupational, or speech therapies listed in the plan of care.

Educational services consist of special education and related services as defined in Sections (22) and (25) of the Individuals with Disabilities Education Act of 2004 (IDEA) (20 U.S.C. 1401 et seq.), to the extent to which they are not available under a program funded by IDEA. Documentation is maintained in the file of each individual receiving this service that the service is not otherwise available under section 110 of the Rehabilitation Act of 1973 or the IDEA.

Federal financial participation is not claimed for incentive payments, subsidies, or unrelated vocational training expenses such as the following:

1. Incentive payments made to an employer to encourage or subsidize the employer's participation in supported employment; or
2. Payments that are passed through to users of supported employment services.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Community-based training services are limited to a maximum of 150 hours per quarter.

Service Delivery Method *(check each that applies)*:

- [x] **Participant-directed as specified in Appendix E**
- [ ] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- ☐ **Legally Responsible Person**
- ☐ **Relative**
- ☐ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Community-Based Training Provider
Agency	Community Based Training Provider

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Community-Based Training Service

Provider Category:
Individual

Provider Type:
Community-Based Training Provider

Provider Qualifications

License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*
N/A

Other Standard *(specify):*
Providers of community-based training service shall be an adult who possesses the skill, training, and experience necessary to provide services in accordance with the individual program plan.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Community-Based Training Service

Provider Category:
Agency

Provider Type:
Community Based Training Provider

Provider Qualifications

License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*
N/A

Other Standard *(specify):*
Providers of community-based training service shall be an adult who possesses the skill, training, and experience necessary to provide services in accordance with the individual program plan.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Environmental Accessibility Adaptations

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*

Those physical adaptations to the private residence of the participant or the participant's family, required by the individual's plan of care, which are necessary to ensure the health, welfare and safety of the individual, or which enable the individual to function with greater independence in the home, and without which, the individual would require institutionalization. Such adaptations may include the installation of ramps and grab-bars, widening of doorways, modification of bathroom facilities, or installation of specialized electric and plumbing systems which are necessary to accommodate the medical equipment and supplies which are necessary for the welfare of the individual. Excluded are those adaptations or improvements to the home which are of general utility, and are not of direct medical or remedial benefit to the individual. Adaptations which add to the total square footage of the home are excluded from this benefit. All services shall be provided in accordance with

applicable State or local building codes.
It may be necessary to make environmental modifications to an individual's place of residence before he/she transitions from an institution to the community. Such modifications may be made while the person is institutionalized. Environmental modifications, included in the individual's plan of care, may be furnished up to 180 days prior to the individual's discharge from an institution. However, such modifications will not be considered complete until the date the individual leaves the institution and is enrolled in the waiver.
In the event an individual dies before the relocation can occur, but after the expenses have been incurred, the State will claim these expenses as administrative costs at the administrative FFP rate for services which would have been necessary for relocation to have taken place when the individual has:
- applied for waiver service; and
- been found eligible for the waiver by the State (but for the person's status as an inpatient in an institution); and
- died before the actual delivery of the waiver service.

Environmental accessibility adaptations are only provided to individuals age 21 and over. All medically necessary environmental accessibility adaptations services for children under the age of 21 are covered in the state plan pursuant to EPSDT benefit. Environmental accessibility adaptations services will not supplant services available through the approved Medicaid State plan under the home health benefit or the EPSDT benefit.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Contractor
Agency	Contractor

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Environmental Accessibility Adaptations

Provider Category:
Individual
Provider Type:
Contractor
Provider Qualifications
License *(specify):*
Contractors are licensed through the Contractors' State License Board pursuant to Business and Professions Code, Sections 7000-7191.

A current license, certification or registration with the State of California as appropriate for the type of modification being purchased.
Certificate *(specify):*

See “License”
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Environmental Accessibility Adaptations

Provider Category:
Agency
Provider Type:
Contractor
Provider Qualifications
License *(specify):*
Contractors are licensed through the Contractors’ State License Board pursuant to Business and Professions Code, Sections 7000-7191.

A current license, certification or registration with the State of California as appropriate for the type of modification being purchased.
Certificate *(specify):*
See "“License”"
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Family Support Services

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*

Regularly provided care and supervision of children, for periods of less than 24 hours per day, while the parents/primary non-paid caregiver are out of the home. This service is provided in the recipient's own home or in an approved out of home location to do all of the following:

1. Assist family members in maintaining the recipient at home;
2. Provide appropriate care and supervision to protect the recipient's safety in the absence of family members;
3. Relieve family members from the constantly demanding responsibility of caring for a recipient; and
4. Attend to the recipient's basic self-help needs and other activities of daily living, including interaction, socialization, and continuation of usual daily routines which would ordinarily be performed by family members.

Family support services may only be provided when the care and supervision needs of a consumer exceed that of a person of the same age without developmental disabilities. Additionally payment may only be made when the cost of the service exceeds the cost of providing services to a person of the same age without disabilities. A regional center may offer family members the option to self-direct their own family support services.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [x] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Child Day Care Facility; Child Day Care Center; Family Child Care Home
Individual	Individual

Provider Category	Provider Type Title
Individual	Child Day Care Facility; Child Day Care Center; Family Child Care Home

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Family Support Services

Provider Category:
Agency
Provider Type:
Child Day Care Facility; Child Day Care Center; Family Child Care Home
Provider Qualifications
License *(specify):*
Licensed Child Day Care Facility by the Department of Social Services pursuant to Health and Safety Code §§ 1596.90 – 1597.621
As appropriate, a business license as required by the local jurisdiction where the business is located
Certificate *(specify):*
Child Day Care Center: Title 22 CCR, §§101151-101239.2
Family Child Care Home: Title 22 CCR §§102351.1-102424
Other Standard *(specify):*
Licensing requirements listed under HSC 1596.95
The administrator shall have the following qualifications:
1. Attainment of at least 18 years of age.
2. Knowledge of the requirements for providing the type of care and supervision children need and the ability to communicate with such children.
3. Knowledge of and ability to comply with applicable law and regulation.
4. Ability to maintain or supervise the maintenance of financial and other records.
5. Ability to establish the center's policy, program and budget.
6. Ability to recruit, employ, train, direct and evaluate qualified staff.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Family Support Services

Provider Category:
Individual
Provider Type:
Individual

Provider Qualifications

License *(specify):*

No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Has received Cardiopulmonary Resuscitation (CPR) and First Aid training from agencies offering such training. Must have The skill, training, or education necessary to perform the required services.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Family Support Services

Provider Category:

Individual

Provider Type:

Child Day Care Facility; Child Day Care Center; Family Child Care Home

Provider Qualifications

License *(specify):*

Licensed Child Day Care Facility by the Department of Social Services pursuant to Health and Safety Code §§ 1596.90 – 1597.621

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Child Day Care Center: Title 22 CCR, §§101151-101239.2

Family Child Care Home: Title 22 CCR §§102351.1-102424

Other Standard *(specify):*

Licensing requirements listed under HSC 1596.95

The administrator shall have the following qualifications:

1. Attainment of at least 18 years of age.
2. Knowledge of the requirements for providing the type of care and supervision children need and the ability to communicate with such children.
3. Knowledge of and ability to comply with applicable law and regulation.
4. Ability to maintain or supervise the maintenance of financial and other records.
5. Ability to establish the center's policy, program and budget.
6. Ability to recruit, employ, train, direct and evaluate qualified staff.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Other Service
As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.
Service Title:
Family/ Consumer Training

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Family/consumer support and training services are provided, as needed, in conjunction with extended state plan services in this waiver. These services include training by licensed providers to maintain or enhance the long-term impact of treatment provided. This includes support or counseling for the consumer and/or family to ensure proper understanding of the treatment provided and what supports are needed in the recipient's home environment to enhance the treatments. These services will be provided to individuals age 21 and over.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Occupational Therapist, Occupational Therapy Assistant, Physical Therapist, Physical Therapy Assistant, RN, LVN
Individual	Dentist, Dental Hygienist, Marriage & Family Therapist, Social Worker, Speech Therapist
Agency	Dentist, Dental Hygienist, Marriage & Family Therapist, Social Worker, Speech Therapist
Individual	Occupational Therapist, Occupational Therapy Assistant, Physical Therapist, Physical Therapy Assistant, RN, LVN

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Family/ Consumer Training

Provider Category:
Agency

Provider Type:
Occupational Therapist, Occupational Therapy Assistant, Physical Therapist, Physical Therapy Assistant, RN, LVN

Provider Qualifications

License *(specify):*
Occupational Therapist and Assistant: Licensed Occupational Therapist by the California Board of Occupational Therapy pursuant to Business and Professions Code §§2570-2571

Physical Therapist: Licensed Physical Therapist by the Physical Therapy Board of California pursuant to Business and Professions Code §§2635-2639.1

Physical Therapy Assistant: Licensed Physical Therapy assistant by the Physical Therapy Board of California pursuant to Business and Professions Code §§2635-2639.1

Licensed Registered Nurse by the California Board of Registered Nursing pursuant to Business and Professions Code §§ 2725-2742

Licensed Vocational Nurse by the California Board of Vocational Nursing and Psychiatric Technicians pursuant to Business and Professions Code §§ 2859-2873.6 2873.7

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Family/ Consumer Training

Provider Category:
Individual
Provider Type:
Dentist, Dental Hygienist, Marriage & Family Therapist, Social Worker, Speech Therapist
Provider Qualifications
License *(specify):*
License (specify)
Dentist: Licensed Dentist by the Dental Board of California pursuant to Business and Professions Code§§1628-1636.6

Dental Hygienist: Licensed Dental Hygienist by the Dental Hygiene Committee of California pursuant to Business and Professions Code §§1900-1966.6

Marriage & Family Therapist (MFT): Licensed MFT by the California Board of Behavioral Sciences pursuant to Business and Professions Code §§4980-4989

Social Worker: Licensed Social Worker by the California Board of Behavioral Sciences pursuant to Business and Professions Code §§4996-4997.1

Speech Therapist: Licensed Speech-Language Therapist by the Speech-Language Pathology & Audiology & Hearing Aid Dispensers Board pursuant to Business and Professions Code §2532-2532.8

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Family/ Consumer Training

Provider Category:
Agency
Provider Type:
Dentist, Dental Hygienist, Marriage & Family Therapist, Social Worker, Speech Therapist
Provider Qualifications
License *(specify):*
Dentist: Licensed Dentist by the Dental Board of California pursuant to Business and Professions Code§§1628-1636.6

Dental Hygienist: Licensed Dental Hygienist by the Dental Hygiene Committee of California pursuant to Business and Professions Code §§1900-1966.6

Marriage & Family Therapist (MFT): Licensed MFT by the California Board of Behavioral Sciences pursuant to Business and Professions Code §§4980-4989

Social Worker: Licensed Social Worker by the California Board of Behavioral Sciences pursuant to Business and Professions Code §§4996-4997.1

Speech Therapist: Licensed Speech-Language Therapist by the Speech-Language Pathology & Audiology & Hearing Aid Dispensers Board pursuant to Business and Professions Code §2532-2532.8

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Family/ Consumer Training

Provider Category:
Individual
Provider Type:
Occupational Therapist, Occupational Therapy Assistant, Physical Therapist, Physical Therapy Assistant, RN, LVN
Provider Qualifications
License *(specify):*
Occupational Therapist and Assistant: Licensed Occupational Therapist by the California Board of Occupational Therapy pursuant to Business and Professions Code §§2570-2571

Physical Therapist: Licensed Physical Therapist by the Physical Therapy Board of California

pursuant to Business and Professions Code §§2635-2639.1

Physical Therapy Assistant: Licensed Physical Therapy assistant by the Physical Therapy Board of California pursuant to Business and Professions Code §§2635-2639.1

Licensed Registered Nurse by the California Board of Registered Nursing pursuant to Business and Professions Code §§ 2725-2742

Licensed Vocational Nurse by the California Board of Vocational Nursing and Psychiatric Technicians pursuant to Business and Professions Code §§ 2859-2873.6 2873.7

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Housing Access Services

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Housing Access Services includes two components:
A) Individual Housing Transition Services - These services provide direct support and assistance with activities and processes associated with an individual's preparation for and transition to housing.

These services are:
1. Conducting a tenant screening and housing assessment that identifies the participant's preferences and barriers related to successful tenancy. The assessment includes collecting information on potential housing transition barriers, and identification of housing retention barriers.
2. Developing an individualized housing support plan based upon the housing assessment that addresses identified barriers, includes short and long-term measurable goals for each issue, establishes the participant's approach to meeting the goal, and identifies when other providers or services, both reimbursed and not reimbursed by Medicaid, may be required to meet the goal.
3. Assisting the individual with the housing application process. Assisting with the housing search process.
4. Assisting the individual with identifying resources to cover set-up fees for utilities or service access, including telephone, electricity, heating and water, and services necessary for the individual's health and safety, consisting of pest eradication and one-time cleaning prior to occupancy.
5. Assisting the individual with coordinating resources to identify and address conditions in the living environment prior to move-in that may compromise the safety of the consumer.
6. Assisting the individual with details of the move including communicating with the landlord to negotiate a move-in date, reading and understanding the terms of the lease, scheduling set-up of utilities and services, and arranging the move of consumers' belongings.
7. Developing a housing support crisis plan that includes prevention and early intervention services when housing is jeopardized.

B) Individual Housing & Tenancy Sustaining Services - This service is made available to support individuals to maintain tenancy once housing is secured. The availability of ongoing housing-related services in addition to other long term services and supports promotes housing success, fosters community integration and inclusion, and develops natural support networks. These tenancy support services are:

1. Providing the individual with early identification and intervention for behaviors that may jeopardize housing, such as late rental payment and other lease violations.
2. Providing the individual with education and training on the role, rights and responsibilities of the tenant and landlord.
3. Coaching the individual on developing and maintaining key relationships with landlords/property managers with a goal of fostering successful tenancy.
4. Assisting the individual in resolving disputes with landlords and/or neighbors to reduce risk of eviction or other adverse action.
5. Providing the individual with advocacy and linkage with community resources to prevent eviction when housing is, or may potentially become jeopardized.
6. Assisting the individual with the housing recertification process.
7. Coordinating with the tenant to review, update and modify their housing support and crisis plan on a regular basis to reflect current needs and address existing or recurring housing retention barriers.
8. Providing the individual with continuous training in being a good tenant and lease compliance, including ongoing support with activities related to household management.

Housing Access Services do not include payment for room and board

Persons receiving Health Homes or California Community Transitions services will not receive this service unless additional Housing Access through the waiver is necessary to maintain the consumers' health, safety and wellbeing in the home and/or community.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Individual
Agency	Business Entity

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Housing Access Services

Provider Category:
Individual

Provider Type:
Individual

Provider Qualifications

License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located

Certificate *(specify):*
N/A

Other Standard *(specify):*
N/A

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Housing Access Services

Provider Category:
Agency

Provider Type:
Business Entity
Provider Qualifications
License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Other Service
As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.
Service Title:
Non-Medical Transportation

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Service offered in order to enable individuals served on the waiver to gain access to waiver and other community services, activities and resources, specified by the plan of care. This service is offered in addition to

medical transportation required under 42 CFR 431.53 and transportation services under the State plan, defined in 42 CFR 440.170(a) (if applicable), and shall not replace them.

Non-medical transportation services under the waiver shall be offered in accordance with the individual's plan of care and shall include transportation aides and such other assistance as is necessary to assure the safe transport of the recipient. Private, specialized transportation will be provided to those individuals who cannot safely access and utilize public transportation services (when available.) Whenever possible, family, neighbors, friends, or community agencies which can provide this service without charge will be utilized.
A regional center may offer family members or adult consumers the option to self-direct their own non-medical transportation services.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [x] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Individual Transportation Provider
Agency	Public Transit Authority
Agency	Transportation Company: Transportation Broker; Transportation Provider—Additional Component

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Non-Medical Transportation

Provider Category:
Individual

Provider Type:
Individual Transportation Provider

Provider Qualifications

License *(specify):*
Valid California driver's license

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*
N/A

Other Standard *(specify):*
Welfare and Institutions Code Section 4648.3

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for

the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Non-Medical Transportation

Provider Category:

Agency

Provider Type:

Public Transit Authority

Provider Qualifications

License *(specify):*

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Welfare and Institutions Code Section 4648.3

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Non-Medical Transportation

Provider Category:

Agency

Provider Type:

Transportation Company: Transportation Broker; Transportation Provider—Additional Component

Provider Qualifications

License *(specify):*

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

Welfare and Institutions Code Section 4648.3

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for

the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Other Service
As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.
Service Title:
Nutritional Consultation

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Nutritional consultation includes the provision of consultation and assistance in planning to meet the nutritional and special dietary needs of waiver participants. These services are consultive in nature and do not include specific planning and shopping for, or preparation of meals for waiver participants.

Nutritional consultation services are only provided to individuals age 21 and over. All medically necessary nutritional consultation services for children under the age of 21 are covered in the state plan pursuant to EPSDT benefit. Nutritional consultation services will not supplant services available through the approved Medicaid State plan or the EPSDT benefit.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Dietitian; Nutritionist
Individual	Dietitian; Nutritionist

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Nutritional Consultation

Provider Category:
Agency
Provider Type:
Dietitian; Nutritionist
Provider Qualifications
License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Dietician: Registered Dietitian by a public or private agency or institution recognized by the State Department of Public Health pursuant to Business and Professions Code § 2585; Valid registration as a member of the American Dietetic Association
Other Standard *(specify):*
Nutritionist must possess a Master's Degree in one of the following:
a. Food and Nutrition;
b. Dietetics; or
c. Public Health Nutrition;
or is employed as a nutritionist by a county health department.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Nutritional Consultation

Provider Category:
Individual
Provider Type:

Dietitian; Nutritionist

Provider Qualifications

License *(specify):*

No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Dietician: Registered Dietitian by a public or private agency or institution recognized by the State Department of Public Health pursuant to Business and Professions Code § 2585; Valid registration as a member of the American Dietetic Association

Other Standard *(specify):*

Nutritionist must possess a Master's Degree in one of the following:
a. Food and Nutrition;
b. Dietetics; or
c. Public Health Nutrition;
or is employed as a nutritionist by a county health department.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Personal Emergency Response Systems (PERS)

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
PERS is a 24-hour emergency assistance service which enables the recipient to secure immediate assistance in the event of an emotional, physical, or environmental emergency. PERS are individually designed to meet the needs and capabilities of the recipient and includes training, installation, repair, maintenance, and response needs. The following are allowable:
1. 24-hour answering/paging;
2. Beepers;
3. Med-alert bracelets;
4. Intercoms;
5. Life-lines;
6. Fire/safety devices, such as fire extinguishers and rope ladders;
7. Monitoring services;
8. Light fixture adaptations;
9. Telephone adaptive devices not available from the telephone company;
10. Other electronic devices/services designed for emergency assistance.
PERS services are limited to those individuals who have no regular caregiver or companion for periods of time, and who would otherwise require extensive routine supervision. By providing immediate access to assistance, PERS services prevent institutionalization of these individuals. PERS services will only be provided as a waiver service to individuals in a non-licensed environment.
All Items shall meet applicable standards of manufacture, design, and installation. Repairs to and maintenance of such equipment shall be performed by the manufacturer's authorized dealers where possible.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Personal Emergency Response Systems Provider
Individual	Personal Emergency Response Systems Provider

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Personal Emergency Response Systems (PERS)

Provider Category:
Agency
Provider Type:
Personal Emergency Response Systems Provider
Provider Qualifications
License *(specify):*

No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certification / registration as appropriate for the type of system being purchased.
Other Standard *(specify):*
Providers shall be competent to meet applicable standards of installation, repair, and maintenance of emergency response systems. Providers shall also be authorized by the manufacturer to install, repair, and maintain such systems if such a manufacturer's authorization program exists.

Providers of human emergency response services shall possess or have employed persons who possess current licenses, certifications or registrations as necessary and required by the State of California for persons providing personal emergency response services.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Personal Emergency Response Systems (PERS)

Provider Category:
Individual
Provider Type:
Personal Emergency Response Systems Provider
Provider Qualifications

License *(specify):*
No state licensing category.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
Certification / registration as appropriate for the type of system being purchased.
Other Standard *(specify):*
Providers shall be competent to meet applicable standards of installation, repair, and maintenance of emergency response systems. Providers shall also be authorized by the manufacturer to install, repair, and maintain such systems if such a manufacturer's authorization program exists.

Providers of human emergency response services shall possess or have employed persons who possess current licenses, certifications or registrations as necessary and required by the State of California for persons providing personal emergency response services.

Verification of Provider Qualifications

Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Skilled Nursing

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope)*:

Services listed in the plan of care which are within the scope of the State's Nurse Practice Act and are provided by a registered professional nurse, or licensed practical or vocational nurse under the supervision of a registered nurse, licensed to practice in the State.

Skilled nursing is only provided to individuals age 21 and over. All medically necessary skilled nursing services for children under the age of 21 are covered in the state plan pursuant to EPSDT benefit. Skilled nursing services will not supplant services available through the approved Medicaid State plan under the home health benefit or the EPSDT benefit.

A regional center may offer family members or adult consumers the option to self-direct their own skilled nursing services.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [x] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Nurse Practitioner
Agency	Home Health Agency: RN or LVN
Agency	Registered Nurse (RN)
Agency	Licensed Vocational Nurse (LVN)

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Skilled Nursing

Provider Category:
Agency
Provider Type:
Nurse Practitioner
Provider Qualifications
License *(specify):*
Nurse Practitioner: Licensed Nurse Practitioner by the California Board of Registered Nursing pursuant to Business and Professions Code §§2834-2837

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Every 2 years.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Skilled Nursing

Provider Category:
Agency
Provider Type:
Home Health Agency: RN or LVN

Provider Qualifications

License *(specify):*

Licensed Registered Nurse by the Department of Consumer Affairs the Board of Registered Nursing pursuant to Business and Professions Code, §§ 2725-2742
Licensed Vocational Nurse by the California State Board of Vocational Nursing and Psychiatric Technicians (BPC §2841) pursuant to Business and Professions Code, §§ 2859-2873.7

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

Medi-Cal Certification using Medicare standards

Title 22, CCR, §§ 51069-51217.

Other Standard *(specify):*

RN: Policies and protocols shall be subject to any guidelines for standardized procedures that the Division of Licensing of the Medical Board of California and the Board of Registered Nursing may jointly promulgate. If promulgated, the guidelines shall be administered by the Board of Registered Nursing pursuant to BPC Sec. 2725 (2)

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Skilled Nursing

Provider Category:

Agency

Provider Type:

Registered Nurse (RN)

Provider Qualifications

License *(specify):*

Licensed Registered Nurse by the Department of Consumer Affairs Board of Registered Nursing pursuant to Business and Professions Code, §§ 2725-2742

As appropriate, a business license as required by the local jurisdiction where the business is located.

Certificate *(specify):*

N/A

Other Standard *(specify):*

N/A

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Board of Registered Nursing, Licensing and regional centers

Frequency of Verification:

Verified upon application for vendorization and biennially thereafter.

Every two years

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Skilled Nursing

Provider Category:
Agency
Provider Type:
Licensed Vocational Nurse (LVN)
Provider Qualifications
License *(specify):*
Licensed Vocational Nurse by the California State Board of Vocational Nursing and Psychiatric Technicians (BPC §2841) pursuant to Business and Professions Code, §§ 2859-2873.7

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.

Board of Vocational Nursing and Psychiatric Technicians, Licensing and regional centers
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Every two years

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Other Service
As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.
Service Title:
Specialized Medical Equipment and Supplies

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Specialized medical equipment and supplies include: (a) devices, controls, or appliances, specified in the plan of care, that enable participants to increase their ability to perform activities of daily living; (b) devices, controls, or appliances that enable the participant to perceive, control, or communicate with the environment in which they live; (c) items necessary for life support or to address physical conditions along with ancillary supplies and equipment necessary to the proper functioning of such items; (d) such other durable and non-durable medical equipment that is necessary to address participant functional limitations; and, (e) necessary medical supplies. The repair, maintenance, installation, and training in the care and use, of these items is also included. Items reimbursed with waiver funds are in addition to any medical equipment and supplies furnished under the mandatory State plan home health benefit and exclude those items that are not of direct medical or remedial benefit to the participant. All items shall meet applicable standards of manufacture, design, and installation, and must meet Underwriter's Laboratory or Federal Communications Commission codes, as applicable. Repairs to and maintenance of such equipment shall be performed by the manufacturer's authorized dealer where possible.

Specialized medical equipment and supplies will be provided to individuals age 21 and over. All medically necessary specialized medical equipment and supplies for children under the age of 21 are covered under the state plan pursuant to the EPSDT benefit. Specialized medical equipment and supplies will not supplant services available through the approved Medicaid State plan or the EPSDT benefit.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Durable Medical Equipment Dealer

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Specialized Medical Equipment and Supplies

Provider Category:
Agency
Provider Type:
Durable Medical Equipment Dealer
Provider Qualifications
License *(specify):*
If applicable, a current license with the State of California as appropriate for the type of equipment or supplies being purchased.

As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
If applicable, a current certification with the State of California as appropriate for the type of equipment or supplies being purchased.
Other Standard *(specify):*
Be authorized by the manufacturer to install, repair and maintain such systems if such a manufacturer's program exists.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Other Service
As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.
Service Title:
Transition/Set Up Expenses

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Transition/Set Up Expenses are one-time, non-recurring set-up expenses to assist the individual's health and safety needs when transitioning from an institution to their own home. These expenses fund some of the initial set-up costs that are associated with obtaining and securing an adequate living environment and address the individual's health and safety needs when he or she enters a new living environment.
"Own home" is defined as any dwelling, including a house, apartment, condominium, trailer, or other lodging that is owned, leased, or rented by the individual.
This service includes necessary furnishings, household items and services that an individual needs for successful transition to community living and may include:
- Security deposits that are required to obtain a lease on an apartment or home;
- Moving expenses;
- Health and safety assurances, such as pest eradication, allergen control or one-time cleaning prior to occupancy;
- Set up fees or non-refundable deposits for utilities (telephone, electricity, heating by gas);
- Essential furnishings to occupy and use a community domicile. , such as a bed, table, chairs, window blinds, eating utensils, food preparation items, etc. These services exclude:
- Items designed for diversionary/recreational/entertainment purposes, such as hobby supplies, television, cable TV access, or VCRs and DVDs.
- Room and board, monthly rental or mortgage expense, regular utility charges, household appliances, and food.

Items purchased through this service are the property of the individual receiving the service and the individual takes the property with him/her in the event of a move to another residence.
Some of these expenses may be incurred before the individual transitions from an institution to the community. In such cases, the Transition/Set Up expenses incurred while the person was institutionalized are not considered complete until the date the individual leaves the institution and is enrolled in the waiver. Transition/Set Up expenses included in the individual's plan of care may be furnished up to 180 days prior to the individual's discharge from an institution. However, such expenses will not be considered complete until the date the individual leaves the institution and is enrolled in the waiver.
In the event an individual dies before the relocation can occur, but after the expenses have been incurred, the State will claim these expenses as administrative costs at the administrative FFP rate for services which would have been necessary for relocation to have taken place when the individual has:
applied for waiver service; and been found eligible for the waiver by the State (but for the person's status as an inpatient in an institution); and died before the actual delivery of the waiver service.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title

Provider Category	Provider Type Title
Agency	Public Utility Agency, Retail and Merchandise Company, Health and Safety Agency, Moving Company Landlord, property management
Individual	Public Utility Agency, Retail and Merchandise Company, Health and Safety Agency, Moving Company Landlord, property management

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Transition/Set Up Expenses

Provider Category:
Agency
Provider Type:
Public Utility Agency, Retail and Merchandise Company, Health and Safety Agency, Moving Company Landlord, property management
Provider Qualifications
License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located.
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Transition/Set Up Expenses

Provider Category:
Individual
Provider Type:
Public Utility Agency, Retail and Merchandise Company, Health and Safety Agency, Moving Company Landlord, property management
Provider Qualifications
License *(specify):*
As appropriate, a business license as required by the local jurisdiction where the business is located
Certificate *(specify):*
N/A
Other Standard *(specify):*
N/A
Verification of Provider Qualifications
Entity Responsible for Verification:

Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Other Service
As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.
Service Title:
Vehicle Modifications and Adaptations

HCBS Taxonomy:

Category 1: **Sub-Category 1:**

Category 2: **Sub-Category 2:**

Category 3: **Sub-Category 3:**

Category 4: **Sub-Category 4:**

Service Definition *(Scope):*
Vehicle adaptations are devices, controls, or services which enable recipients to increase their independence or physical safety, and which allow the recipient to live in their home. The repair, maintenance, installation, and training in the care and use, of these items are included. Vehicle adaptations must be performed by the manufacturer's authorized dealer. Repairs to and maintenance of such equipment shall be performed by the manufacturer's authorized dealer where possible.
The following types of adaptations to the vehicle are allowable:
1. Door handle replacements;
2. Door widening;
3. Lifting devices;
4. Wheelchair securing devices;
5. Adapted seat devices;
6. Adapted steering, acceleration, signaling, and braking devices; and
7. Handrails and grab bars

Adaptations to vehicles shall be included if, on an individual basis, the cost effectiveness of vehicle adaptations, relative to alternative transportation services, is established. Adaptations to vehicles are limited to vehicles owned by the recipient, or the recipient's family and do not include the purchase of the vehicle itself.
The recipient's family includes the recipient's biological parents, adoptive parents, stepparents, siblings, children, spouse, domestic partner (in those jurisdictions in which domestic partners are legally recognized), or a person who is legal representative of the recipient.
Vehicle adaptations will only be provided when they are documented in the individual plan of care and when there is a written assessment by a licensed Physical Therapist or a registered Occupational Therapist.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Delivery Method *(check each that applies)*:

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

Specify whether the service may be provided by *(check each that applies)***:**

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Vehicle Modification and Adaptation
Agency	Vehicle Modification and Adaptation

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Vehicle Modifications and Adaptations

Provider Category:
Individual
Provider Type:
Vehicle Modification and Adaptation
Provider Qualifications
License *(specify):*
No state licensing category.

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.
Certificate *(specify):*
Registration with the California Department of Consumer Affairs, Bureau of Automotive Repairs.
Other Standard *(specify):*
Providers shall be competent to meet applicable standards of installation, repair, and maintenance of vehicle adaptations and shall also be authorized by the manufacturer to install, repair, and maintain such systems where possible.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for

the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Vehicle Modifications and Adaptations

Provider Category:
Agency
Provider Type:
Vehicle Modification and Adaptation
Provider Qualifications
License *(specify):*
No state licensing category.

An appropriate business license as required by the local jurisdiction for the adaptations to be completed.
Certificate *(specify):*
Registration with the California Department of Consumer Affairs, Bureau of Automotive Repairs.
Other Standard *(specify):*
Providers shall be competent to meet applicable standards of installation, repair, and maintenance of vehicle adaptations and shall also be authorized by the manufacturer to install, repair, and maintain such systems where possible.
Verification of Provider Qualifications
Entity Responsible for Verification:
Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.
Frequency of Verification:
Verified upon application for vendorization and biennially thereafter.

Appendix C: Participant Services

C-1: Summary of Services Covered (2 of 2)

b. **Provision of Case Management Services to Waiver Participants.** Indicate how case management is furnished to waiver participants (*select one*):

- ○ **Not applicable** - Case management is not furnished as a distinct activity to waiver participants.
- ◉ **Applicable** - Case management is furnished as a distinct activity to waiver participants.
  Check each that applies:
  - ☐ **As a waiver service defined in Appendix C-3.** *Do not complete item C-1-c.*
  - ☐ **As a Medicaid State plan service under §1915(i) of the Act (HCBS as a State Plan Option).** *Complete item C-1-c.*
  - ☑ **As a Medicaid State plan service under §1915(g)(1) of the Act (Targeted Case Management).** *Complete item C-1-c.*
  - ☐ **As an administrative activity.** *Complete item C-1-c.*

c. **Delivery of Case Management Services.** Specify the entity or entities that conduct case management functions on behalf of waiver participants:

Regional centers are responsible for providing case management services to waiver participants. Case management includes:
• Comprehensive assessment and periodic reassessment of individual needs, to determine the need for any medical, educational, social or other services;
• Development (and periodic revision) of an individual program plan (IPP) that is based on the information collected through the assessment;
• Referral and related activities (such as scheduling appointments for the individual) to help the eligible individual obtain needed services;
• Monitoring and follow-up activities to ensure the IPP is implemented effectively and adequately addresses the consumer's needs.

Appendix C: Participant Services

C-2: General Service Specifications (1 of 3)

a. **Criminal History and/or Background Investigations.** Specify the State's policies concerning the conduct of criminal history and/or background investigations of individuals who provide waiver services (select one):

○ **No. Criminal history and/or background investigations are not required.**

◉ **Yes. Criminal history and/or background investigations are required.**

Specify: (a) the types of positions (e.g., personal assistants, attendants) for which such investigations must be conducted; (b) the scope of such investigations (e.g., state, national); and, (c) the process for ensuring that mandatory investigations have been conducted. State laws, regulations and policies referenced in this description are available to CMS upon request through the Medicaid or the operating agency (if applicable):

The types of positions requiring fingerprint clearance:

1. All staff persons, employees or volunteers who have contact with consumers in community care facilities licensed by the Department of Social Services.
a. Any person other than a consumer residing in the facility.
b. Adults responsible for administration or direct supervision of staff.
c. If the applicant is a firm, partnership, association, or corporation, the chief executive officer or other person serving in like capacity.
d. Additional officers of the governing body of the applicant, or other persons with a financial interest in the applicant.

Caregiver background checks are conducted by Department of Social Services (DSS)/Community Care Licensing Division (CCL.) The licensing program protects consumers by screening out unqualified applicants and individuals associated with facilities. DSS/CCL implements this protection by requiring that individuals receive a fingerprint-based check of their criminal history from both the California Department of Justice (DOJ) and the Federal Bureau of Investigation (FBI). The background check for individuals associated with children's facilities also includes a required check with the Child Abuse Central Index maintained at the DOJ. Certain serious crimes specifically exclude someone from working or being in a facility. For other crimes, if criminal history information indicates a conviction, the DSS/CCL evaluates the individual's history to determine if the individual can be involved in a licensed facility. DSS/CCL investigates the circumstances of any arrest to determine if the allegations can be substantiated according to licensing standards. Also, DSS/CCL can take administrative action against an individual associated with a licensed facility when there is an allegation of rights violations that involve abuse. Based on a preponderance of evidence in this situation, an individual could be excluded from working in a licensed facility. DSS maintains a database of excluded individuals which is checked, in addition to the DOJ and FBI criminal history checks, as part of the screening process.
Further, various professions licensed under the provisions of the California Business and Professions Code must undergo a criminal record review as a condition of licensure and license renewal. Under this waiver, licensed individuals may provide services including skilled nursing and behavior intervention services. Criminal record reviews are performed by the applicable licensing authority. The regional center verifies that licensed

individuals selected by the participant are properly licensed.
Lastly, all applicants for vendorization shall disclose the information required by 42 CFR §§455.104, 445.105 and 455.106. This disclosure information includes any person who, as applicant, has ownership or control interest in the applicant, or is an agent, director, officer or managing employee of the applicant who has: been convicted of any felony or misdemeanor involving fraud or abuse in any government program, or related to neglect or abuse of an elder or dependent adult or child, or in any connection with the interference with or obstruction of any investigation into health care related fraud or abuse; been found liable for fraud or abuse in any civil proceeding; or entered into a settlement in lieu of conviction for fraud or abuse in any government program. These disclosure and verification activities will take place at the time or application and periodically thereafter if the applicant is vendored.

b. **Abuse Registry Screening.** Specify whether the State requires the screening of individuals who provide waiver services through a State-maintained abuse registry (select one):

- ○ **No. The State does not conduct abuse registry screening.**
- ◉ **Yes. The State maintains an abuse registry and requires the screening of individuals through this registry.**

Specify: (a) the entity (entities) responsible for maintaining the abuse registry; (b) the types of positions for which abuse registry screenings must be conducted; and, (c) the process for ensuring that mandatory screenings have been conducted. State laws, regulations and policies referenced in this description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable):

The California Department of Justice maintains the Child Abuse Central Index.

As noted in section C-2-a, background checks, which includes a check with the Child Abuse Central Index, are required for the following individuals who are associated with children's facilities:

1. All staff persons, employees or volunteers who have contact with consumers in community care facilities licensed by the Department of Social Services.
a. Any person other than a consumer residing in the facility.
b. Adults responsible for administration or direct supervision of staff.
c. If the applicant is a firm, partnership, association, or corporation, the chief executive officer or other person serving in like capacity.
d. Additional officers of the governing body of the applicant, or other persons with a financial interest in the applicant.

Appendix C: Participant Services

C-2: General Service Specifications (2 of 3)

c. **Services in Facilities Subject to §1616(e) of the Social Security Act.** *Select one:*

- ◉ **No. Home and community-based services under this waiver are not provided in facilities subject to §1616(e) of the Act.**
- ○ **Yes. Home and community-based services are provided in facilities subject to §1616(e) of the Act. The standards that apply to each type of facility where waiver services are provided are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).**

Appendix C: Participant Services

C-2: General Service Specifications (3 of 3)

d. **Provision of Personal Care or Similar Services by Legally Responsible Individuals.** A legally responsible individual is any person who has a duty under State law to care for another person and typically includes: (a) the parent (biological or adoptive) of a minor child or the guardian of a minor child who must provide care to the child or (b) a spouse of a waiver participant. Except at the option of the State and under extraordinary circumstances specified by the State, payment may not be made to a legally responsible individual for the provision of personal care or similar

services that the legally responsible individual would ordinarily perform or be responsible to perform on behalf of a waiver participant. *Select one*:

- (●) **No. The State does not make payment to legally responsible individuals for furnishing personal care or similar services.**
- ( ) **Yes. The State makes payment to legally responsible individuals for furnishing personal care or similar services when they are qualified to provide the services.**

  Specify: (a) the legally responsible individuals who may be paid to furnish such services and the services they may provide; (b) State policies that specify the circumstances when payment may be authorized for the provision of ***extraordinary care*** by a legally responsible individual and how the State ensures that the provision of services by a legally responsible individual is in the best interest of the participant; and, (c) the controls that are employed to ensure that payments are made only for services rendered. *Also, specify in Appendix C-1/C-3 the personal care or similar services for which payment may be made to legally responsible individuals under the State policies specified here.*

- [ ] **Self-directed**
- [ ] **Agency-operated**

e. Other State Policies Concerning Payment for Waiver Services Furnished by Relatives/Legal Guardians. Specify State policies concerning making payment to relatives/legal guardians for the provision of waiver services over and above the policies addressed in Item C-2-d. *Select one*:

- ( ) **The State does not make payment to relatives/legal guardians for furnishing waiver services.**
- ( ) **The State makes payment to relatives/legal guardians under specific circumstances and only when the relative/guardian is qualified to furnish services.**

  Specify the specific circumstances under which payment is made, the types of relatives/legal guardians to whom payment may be made, and the services for which payment may be made. Specify the controls that are employed to ensure that payments are made only for services rendered. *Also, specify in Appendix C-1/C-3 each waiver service for which payment may be made to relatives/legal guardians.*

- (●) **Relatives/legal guardians may be paid for providing waiver services whenever the relative/legal guardian is qualified to provide services as specified in Appendix C-1/C-3.**

  Specify the controls that are employed to ensure that payments are made only for services rendered.

  Relatives may provide any waiver service as long as the relative possesses the skill, training and/or education to provide the service and that the individual meets the provider qualifications specified for that service. Relatives are required to the same vendorization requirements that all providers must adhere to, as well as being subject to the monitoring requirements for the specified service.

- ( ) **Other policy.**

  Specify:

f. Open Enrollment of Providers. Specify the processes that are employed to assure that all willing and qualified providers have the opportunity to enroll as waiver service providers as provided in 42 CFR §431.51:

The vendorization process, including provider qualifications, is referenced in the California Code of Regulations, Title 17, Division 2, Chapter 3, Subchapter 2. All applicants who meet the required provider qualifications are

eligible to provide waiver services. Information on the vendorization process and provider qualifications is continuously available via the internet at www.dds.ca.gov.

Appendix C: Participant Services

Quality Improvement: Qualified Providers

As a distinct component of the State's quality improvement strategy, provide information in the following fields to detail the State's methods for discovery and remediation.

a. **Methods for Discovery: Qualified Providers**

The state demonstrates that it has designed and implemented an adequate system for assuring that all waiver services are provided by qualified providers.

i. **Sub-Assurances:**

a. ***Sub-Assurance: 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.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance, complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of licensed providers that initially and continually meet all required standards prior to furnishing waiver services. Numerator = number of providers that initially and continually meet all required standards prior to furnishing waiver services; denominator = number of all providers.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Vendor Master File records indicate regional center verification of provider qualifications

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☑ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =

☑ **Other** Specify: Regional Centers	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of providers licensed by the Department of Social Services (DSS) reviewed annually. Numerator = number of DSS licensed providers reviewed annually; denominator = total number of providers licensed by DSS that require annual review.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Facilities Automated System

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**

☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☑ **Other** Specify: Department of Social Services (DSS)	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☑ **Other** Specify: Department of Social Services (DSS)	☑ **Annually**
	☐ **Continuously and Ongoing**
	☑ **Other** Specify: DHCS, DSS and DDS meet quarterly to review issues concerning DSS licensed facilities

b. ***Sub-Assurance: The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.***

For each performance measure the State will use to assess compliance with the statutory assurance, complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of non-licensed/non-certified providers that initially and continually meet all required standards prior to furnishing waiver services. Numerator = number of non-licensed/non-certified providers that initially and continually meet all required standards prior to furnishing waiver services; denominator = number of all non-licensed/non-certified providers.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Vendor Master File records indicate regional center verification of provider qualifications

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☑ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☑ **Other** Specify: Regional Centers	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

c. ***Sub-Assurance: The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.***

For each performance measure the State will use to assess compliance with the statutory assurance, complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of direct support professionals (DSPs) that successfully complete 70 hours of competency based training within two years of hire. Numerator = number of DSPs who successfully complete the training; denominator = number of DSPs who attempt the training.

Data Source (Select one):
Other
If 'Other' is selected, specify:
DSP Training Program Annual Report

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =

☐ **Other** Specify:	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.
N/A

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
Individual issues identified during the State's Biennial on-site HCBS Waiver Monitoring Reviews are documented in monitoring reports which are sent to the regional centers with the State's recommendations for resolution. Regional centers are responsible for developing and implementing plans for correction responsive to the State's recommendations. These plans are evaluated and approved by DHCS and DDS

before the final monitoring report, containing the State's recommendations and corrective actions taken, are issued to the regional centers and forwarded to CMS.

All deficiencies noted during DSS inspections of licensed facilities result in the development of a plan of correction. All plans of correction require follow-up, which may include a repeat inspection, to ensure the plan was successfully completed.

ii. Remediation Data Aggregation

Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☑ **Other** Specify: Regional Centers, DSS	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

c. Timelines

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Qualified Providers that are currently non-operational.

◉ **No**

○ **Yes**

Please provide a detailed strategy for assuring Qualified Providers, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix C: Participant Services

C-3: Waiver Services Specifications

Section C-3 'Service Specifications' is incorporated into Section C-1 'Waiver Services.'

Appendix C: Participant Services

C-4: Additional Limits on Amount of Waiver Services

a. Additional Limits on Amount of Waiver Services. Indicate whether the waiver employs any of the following additional limits on the amount of waiver services (*select one*).

◉ **Not applicable**- The State does not impose a limit on the amount of waiver services except as provided in Appendix C-3.

○ **Applicable** - The State imposes additional limits on the amount of waiver services.

When a limit is employed, specify: (a) the waiver services to which the limit applies; (b) the basis of the limit, including its basis in historical expenditure/utilization patterns and, as applicable, the processes and methodologies that are used to determine the amount of the limit to which a participant's services are subject; (c)

how the limit will be adjusted over the course of the waiver period; (d) provisions for adjusting or making exceptions to the limit based on participant health and welfare needs or other factors specified by the state; (e) the safeguards that are in effect when the amount of the limit is insufficient to meet a participant's needs; (f) how participants are notified of the amount of the limit. (*check each that applies*)

☐ **Limit(s) on Set(s) of Services.** There is a limit on the maximum dollar amount of waiver services that is authorized for one or more sets of services offered under the waiver.
Furnish the information specified above.

☐ **Prospective Individual Budget Amount.** There is a limit on the maximum dollar amount of waiver services authorized for each specific participant.
Furnish the information specified above.

☐ **Budget Limits by Level of Support.** Based on an assessment process and/or other factors, participants are assigned to funding levels that are limits on the maximum dollar amount of waiver services.
Furnish the information specified above.

☐ **Other Type of Limit.** The State employs another type of limit.
Describe the limit and furnish the information specified above.

Appendix C: Participant Services

C-5: Home and Community-Based Settings

Explain how residential and non-residential settings in this waiver comply with federal HCB Settings requirements at 42 CFR 441.301(c)(4)-(5) and associated CMS guidance. Include:

1. Description of the settings and how they meet federal HCB Settings requirements, at the time of submission and in the future.
2. Description of the means by which the state Medicaid agency ascertains that all waiver settings meet federal HCB Setting requirements, at the time of this submission and ongoing.

Note instructions at Module 1, Attachment #2, HCB Settings Waiver Transition Plan for description of settings that do not meet requirements at the time of submission. Do not duplicate that information here.

For information regarding the Waiver specific transition plan, please refer to Attachment #2 in this application.

As noted in state law (W&IC section 4684.80(a))EBSHs provide services to a maximum of four individuals with private bedrooms and must conform with the HCBS settings requirements of 42 CFR 441.530(a)(1). Therefore, meeting the HCBS settings requirements is considered during the planning and development of these homes. EBSHs are designed for individuals who require more enhanced behavioral supports, staffing and supervision than is available in other licensed residential settings. In addition to the same licensing criteria for adult residential facilities and group homes, certification by DDS is also required as a condition of licensure of an EBSH. This certification requirement is another opportunity to review the planned service design for compliance with the HCBS settings requirements.

As these homes are new setting types under this waiver, each one will be assessed regarding compliance with the HCBS settings requirements prior to the submission of federal claiming for services provided in these settings. The assessment process will be as follows:

• The regional center, in conjunction with the consumers and service provider, will conduct an on-site assessment of the EBSH using a standardized tool, developed as part of the State's transition planning, which aligns with the ten requirement highlighted previously.
• This assessment will include a review of the EBSH's policies/procedures for alignment with the HCBS requirements.
• Results of the assessment will be documented on the standardized tool and maintained by the regional center and provider
• The assessment will also indicate any setting requirements that initially were not met and the actions taken in response.
• Upon completion, the written assessment and supporting information will be forwarded to DDS for validation of the assessment findings via review of the supporting information and assessment. If validated, the individual EBSH is considered an eligible waive provider.
• On-going monitoring of compliance with the HCBS settings requirements will occur in the following ways:
o During required on-site monitoring visits of all EBSHs by DDS, and
o During the on-site waiver monitoring reviews where a representative, random number of consumers are selected for review. This review includes on-site visits to settings where consumers receive services.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (1 of 8)

State Participant-Centered Service Plan Title:
Individual Program Plan (IPP)

a. **Responsibility for Service Plan Development.** Per 42 CFR §441.301(b)(2), specify who is responsible for the development of the service plan and the qualifications of these individuals *(select each that applies):*

- [ ] **Registered nurse, licensed to practice in the State**
- [ ] **Licensed practical or vocational nurse, acting within the scope of practice under State law**
- [ ] **Licensed physician (M.D. or D.O)**
- [ ] **Case Manager** (qualifications specified in Appendix C-1/C-3)
- [x] **Case Manager** (qualifications not specified in Appendix C-1/C-3).

  Specify qualifications:

  The minimum requirement is a degree in social sciences or a related field. Case management experience in the developmental disabilities field or a related field may be substituted for education on a year-for-year basis.
- [ ] **Social Worker**

  Specify qualifications:
- [ ] **Other**

  Specify the individuals and their qualifications:

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (2 of 8)

b. **Service Plan Development Safeguards.** *Select one:*

- (●) **Entities and/or individuals that have responsibility for service plan development may not provide other direct waiver services to the participant.**
- ( ) **Entities and/or individuals that have responsibility for service plan development may provide other direct waiver services to the participant.**

The State has established the following safeguards to ensure that service plan development is conducted in the best interests of the participant. *Specify:*

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (3 of 8)

c. **Supporting the Participant in Service Plan Development.** Specify: (a) the supports and information that are made available to the participant (and/or family or legal representative, as appropriate) to direct and be actively engaged in the service plan development process and (b) the participant's authority to determine who is included in the process.

a) The service plan, commonly referred to as the individual program plan (IPP), is developed through a process of individualized needs determination, which includes gathering information from providers of services and supports, and is prepared jointly by the planning team. Each individual is paired with a case manager to assist in the IPP development. Information available for supporting recipients in the IPP process includes but is not limited to the following documents, all of which are available using the links below or through the DDS website at www.dds.ca.gov:
1. "Individual Program Plan Resource Manual" - This resource manual is designed to facilitate the adoption of the values that lead to person-centered individual program planning. It is intended for use by all those who participate in person-centered planning. It was developed with extensive input from service recipients, families, advocates and providers of service and support.
2. "Person Centered Planning" - This publication consists of excerpts taken from the Individual Program Plan Resource Manual to provide recipients and their families information regarding person-centered planning.
3. "From Conversations to Actions Using the IPP" - This booklet shares the real life stories of how recipients can set their goals and objectives and work through the IPP process to achieve them.
4. "From Process to Action: Making Person-Centered Planning Work" -This guide provides a quick look at questions that can help a planning team move the individual program plan from process to action focusing on the person and the person's dreams for a preferred future.
b) The IPP planning team, at a minimum, consists of the recipient and, where appropriate, his or her parents, legal guardian or conservator, or authorized representative, and an authorized regional center representative. With the consent of the recipient/conservator, other individuals, may receive notice of the meeting and participate.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (4 of 8)

d. **Service Plan Development Process.** In four pages or less, describe the process that is used to develop the participant-centered service plan, including: (a) who develops the plan, who participates in the process, and the timing of the plan; (b) the types of assessments that are conducted to support the service plan development process, including securing information about participant needs, preferences and goals, and health status; (c) how the participant is informed of the services that are available under the waiver; (d) how the plan development process ensures that the service plan addresses participant goals, needs (including health care needs), and preferences; (e) how waiver and other services are coordinated; (f) how the plan development process provides for the assignment of responsibilities to implement and monitor the plan; and, (g) how and when the plan is updated, including when the participant's needs change. State laws, regulations, and policies cited that affect the service plan development process are available to CMS upon request through the Medicaid agency or the operating agency (if applicable):

The IPP is developed through a person-centered process of individualized needs determination with active participation by the individual/representative in the plan development and takes into account the individual's needs and preferences. Person-centered planning is an approach to determining, planning for, and working toward the preferred future of the individual and her or his family. In this approach to planning that is focused on the individual, other members of the planning team adopt the role of consultants or advisors who help the individual achieve their preferred future. Decisions regarding the goals, services and supports included in the IPP are driven by the individual. The IPP is prepared jointly by the planning team which at a minimum, consists of the HCBS Waiver recipient (consumer) and, where appropriate, his or her parents, legal guardian or conservator, or authorized representative, and the regional center case manager. With the consent of the consumer/conservator, other individuals, including service providers, may receive notice of the meeting and participate in the development of the IPP.

The IPP development process includes gathering information and conducting assessments (ex. the Client Development Evaluation Report or CDER) to determine the life goals, capabilities and strengths, preferences, barriers, and concerns or problems of the consumer. For children, this process includes a review of the strengths, preferences, and needs of the child and the family unit as a whole. Assessments are conducted to identify potential health, behavioral or safety risks that may require the development of mitigation strategies. Information is obtained from the consumer, his or her parents and other family members, his or her friends, advocates, providers of services and supports, and other agencies. The assessment process reflects awareness of, and sensitivity to, the lifestyle and cultural background of the consumer and the family.

Utilizing information obtained during the assessment process, the IPP is prepared jointly by the planning team. Decisions regarding goals, objectives, needed services and providers of services are made with the agreement of the planning team. The goals included in the IPP, and objectives to implement those goals, are based on the consumer's needs, preferences and life choices. During the IPP meeting, consumers are informed of services available to them that could be options to meet their needs or choices. As changes arise, consumers are given information regarding services available to meet the change in need or choice. The IPP must also include a schedule of all services purchased by the regional center or obtained from generic resources. The receipt of these services is coordinated during the planning process to ensure any needed services available through generic resources are provided prior to accessing available waiver services.

The IPP must be reviewed (at least annually) and modified by the planning team when necessary. The annual review of the IPP will often include the development of a new IPP. In some cases, a new IPP is completed biennially or triennially. If a new IPP is not completed annually, case managers will continue to use the DDS "Standardized Annual Review" form to document the annual review of the consumer's IPP, CDER and health status. Annually, and as changes arise, consumers are given information regarding services available to meet that change in need or choice. This allows the consumer and the planning team to choose services and supports to meet the changing need or choice. If new services or supports are needed, the IPP will be amended to include the new services or supports. The planning team members will sign the "Standardized Annual Review" form to document that the remainder of the IPP remains appropriate to meet the consumer's needs. If no new services or supports are required, the planning team will indicate that the IPP remains appropriate to meet the consumer's needs. Regardless of the planned schedule for review and modification of the IPP, a review of the IPP can be requested at any time and will be modified in response to the consumer's needs upon agreement of the planning team. Further information on monitoring the implementation of the service plan is contained in Appendix D-2(a).

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (5 of 8)

e. **Risk Assessment and Mitigation.** Specify how potential risks to the participant are assessed during the service plan development process and how strategies to mitigate risk are incorporated into the service plan, subject to participant needs and preferences. In addition, describe how the service plan development process addresses backup plans and the arrangements that are used for backup.

As noted above, the IPP person-centered planning process includes an assessment of risk and identification of mitigation strategies as necessary. With input from the State's independent risk management contractor, DDS distributed a tool that can be used to aid the IPP planning team in identifying risk factors and developing interventions to minimize risks. Individual risk and safety considerations are identified during the person-centered planning process. Potential interventions that promote independence and safety with the informed involvement of the participant are included in the IPP when the planning team agrees that it is an identified need.

For consumers that are supported in their own residence, services are available to assist in responding to emergencies or other unusual situations. Available services include 24-hour emergency assistance, such as direct service in response to calls for assistance. Additionally, support to become aware of and effectively use the police, fire, and emergency help available in the community is available. Services may also include assisting and facilitating the consumer's efforts to acquire, use, and maintain devices needed to summon immediate assistance when threats to health, safety, and well-being occur. The IPP planning team makes decisions regarding which, if any, of these services will be included in the IPP based on the consumer's needs and preferences.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (6 of 8)

f. **Informed Choice of Providers.** Describe how participants are assisted in obtaining information about and selecting from among qualified providers of the waiver services in the service plan.

The case manager informs the consumer and/or his or her legal representative of qualified providers of services determined necessary through the IPP planning process. Consumers may meet with qualified providers prior to the final decision regarding providers to be identified in the service plan. The consumer's choice of providers includes consideration of, among other things, the provider's ability to deliver quality services or supports that can accomplish all or part of the person's program plan and the provider's success in achieving the objectives set forth in the consumer's IPP.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (7 of 8)

g. **Process for Making Service Plan Subject to the Approval of the Medicaid Agency.** Describe the process by which the service plan is made subject to the approval of the Medicaid agency in accordance with 42 CFR §441.301(b)(1)(i):

As part of the State's Biennial on-site HCBS Waiver Monitoring Reviews, DHCS in conjunction with DDS reviews a random, representative sample of consumer IPPs to ensure all service plan requirements have been met.

As described in appendix A.6 of this application, the State's Biennial Collaborative on-site HCBS Waiver Monitoring Reviews consist of a variety of activities that include verification of a statistically valid random sample of consumer IPPs. Please refer to Appendix A-6 for more detail.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (8 of 8)

h. **Service Plan Review and Update.** The service plan is subject to at least annual periodic review and update to assess the appropriateness and adequacy of the services as participant needs change. Specify the minimum schedule for the review and update of the service plan:

- ○ **Every three months or more frequently when necessary**
- ○ **Every six months or more frequently when necessary**
- ◉ **Every twelve months or more frequently when necessary**
- ○ **Other schedule**

Specify the other schedule:

i. **Maintenance of Service Plan Forms.** Written copies or electronic facsimiles of service plans are maintained for a minimum period of 3 years as required by 45 CFR §92.42. Service plans are maintained by the following *(check each that applies):*

- ☐ **Medicaid agency**
- ☐ **Operating agency**
- ☐ **Case manager**
- ☑ **Other**

Specify:

Regional Centers

Appendix D: Participant-Centered Planning and Service Delivery

D-2: Service Plan Implementation and Monitoring

a. **Service Plan Implementation and Monitoring.** Specify: (a) the entity (entities) responsible for monitoring the implementation of the service plan and participant health and welfare; (b) the monitoring and follow-up method(s) that are used; and, (c) the frequency with which monitoring is performed.

Regional center case managers are responsible for monitoring the implementation of all consumer IPPs, including those consumers with changing needs. At least annually (or as needed), all IPPs are reviewed to determine that planned services have been provided, that sufficient progress has been made on the consumers' goals and objectives, that consumers and families are satisfied with the individual program plan and its implementation to assess the consumer's health, safety, well-being, and the effectiveness of services. For those consumers that reside in out-of-home settings (e.g. residential community care facilities, adult family homes, supported or independent living settings), this review of the IPP is completed during quarterly, face-to-face visits.

Further, as part of the State's Biennial on-site HCBS Waiver Monitoring Reviews, DHCS in conjunction with DDS reviews a random, representative sample of consumer IPPs to ensure IPP implementation monitoring is being completed. Service providers that furnish services to all consumers, including those with changing needs, are required to report special incidents to the regional center within 24 hours. In turn, the regional center is obligated to submit SIRs to DDS within two working days of as mandated by Title 17 54327.1. Regional centers are responsible for evaluating, tracking and providing remediation to maintain the health and safety of all consumers. If the State's on-site review identifies an unaddressed issue or non-remediation of an issue, it would result in a recommendation made to the regional center towards compliance in this area. DDS and DHCS request a regional center response within 30 days of receipt of the recommendation.

b. **Monitoring Safeguards.** *Select one:*

- (●) **Entities and/or individuals that have responsibility to monitor service plan implementation and participant health and welfare may not provide other direct waiver services to the participant.**
- ( ) **Entities and/or individuals that have responsibility to monitor service plan implementation and participant health and welfare may provide other direct waiver services to the participant.**

The State has established the following safeguards to ensure that monitoring is conducted in the best interests of the participant. *Specify:*

Appendix D: Participant-Centered Planning and Service Delivery

Quality Improvement: Service Plan

As a distinct component of the State's quality improvement strategy, provide information in the following fields to detail the State's methods for discovery and remediation.

a. **Methods for Discovery: Service Plan Assurance/Sub-assurances**

The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.

i. **Sub-Assurances:**

a. ***Sub-assurance: 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.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of reviewed individual program plans (IPPs) that adequately addressed all of the consumers' assessed needs. Numerator = number of consumer IPPs reviewed that addressed all assessed needs. Denominator = total number of consumer IPPs reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State''s Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:

	☑ **Other** Specify: On-site reviews are conducted at each regional center (RC) every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of consumer IPPs that addressed all of the consumer's identified health needs and safety risks. Numerator = number of consumer IPPs reviewed that addressed all of the consumers' identified health needs and safety risks. Denominator = total number of consumer IPPs reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State''s Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**

☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center (RC) every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of consumer IPPs that addressed all of the consumer's goals. Numerator = number of consumer IPPs reviewed that addressed all of the consumers' goals. Denominator = total number of consumer IPPs reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State''s Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential

		settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center (RC) every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of consumers/parents who are satisfied with the services received. Numerator = number of positive responses. Denominator = total number of interviews conducted.

Data Source (Select one):
Other

If 'Other' is selected, specify:
Interviews conducted during State''s Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center (RC) every two years. Focused follow-up reviews are conducted annually or more	

	frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

b. ***Sub-assurance: The State monitors service plan development in accordance with its policies and procedures.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

c. ***Sub-assurance: Service plans are updated/revised at least annually or when warranted by changes in the waiver participant's needs.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

Number and percent of consumer IPPs that were revised, when needed, to address changing needs. Numerator = number of consumer IPPs that were revised to address change in consumer needs. Denominator = number of consumer records reviewed that indicated a revision to the IPP was necessary to address changing needs.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State''s Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify:	

	On-site reviews are conducted at each regional center every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of consumer IPPs that were reviewed or revised at required intervals (at least annually). Numerator = number of consumer IPPs that were reviewed or revised at required intervals. Denominator = total number of IPPs reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State''s Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample**

		Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

d. ***Sub-assurance: Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of participants who received services, including the type, scope, amount, duration and frequency, specifically identified in the IPP. Numerator = number of consumers who received services that matched the services identified in the IPP. Denominator = total number of consumer IPPs reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State''s Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval =

		3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
	☑ **Continuously and Ongoing**
	☑ **Other** Specify: Biennially

e. ***Sub-assurance: Participants are afforded choice: Between/among waiver services and providers.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of records that contain documentation the consumer was afforded the choice between/among waiver services and providers. Numerator = number of consumer records that document consumer was afforded the choice between/among waiver services and providers. Denominator = total number of records reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State''s Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95%

		confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*

Performance Measure:
Number and percent of IPPs that that are signed by the consumer/parent/legal representative indicating agreement with the services and providers identified in the IPP. Numerator = number of IPPs that are signed by the consumer/parent/legal representative. Denominator = total number of IPPs reviewed..

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State's Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.

	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.
N/A

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
Individual issues identified during the State's Biennial on-site HCBS Waiver Monitoring Reviews are documented in monitoring reports which are sent to the regional centers with the State's recommendations for resolution. Regional centers are responsible for developing and implementing plans for correction responsive to the State's recommendations. These plans are evaluated and approved by DHCS and DDS before the final monitoring report, containing the State's recommendations and corrective actions taken, are issued to the regional centers and forwarded to CMS.

Remediation plans for individual issues typically involve technical corrections to the IPP (e.g. obtaining a consumer signature or clarification of wording to reflect the agreed upon services that are being provided.) When indicated, a planning team meeting (at minimum includes the consumer and regional center representative) is held to discuss and obtain agreement on necessary modifications to the IPP.

ii. **Remediation Data Aggregation**

Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

c. **Timelines**

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Service Plans that are currently non-operational.

◉ **No**

○ **Yes**

Please provide a detailed strategy for assuring Service Plans, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix E: Participant Direction of Services

Applicability *(from Application Section 3, Components of the Waiver Request)*:

◉ **Yes. This waiver provides participant direction opportunities.** Complete the remainder of the Appendix.

○ **No. This waiver does not provide participant direction opportunities.** Do not complete the remainder of the Appendix.

CMS urges states to afford all waiver participants the opportunity to direct their services. Participant direction of services includes the participant exercising decision-making authority over workers who provide services, a participant-managed budget or both. CMS will confer the Independence Plus designation when the waiver evidences a strong commitment to participant direction.

Indicate whether Independence Plus designation is requested *(select one):*

○ **Yes. The State requests that this waiver be considered for Independence Plus designation.**

◉ **No. Independence Plus designation is not requested.**

Appendix E: Participant Direction of Services

E-1: Overview (1 of 13)

a. **Description of Participant Direction.** In no more than two pages, provide an overview of the opportunities for participant direction in the waiver, including: (a) the nature of the opportunities afforded to participants; (b) how participants may take advantage of these opportunities; (c) the entities that support individuals who direct their services and the supports that they provide; and, (d) other relevant information about the waiver's approach to participant direction.

In support of personal control over supports and services, self-direction is an option that enables participants to procure their own services. Self-direction of services empowers participants and families by giving them direct control over how and when the services are provided. Families and consumers will have the freedom to directly control and decision making authority over how and when the services are provided as an alternative to receiving services provided by staff hired by an authorized agency through the regional center.

For those participants who receive respite, family support services, skilled nursing, non-medical transportation, and/or community-based training services identified as a need in their IPP, the opportunity to self-direct those services will be offered at the time of the IPP development. As required by Title 17, CCR section 58886, when the decision to self-direct services is made, the regional center is required to provide the consumer/family member with information regarding their responsibilities and functions as either an employer or co-employer. For those selecting to self-direct the indicated services, a Financial Management Service (FMS) provider, vendored by the regional center, will perform selected administrative functions such as payroll, taxes, unemployment insurance, etc. This relieves the participant of the burden of these administrative functions while still having the freedom exercise decision making authority over the provision of services.

Appendix E: Participant Direction of Services

E-1: Overview (2 of 13)

b. **Participant Direction Opportunities.** Specify the participant direction opportunities that are available in the waiver. *Select one*:

- (●) **Participant: Employer Authority.** As specified in ***Appendix E-2, Item a***, the participant (or the participant's representative) has decision-making authority over workers who provide waiver services. The participant may function as the common law employer or the co-employer of workers. Supports and protections are available for participants who exercise this authority.
- ( ) **Participant: Budget Authority.** As specified in ***Appendix E-2, Item b***, the participant (or the participant's representative) has decision-making authority over a budget for waiver services. Supports and protections are available for participants who have authority over a budget.
- ( ) **Both Authorities.** The waiver provides for both participant direction opportunities as specified in ***Appendix E-2***. Supports and protections are available for participants who exercise these authorities.

c. **Availability of Participant Direction by Type of Living Arrangement.** *Check each that applies*:

- [ ] **Participant direction opportunities are available to participants who live in their own private residence or the home of a family member.**
- [ ] **Participant direction opportunities are available to individuals who reside in other living arrangements where services (regardless of funding source) are furnished to fewer than four persons unrelated to the proprietor.**
- [x] **The participant direction opportunities are available to persons in the following other living arrangements**

Specify these living arrangements:

Participant direction opportunities are available to participants who live in their own private residence, the home of a family member, or in a community living arrangement as defined in Appendix C.

Appendix E: Participant Direction of Services

E-1: Overview (3 of 13)

d. Election of Participant Direction. Election of participant direction is subject to the following policy *(select one):*

- ○ **Waiver is designed to support only individuals who want to direct their services.**
- ◉ **The waiver is designed to afford every participant (or the participant's representative) the opportunity to elect to direct waiver services. Alternate service delivery methods are available for participants who decide not to direct their services.**
- ○ **The waiver is designed to offer participants (or their representatives) the opportunity to direct some or all of their services, subject to the following criteria specified by the State. Alternate service delivery methods are available for participants who decide not to direct their services or do not meet the criteria.**

Specify the criteria

Appendix E: Participant Direction of Services

E-1: Overview (4 of 13)

e. Information Furnished to Participant. Specify: (a) the information about participant direction opportunities (e.g., the benefits of participant direction, participant responsibilities, and potential liabilities) that is provided to the participant (or the participant's representative) to inform decision-making concerning the election of participant direction; (b) the entity or entities responsible for furnishing this information; and, (c) how and when this information is provided on a timely basis.

During the IPP planning team meeting, the regional center case manager is responsible for informing the waiver participant of their choice of agency providers or to self-direct for respite, family support services, non-medical transportation, community-based training services and/or skilled nursing services. The case manager will provide participants with information and requirements of this choice as required by Title 17, CCR §§54355 and 58886 (e.g. responsibilities and functions as either an employer of co-employer, requirements regarding the use of a financial management service, etc.) This information is provided so the participant can make an informed decision about choosing agency or self-directed method of service delivery.

Appendix E: Participant Direction of Services

E-1: Overview (5 of 13)

f. Participant Direction by a Representative. Specify the State's policy concerning the direction of waiver services by a representative *(select one):*

- ○ **The State does not provide for the direction of waiver services by a representative.**
- ◉ **The State provides for the direction of waiver services by representatives.**

Specify the representatives who may direct waiver services: *(check each that applies)*:

- ☑ **Waiver services may be directed by a legal representative of the participant.**
- ☑ **Waiver services may be directed by a non-legal representative freely chosen by an adult participant.**

Specify the policies that apply regarding the direction of waiver services by participant-appointed representatives, including safeguards to ensure that the representative functions in the best interest of the participant:

Consumers (or their authorized, legal representative) have the opportunity to choose who may assist them in self-directing respite, family support services, non-medical transportation, community-based training service and/or skilled nursing services; however, the same requirements as specified in Title 17, CCR §§54355 and 58886 (e.g. responsibilities and functions as either an employer or co-employer, requirements regarding the use of a financial management service, etc.) apply. Further, all FMS providers must be vendorized by the regional center in accordance with Title 17, CCR, §§ 54310 and 54326 (e.g. submission of required applicant identifying information, records maintenance requirements, etc.); and, regional centers will ensure that FMS providers and providers of all self-directed services meet applicable laws ongoing and thereafter through oversight and monitoring activities.

Appendix E: Participant Direction of Services

E-1: Overview (6 of 13)

g. Participant-Directed Services. Specify the participant direction opportunity (or opportunities) available for each waiver service that is specified as participant-directed in Appendix C-1/C-3.

Waiver Service	Employer Authority	Budget Authority
Family Support Services	☑	☐
Community-Based Training Service	☑	☐
Skilled Nursing	☑	☐
Respite Care	☑	☐
Financial Management Service	☑	☐
Non-Medical Transportation	☑	☐

Appendix E: Participant Direction of Services

E-1: Overview (7 of 13)

h. Financial Management Services. Except in certain circumstances, financial management services are mandatory and integral to participant direction. A governmental entity and/or another third-party entity must perform necessary financial transactions on behalf of the waiver participant. *Select one*:

◉ **Yes. Financial Management Services are furnished through a third party entity.** *(Complete item E-1-i).*

Specify whether governmental and/or private entities furnish these services. *Check each that applies*:

☐ **Governmental entities**
☑ **Private entities**

○ **No. Financial Management Services are not furnished. Standard Medicaid payment mechanisms are used.** *Do not complete Item E-1-i.*

Appendix E: Participant Direction of Services

E-1: Overview (8 of 13)

i. Provision of Financial Management Services. Financial management services (FMS) may be furnished as a waiver service or as an administrative activity. *Select one*:

◉ **FMS are covered as the waiver service specified in Appendix C-1/C-3**

The waiver service entitled:
Financial Management Services

○ **FMS are provided as an administrative activity.**

Provide the following information

i. **Types of Entities:** Specify the types of entities that furnish FMS and the method of procuring these services:

The adult consumer or family member utilizing participant-directed services can act as a common law employer or a co-employer.

An FMS is an entity that functions as the adult consumer's agent or family member's agent in performing selected duties as follows:
o Fiscal Employer/Agent: An FE/A ensures that Federal, state and local employment taxes and labor and workers' compensation insurance rules related to household employment and payroll are implemented in an accurate and timely manner and that services are paid for appropriately and in a timely manner;
o Co-employer: When the individual is a co-employer, the FMS ensures that the necessary employer-related duties and tasks, including payroll, are carried out.

ii. **Payment for FMS.** Specify how FMS entities are compensated for the administrative activities that they perform:

FMS providers are paid a flat rate set by the State.

iii. **Scope of FMS.** Specify the scope of the supports that FMS entities provide *(check each that applies)*:

Supports furnished when the participant is the employer of direct support workers:

- [x] **Assist participant in verifying support worker citizenship status**
- [x] **Collect and process timesheets of support workers**
- [x] **Process payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance**
- [x] **Other**

Specify:

• Track, prepare and distribute reports (e.g., expenditure) to appropriate individual(s)/entities.
• Maintain all source documentation related to the authorized service(s) and expenditures.
• Maintain a separate accounting for each participant's participant-directed funds.

Supports furnished when the participant exercises budget authority:

- [ ] **Maintain a separate account for each participant's participant-directed budget**
- [ ] **Track and report participant funds, disbursements and the balance of participant funds**
- [ ] **Process and pay invoices for goods and services approved in the service plan**
- [ ] **Provide participant with periodic reports of expenditures and the status of the participant-directed budget**
- [ ] **Other services and supports**

Specify:

Additional functions/activities:

- [ ] **Execute and hold Medicaid provider agreements as authorized under a written agreement with the Medicaid agency**
- [ ] **Receive and disburse funds for the payment of participant-directed services under an agreement with the Medicaid agency or operating agency**
- [ ] **Provide other entities specified by the State with periodic reports of expenditures and the status of the participant-directed budget**
- [ ] **Other**

Specify:

iv. **Oversight of FMS Entities.** Specify the methods that are employed to: (a) monitor and assess the performance of FMS entities, including ensuring the integrity of the financial transactions that they perform; (b) the entity (or entities) responsible for this monitoring; and, (c) how frequently performance is assessed.

FMS providers are subject to periodic random audits by both regional centers and DDS. Additionally, specified providers pursuant to State law must obtain an independent audit or review or their financial statements annually. The results and accompanying management letters must be forwarded to the appropriate regional center. Subsequently, the regional center must require resolution of issues identified in the reports and notify DDS of all qualified opinion reports or reports noting significant issues that directly or indirectly impact regional center services. Further, a sample of claims at each regional center is reviewed as part of the biennial regional center audits conducted by DDS and reviewed by DHCS.

Appendix E: Participant Direction of Services

E-1: Overview (9 of 13)

j. **Information and Assistance in Support of Participant Direction.** In addition to financial management services, participant direction is facilitated when information and assistance are available to support participants in managing their services. These supports may be furnished by one or more entities, provided that there is no duplication. Specify the payment authority (or authorities) under which these supports are furnished and, where required, provide the additional information requested *(check each that applies)*:

☑ **Case Management Activity.** Information and assistance in support of participant direction are furnished as an element of Medicaid case management services.

Specify in detail the information and assistance that are furnished through case management for each participant direction opportunity under the waiver:

As noted in appendix E-1(e), regional center case managers are responsible for informing the waiver participant of their choice of agency providers or to self-direct for respite, family support services, non-medical transportation, community-based training service and/or skilled nursing services. The case manager will provide participants with information and requirements of this choice as required by Title 17, CCR §§54355 and 58886 (e.g. responsibilities and functions as either an employer of co-employer, requirements regarding the use of a financial management service (FMS), etc.)

☐ **Waiver Service Coverage.** Information and assistance in support of participant direction are provided through the following waiver service coverage(s) specified in Appendix C-1/C-3 (check each that applies):

Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
Home Health Aide	☐
Optometric/Optician Services	☐
Homemaker	☐
Communication Aides	☐
Speech, Hearing and Language Services	☐
Specialized Medical Equipment and Supplies	☐
Vehicle Modifications and Adaptations	☐
Prevocational Services	☐
Family Support Services	☐
Community-Based Training Service	☐

Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
Physical Therapy	☐
Dental Services	☐
Personal Emergency Response Systems (PERS)	☐
Skilled Nursing	☐
Environmental Accessibility Adaptations	☐
Day Service	☐
Occupational Therapy	☐
Chore Services	☐
Family/ Consumer Training	☐
Prescription Lenses and Frames	☐
Respite Care	☐
Transition/Set Up Expenses	☐
Supported Employment Individual	☐
Behavioral Intervention Services	☐
Financial Management Service	☐
Psychology Services	☐
Non-Medical Transportation	☐
Housing Access Services	☐
Nutritional Consultation	☐
Community Living Arrangement Services	☐

☐ **Administrative Activity.** Information and assistance in support of participant direction are furnished as an administrative activity.

Specify (a) the types of entities that furnish these supports; (b) how the supports are procured and compensated; (c) describe in detail the supports that are furnished for each participant direction opportunity under the waiver; (d) the methods and frequency of assessing the performance of the entities that furnish these supports; and, (e) the entity or entities responsible for assessing performance:

Appendix E: Participant Direction of Services

E-1: Overview (10 of 13)

k. Independent Advocacy *(select one).*

◉ **No. Arrangements have not been made for independent advocacy.**

○ **Yes. Independent advocacy is available to participants who direct their services.**

Describe the nature of this independent advocacy and how participants may access this advocacy:

Appendix E: Participant Direction of Services

E-1: Overview (11 of 13)

l. **Voluntary Termination of Participant Direction.** Describe how the State accommodates a participant who voluntarily terminates participant direction in order to receive services through an alternate service delivery method, including how the State assures continuity of services and participant health and welfare during the transition from participant direction:

Participants are able to switch to non-participant directed services at any time. A planning team meeting is held to update the IPP, and the case manager facilitates the transition and assures no break in service.

Appendix E: Participant Direction of Services

E-1: Overview (12 of 13)

m. **Involuntary Termination of Participant Direction.** Specify the circumstances when the State will involuntarily terminate the use of participant direction and require the participant to receive provider-managed services instead, including how continuity of services and participant health and welfare is assured during the transition.

Participant direction of services may be involuntarily terminated when the regional center determines the individual's health and safety is not being supported or when the delivery of services cannot be verified. When there is a disagreement with a change in service delivery, the individual is provided with a Notice of Proposed Action and notified of their Fair Hearing rights. Regardless of the reason for termination of participant-direction, a planning team meeting is held to update the individual program plan and facilitate the transition from participant-direction to prevent a break in service.

Appendix E: Participant Direction of Services

E-1: Overview (13 of 13)

n. **Goals for Participant Direction.** In the following table, provide the State's goals for each year that the waiver is in effect for the unduplicated number of waiver participants who are expected to elect each applicable participant direction opportunity. Annually, the State will report to CMS the number of participants who elect to direct their waiver services.

Table E-1-n

	Employer Authority Only	Budget Authority Only or Budget Authority in Combination with Employer Authority
Waiver Year	**Number of Participants**	**Number of Participants**
Year 1	8000	
Year 2	8309	
Year 3	8618	
Year 4	8927	
Year 5	9236	

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant Direction (1 of 6)

a. **Participant - Employer Authority** *Complete when the waiver offers the employer authority opportunity as indicated in Item E-1-b:*

i. **Participant Employer Status.** Specify the participant's employer status under the waiver. *Select one or both*:

- [x] **Participant/Co-Employer.** The participant (or the participant's representative) functions as the co-employer (managing employer) of workers who provide waiver services. An agency is the common law employer of participant-selected/recruited staff and performs necessary payroll and human resources functions. Supports are available to assist the participant in conducting employer-related functions.

  Specify the types of agencies (a.k.a., agencies with choice) that serve as co-employers of participant-selected staff:

  FMS Co-Employer (a.k.a agency with choice) entities function as legal employers in collaboration with family members or adult consumers, acting Co-Employers. As required by CCR, Title 17 §58884, the family member or adult consumer, acting as the Co-Employer, makes recommendations to the Financial Management Services Co-Employer on who to hire to provide Participant-Directed Services. The FMS Co-Employer must possess the ability to collect and process employee time records, assist family members or adult consumers, acting Co-Employers, in verifying the worker's eligibility for employment, process payroll, withholding, filing and payment of applicable federal, state and local employment related taxes and insurance, prepare and distribute monthly expenditure reports to the Co-Employer and the regional center; maintain all source documentation related to the authorized service(s) and expenditures, maintain separate accounting of funds used for each adult consumer or family member, and ensure payments do not exceed the amounts and rates authorized.

  FMS Fiscal Employer/Agent (F/EA) entities function in collaboration with adult consumers or family members who choose to maintain their status as common law employers. For the purposes of processing payroll, the FMS F/EA must have the ability to process the worker pay, withholdings, filings and any required payments of applicable federal, state and local employment related taxes and insurance, and apply for and obtain authorization under Section 3504 of the Internal Revenue Code to be an agent for each consumer or family member represented. The FMS F/EA must be able to assist with the verification worker eligibility, collect and process employee time records, maintain all source documentation related to the authorized service(s) and expenditures, maintain separate accounting of funds used for each adult consumer or family member, and prepare and distribute monthly expenditure reports to the Employer and the regional center. The FMS may process reimbursements but must do so according to IRS regulations. The FMS F/EA must be able to ensure payments do not exceed the amounts and rates authorized.
- [x] **Participant/Common Law Employer.** The participant (or the participant's representative) is the common law employer of workers who provide waiver services. An IRS-approved Fiscal/Employer Agent functions as the participant's agent in performing payroll and other employer responsibilities that are required by federal and state law. Supports are available to assist the participant in conducting employer-related functions.

ii. Participant Decision Making Authority. The participant (or the participant's representative) has decision making authority over workers who provide waiver services. *Select one or more decision making authorities that participants exercise*:

- [x] **Recruit staff**
- [x] **Refer staff to agency for hiring (co-employer)**
- [ ] **Select staff from worker registry**
- [x] **Hire staff common law employer**
- [x] **Verify staff qualifications**
- [ ] **Obtain criminal history and/or background investigation of staff**

  Specify how the costs of such investigations are compensated:

- [x] **Specify additional staff qualifications based on participant needs and preferences so long as such qualifications are consistent with the qualifications specified in Appendix C-1/C-3.**
- [x] **Determine staff duties consistent with the service specifications in Appendix C-1/C-3.**
- [ ] **Determine staff wages and benefits subject to State limits**

- [x] **Schedule staff**
- [x] **Orient and instruct staff in duties**
- [x] **Supervise staff**
- [x] **Evaluate staff performance**
- [x] **Verify time worked by staff and approve time sheets**
- [x] **Discharge staff (common law employer)**
- [x] **Discharge staff from providing services (co-employer)**
- [ ] **Other**

Specify:

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (2 of 6)

b. Participant - Budget Authority *Complete when the waiver offers the budget authority opportunity as indicated in Item E-1-b:*

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

i. Participant Decision Making Authority. When the participant has budget authority, indicate the decision-making authority that the participant may exercise over the budget. *Select one or more*:

- [ ] **Reallocate funds among services included in the budget**
- [ ] **Determine the amount paid for services within the State's established limits**
- [ ] **Substitute service providers**
- [ ] **Schedule the provision of services**
- [ ] **Specify additional service provider qualifications consistent with the qualifications specified in Appendix C-1/C-3**
- [ ] **Specify how services are provided, consistent with the service specifications contained in Appendix C-1/C-3**
- [ ] **Identify service providers and refer for provider enrollment**
- [ ] **Authorize payment for waiver goods and services**
- [ ] **Review and approve provider invoices for services rendered**
- [ ] **Other**

Specify:

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (3 of 6)

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

ii. Participant-Directed Budget Describe in detail the method(s) that are used to establish the amount of the participant-directed budget for waiver goods and services over which the participant has authority, including

how the method makes use of reliable cost estimating information and is applied consistently to each participant. Information about these method(s) must be made publicly available.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (4 of 6)

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

iii. Informing Participant of Budget Amount. Describe how the State informs each participant of the amount of the participant-directed budget and the procedures by which the participant may request an adjustment in the budget amount.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (5 of 6)

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

iv. Participant Exercise of Budget Flexibility. *Select one*:

- ○ **Modifications to the participant directed budget must be preceded by a change in the service plan.**
- ○ **The participant has the authority to modify the services included in the participant directed budget without prior approval.**

Specify how changes in the participant-directed budget are documented, including updating the service plan. When prior review of changes is required in certain circumstances, describe the circumstances and specify the entity that reviews the proposed change:

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (6 of 6)

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

v. Expenditure Safeguards. Describe the safeguards that have been established for the timely prevention of the premature depletion of the participant-directed budget or to address potential service delivery problems that may be associated with budget underutilization and the entity (or entities) responsible for implementing these safeguards:

Appendix F: Participant Rights

Appendix F-1: Opportunity to Request a Fair Hearing

The State provides an opportunity to request a Fair Hearing under 42 CFR Part 431, Subpart E to individuals: (a) who are not given the choice of home and community-based services as an alternative to the institutional care specified in Item 1-F of the request; (b) are denied the service(s) of their choice or the provider(s) of their choice; or, (c) whose services are denied, suspended, reduced or terminated. The State provides notice of action as required in 42 CFR §431.210.

Procedures for Offering Opportunity to Request a Fair Hearing. Describe how the individual (or his/her legal representative) is informed of the opportunity to request a fair hearing under 42 CFR Part 431, Subpart E. Specify the notice (s) that are used to offer individuals the opportunity to request a Fair Hearing. State laws, regulations, policies and notices referenced in the description are available to CMS upon request through the operating or Medicaid agency.

As required by the State Medicaid Manual (SMM) §2900.1, DD waiver recipients are afforded the right to a fair hearing if there is a disagreement with any actions taken by the regional center including the following; denial of eligibility, termination or reduction in services, denial of choice of services, denial of chosen provider, or disagreement with the amount of service. Pursuant to 42 CFR 431.206 and SMM §2900.2, information (in 12 different languages) regarding the fair hearing process, including related forms and a brochure describing the process, are available at http://www.dds.ca.gov/complaints/complt_fh.cfm. Additionally, this information is provided to every recipient in a notice whenever any of the events described previously occur. Participants have access to fair hearing brochures, notification of resolution, and fair hearing request forms through their regional center and are available on the DDS' website at www.dds.ca.gov. Regional centers and vendors that contract with a regional center to provide services to recipients are required to noticeably post on their websites, if any, a link to the DDS website page that provides a description of the appeals procedure, and a DDS telephone number for recipients and applicants who have questions about the appeals procedure.
If a recipient or authorized representative requests a fair hearing, a number of options are available to resolve the disagreement. The recipient or authorized representative may request a voluntary, informal meeting with the regional center, or mediation. Consistent with SMM §2902.1 and Welfare and Institutions Code (WIC) §4710.5(a), these steps are optional and do not take the place of the State level fair hearing. The recipient or authorized representative may choose to go straight to the fair hearing or may choose to try resolution at either an informal meeting or mediation. Even if the recipient initially chooses one of these two options, they may at any time choose to proceed to the fair hearing.
As required by 42 CFR 431.230, if a recipient or authorized representative requests a fair hearing, services will not be terminated or reduced until a decision is rendered. Fair hearings are conducted by independent hearing officers with the State's Office of Administrative Hearings (OAH.) Pursuant to WIC §4712.7, and consistent with SMM §2903.5, the Director of DHCS, the State Medicaid Agency, has delegated the authority to adopt final decisions to the Director of OAH. Fair hearing decisions and files are maintained at the Office of Administrative Hearings. DDS is copied on all final documentation.

Appendix F: Participant-Rights

Appendix F-2: Additional Dispute Resolution Process

a. **Availability of Additional Dispute Resolution Process.** Indicate whether the State operates another dispute resolution process that offers participants the opportunity to appeal decisions that adversely affect their services while preserving their right to a Fair Hearing. *Select one:*

   - (●) **No. This Appendix does not apply**
   - ( ) **Yes. The State operates an additional dispute resolution process**

b. **Description of Additional Dispute Resolution Process.** Describe the additional dispute resolution process, including: (a) the State agency that operates the process; (b) the nature of the process (i.e., procedures and timeframes), including the types of disputes addressed through the process; and, (c) how the right to a Medicaid Fair Hearing is preserved when a participant elects to make use of the process: State laws, regulations, and policies referenced in the description are available to CMS upon request through the operating or Medicaid agency.

Appendix F: Participant-Rights

Appendix F-3: State Grievance/Complaint System

a. **Operation of Grievance/Complaint System.** *Select one:*

- ○ **No. This Appendix does not apply**
- ◉ **Yes. The State operates a grievance/complaint system that affords participants the opportunity to register grievances or complaints concerning the provision of services under this waiver**

b. **Operational Responsibility.** Specify the State agency that is responsible for the operation of the grievance/complaint system:

DDS

c. **Description of System.** Describe the grievance/complaint system, including: (a) the types of grievances/complaints that participants may register; (b) the process and timelines for addressing grievances/complaints; and, (c) the mechanisms that are used to resolve grievances/complaints. State laws, regulations, and policies referenced in the description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Pursuant to the California Welfare and Institutions Code, § 4731, a participant may pursue a Consumer Complaint against a regional center or service provider. The Consumer Complaint Process is the procedure to use if you believe that the regional center or a provider has violated or improperly withheld a right to which you are entitled under the law. Under this process, you are asking that the regional center or provider change its procedures for dealing with you and others in the future.
The initial referral of the complaint shall be to the Executive Director of the regional center. Upon receipt of the complaint, the Executive Director has 20 working days to investigate the matter and send a written proposed resolution to the participant or authorized representative. If the participant or authorized representative is not satisfied with the proposed resolution, the participant or authorized representative shall refer the matter in writing to the Director of the DDS within 15 working days of receipt of the proposed resolution. The Director shall, within 45 days of receiving the complaint, issue a written administrative decision, and send a copy of the decision to the participant and Executive Director of the regional center.

Appendix G: Participant Safeguards

Appendix G-1: Response to Critical Events or Incidents

a. **Critical Event or Incident Reporting and Management Process.** Indicate whether the State operates Critical Event or Incident Reporting and Management Process that enables the State to collect information on sentinel events occurring in the waiver program.*Select one:*

- ◉ **Yes. The State operates a Critical Event or Incident Reporting and Management Process** *(complete Items b through e)*
- ○ **No. This Appendix does not apply** *(do not complete Items b through e)*
  If the State does not operate a Critical Event or Incident Reporting and Management Process, describe the process that the State uses to elicit information on the health and welfare of individuals served through the program.

b. **State Critical Event or Incident Reporting Requirements.** Specify the types of critical events or incidents (including alleged abuse, neglect and exploitation) that the State requires to be reported for review and follow-up action by an appropriate authority, the individuals and/or entities that are required to report such events and incidents and the timelines for reporting. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

DDS has promulgated regulations that describe special incident reporting (SIR) requirements and define the incident types that require a SIR, including:

• Reasonably suspected abuse/exploitation including physical, sexual, fiduciary, emotional/mental, or physical/chemical restraint.
• Reasonably suspected neglect including failure to provide medical care for physical and mental health needs, prevent malnutrition or dehydration, protect from health and safety hazards, assist in personal hygiene or the provision of food, clothing or shelter or exercise the degree of care that a reasonable person would exercise in the position of having the care and custody of an elder or a dependent adult.

• A serious injury/accident including lacerations requiring sutures or staples, puncture wounds requiring medical treatment beyond first aid, fractures; dislocations, bites that break the skin and require medical treatment beyond first aid, internal bleeding requiring medical treatment beyond first aid, any medication errors, medication reactions that require medical treatment beyond first aid, or burns that require medical treatment beyond first aid.

• Any unplanned or unscheduled hospitalization due to the following conditions: respiratory illness, including but not limited, to asthma, tuberculosis, and chronic obstructive pulmonary disease; seizure-related; cardiac-related, including but not limited to, congestive heart failure, hypertension, and angina; internal infections, including but not limited to, ear, nose and throat, GI, kidney, dental, pelvic, or urinary tract; diabetes, including diabetes-related complications; wound/skin care, including but not limited to, cellulitis and decubitus; nutritional deficiencies, including but not limited to, anemia and dehydration; or involuntary psychiatric admission; unplanned hospitalizations.

• Deaths, regardless of cause.

• The consumer is a victim of a crime including the following: robbery, including theft using a firearm, knife, or cutting instrument or other dangerous weapons or methods which force or threaten a victim; aggravated assault, including a physical attack on a victim using hands, fist, feet or a firearm, knife or cutting instrument or other dangerous weapon; larceny, including the unlawful taking, carrying, leading, or riding away of property, except for motor vehicles, from the possession or constructive possession of another person; burglary, including forcible entry; unlawful non-forcible entry; and, attempted forcible entry of a structure to commit a felony or theft therein; or rape, including rape and attempts to commit rape.

Qualified providers that furnish services to all regional center consumers, regardless if the consumer is on the waiver, are required to report a SIR to the regional center within 24 hours after learning of the incident occurrence. The initial report may be by telephone; however, a written report with specified information (as outlined in Title 17 § 54327) must be submitted to the regional center within 48 hours of learning of the incident occurrence. Regional centers, in turn, are mandated by Title 17, §54327.1 to submit SIRs (via the State's electronic SIR system) to DDS within two working days following initial receipt of the incident report or within two working days of learning of the incident and then must provide a final report to DDS within 30 days.

c. **Participant Training and Education.** Describe how training and/or information is provided to participants (and/or families or legal representatives, as appropriate) concerning protections from abuse, neglect, and exploitation, including how participants (and/or families or legal representatives, as appropriate) can notify appropriate authorities or entities when the participant may have experienced abuse, neglect or exploitation.

DDS has overall state-level responsibility for planning, coordinating and overseeing implementation of the State's risk mitigation and management system for persons with developmental disabilities, of which training and education is a component.

Both DDS and the State's independent risk management contractor provide regional centers and/or qualified providers training and technical assistance on the legal obligations in abuse reporting; SIR documentation requirements; the definition of 'special incident'; best practices for identifying consumer abuse; using and maintaining the automated SIR system; risk assessment; and proactive risk assessment and prevention planning through the individualized program planning process. This training and education to regional center staff and providers enables these entities to adequately disseminate training and education materials to consumers/families on abuse, risk assessment and mitigation.

Further, regional centers, pursuant to Title 17 §54327.2, must have a risk management and mitigation plan that addresses training for various parties mentioned above that is monitored by an internal risk management, assessment and planning committee.

Information is provided to caregivers and participants through a variety of mediums and frequencies:
- Safetynet Newsletter: Produced quarterly and includes training materials and information on topics relevant to the health, safety, and wellbeing of those served by DDS. Topics on protections from abuse, neglect, and exploitation are addressed annually at a minimum.
- Safetynet Email Blasts: Monthly emails with articles and information regarding the health, safety, and wellbeing of those served by DDS go out to all subscribers, including clients, caregivers, providers, and regional centers.
- Social Media Posts: Posts about protections from issues including abuse, neglect, and exploitation are posted multiples times per day on Facebook and twitter.
- Regional Center Websites: Regional centers have links on their websites to articles and newsletters created by Safetynet.

The State's independent risk management contractor develops and disseminates training materials, newsletters, and a website (DDS Safety Net) on various subjects in consumer-friendly format relative to staying safe, keeping healthy, etc. In addition, regional centers are provided quarterly analysis and trends on their SIR data by the independent risk management contractor, allowing regional centers to develop and implement focused strategies to mitigate emerging trends in the SIR data.

d. **Responsibility for Review of and Response to Critical Events or Incidents.** Specify the entity (or entities) that receives reports of critical events or incidents specified in item G-1-a, the methods that are employed to evaluate such reports, and the processes and time-frames for responding to critical events or incidents, including conducting investigations.

Regional centers receive the initial SIR from appropriate entities and in turn report the SIR to DDS. As appropriate, licensing and/or protective services entities are notified by the regional center. The timelines for initial SIR reporting are outlined in G-1-b.
SIR Evaluation, Examination and Follow-up
Regional centers have local-level responsibility for evaluation, examination and follow-up of SIRs. Regional centers are required to report special incidents and follow-up activities to DDS via the electronic SIR system. Regional centers are required to pursue follow-up activities until there is a satisfactory resolution of the immediate issue and mitigation of future risk to participants. Upon receipt of the special incident report, the regional center:
1. Reviews the incident report, ensures participant's safety and contacts the participant's authorized representative, as appropriate.
2. Reports the incident to investigative/protective services agencies, as appropriate.
3. Enters the initial information into special incident reporting system within two working days of learning of the incident.
4. Engages in activities to protect the participant's health and welfare and to prevent future incidents.
5. Records medical and other health related care received by the participant for his/her significant medical conditions in the period prior to the special incident.
6. Reviews medical records and coroner reports to ensure appropriate medical attention was sought and/or given.
7. Coordinates with other agencies (e.g., licensing, protective services, law enforcement agencies, coroners, long-term care ombudsman, etc.) to gather and review the results of their investigations and using this information to prevent the recurrence of similar problems.
8. Conducts on-site and chart review activities to gather and report initial and follow-up SIR information.
9. Adds required information to the initial SIR within 30 working days following initial report and updates SIR on a flow basis.
10. Closes the SIR when all required information and all follow-up activities are completed and entered into the electronic reporting system.

DDS Report Review and Evaluation Process DDS has state-level responsibility for evaluation and follow-up of SIR reports; DDS evaluates and follows up on special incidents by:
1. Daily review of SIR transmissions to ensure regulatory compliance and proper notifications have been made to legally required entities, and that appropriate follow-up activities are occurring. Immediate follow-up with regional centers is conducted, as needed, to ensure consumer health and safety has been assured.
2. Aggregating and analyzing SIR data by certain characteristics (i.e., regional centers, providers, incident types, residence and other relevant factors) on an ad-hoc basis.
3. Providing input to the State's independent risk management contractor for further analysis and to regional centers for follow-up as appropriate.

Regional centers are required to report additional information to DDS within 30 days of receiving the SIR, but this timeframe does not apply a requirement that the investigation must be completed by that time. The requirement is that the regional center must add information on a flow basis and close the SIR when all required information and all follow-up have been completed.

e. **Responsibility for Oversight of Critical Incidents and Events.** Identify the State agency (or agencies) responsible for overseeing the reporting of and response to critical incidents or events that affect waiver participants, how this oversight is conducted, and how frequently.

DDS has overall state-level responsibility for planning, coordinating and overseeing the implementation of the State's Risk Mitigation and Management System for all individuals with developmental disabilities, including those that are Waiver participants. DDS carries out this responsibility on an ongoing basis by:

1. Developing, implementing and maintaining a uniform, statewide automated SIR database system.
2. Reviewing individual SIRs daily to identify issues or concerns requiring additional follow-up.
3. Revising regulations, as needed, related to SIR requirements to address system requirements.
4. Providing SIR data (such as risk indicators, client characteristics, corrective actions, etc.) to the State's independent risk management contractor for further analyses and to regional centers for follow-up, as appropriate.
5. Providing training and technical assistance to regional centers on legal obligations in abuse reporting; documentation requirements; the definition of "special incident;" best practices for identifying consumer abuse; using and maintaining the automated SIR system; risk assessment; and proactive risk assessment and prevention planning through the individualized program planning process.
6. Developing and maintaining a statewide mortality review system that includes development and maintenance of a statewide database of all persons who have died, and conducting studies to educate and inform the service system so as to improve quality of life outcomes for participants.
7. Preparing, implementing and managing the risk assessment and mitigation contract.
8. Reviewing on-site highly unusual, suspicious and/or very sensitive individual incidents where DDS Headquarters involvement is indicated.

DHCS is the single state agency for the DD Waiver. DDS is the operating agency for the DD Waiver. DHCS and DDS exercise oversight of the waiver through the Biennial On-Site HCBS Waiver Monitoring reviews at the 21 regional centers. Several components of the review address risk management activities, including SIRs.

1. DHCS and DDS review compliance with reporting, meeting mandated timelines and appropriate and complete follow-up activity through the review of DD Waiver participant records at the regional center and at day and living service providers for the review sample.
2. Additionally, DHCS and DDS review compliance with reporting, meeting mandated timelines and appropriate and complete follow-up activity for 10 SIRs for DD Waiver participants who are not in the sample.

DHCS performs additional focused on site reviews of SIRs when it is deemed necessary.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (1 of 3)

a. **Use of Restraints.** *(Select one)*: *(For waiver actions submitted before March 2014, responses in Appendix G-2-a will display information for both restraints and seclusion. For most waiver actions submitted after March 2014, responses regarding seclusion appear in Appendix G-2-c.)*

○ **The State does not permit or prohibits the use of restraints**

Specify the State agency (or agencies) responsible for detecting the unauthorized use of restraints and how this oversight is conducted and its frequency:

◉ **The use of restraints is permitted during the course of the delivery of waiver services**. Complete Items G-2-a-i and G-2-a-ii.

i. **Safeguards Concerning the Use of Restraints.** Specify the safeguards that the State has established concerning the use of each type of restraint (i.e., personal restraints, drugs used as restraints, mechanical restraints). State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

California prohibits using restraint(s) on any person with a developmental disability, pursuant to CCR, Title 17 §50515 unless applicable licensing regulations regarding the use of bodily restraints are strictly adhered to and approved by the State's licensing entity, DSS CCL. Pursuant to Ca. Health and Safety Code § 1180.4(b), Group homes and Community Care Facilities may use seclusion or behavioral restraints for behavioral emergencies only when a person's behavior presents an imminent danger of serious harm to self or others. Please note that this citation references general licensing laws, however, pursuant to CCR, Title 17 §50515(a), seclusion is prohibited for a person with a developmental disability.

Restraints may be used only in an emergency, typically known as behavioral restraints, to protect the participant and others from injury and after alternative procedures have been attempted and failed. As defined in Health and Safety Code Section 1180.1, "Behavioral restraint" means "mechanical restraint" or "physical restraint" as defined in this section, used as an intervention when a person presents an immediate danger to self or to others. It does not include restraints used for medical purposes, including, but not limited to, securing an intravenous needle or immobilizing a person for a surgical procedure, or postural restraints, or devices used to prevent injury or to improve a person's mobility and independent functioning rather than to restrict movement.

Per Health and Safety Code 1180.4, the following types of restraints are prohibited:
• Restraint or containment technique that obstructs a person's respiratory airway or impairs the person's breathing or respiratory capacity, including techniques in which a staff member places pressure on a person's back or places his or her body weight against the person's torso or back.
• A pillow, blanket, or other item covering the person's face as part of a physical or mechanical restraint or containment process.
• Physical or mechanical restraint or containment on a person who has a known medical or physical condition and there is reason to believe that the use would endanger the person's life or seriously exacerbate the person's medical condition.
• Prone mechanical restraint on a person at risk for positional asphyxiation as a result of one of the following risk factors that are known to the provider:(A) Obesity,(B) Pregnancy,(C) Agitated delirium or excited delirium syndromes,(D) Cocaine, methamphetamine, or alcohol intoxication, (E) Exposure to pepper spray,(F) Preexisting heart disease, including, but not limited to, an enlarged heart or other cardiovascular disorders,(G) Respiratory conditions, including emphysema, bronchitis, or asthma.
• Placing a person in a facedown position with the person's hands held or restrained behind the person's back.

An Emergency Intervention Plan is developed by the facility and approved by the Department of Social Services (DSS) prior to the use of manual restraints specifying the less restrictive or non-physical de-escalation methods that may be used to identify and prevent behaviors that lead to the use of manual restraint. The Emergency Intervention Plan shall include:
1) Staff qualifications sufficient to implement the plan
2) A list of job titles of the staff required to be trained to use manual restraint
3) A list of emergency intervention techniques beginning with the least restrictive intervention with a description of each emergency intervention technique that may be used;
4) A description of the circumstances and the types of client behaviors for which the use of emergency interventions are needed;
5) Procedures for maintaining care and supervision and reducing the trauma of other clients when staff are required for the use of emergency interventions;
6) Procedures for crisis situations, when more than one client requires the use of emergency interventions simultaneously;
7) Procedures for re-integrating the client into the facility routine after the need for an emergency intervention has ceased;
8) Criteria for assessing when an Emergency Intervention Plan needs to be modified or terminated;
9) Criteria for assessing when the licensee does not have adequate resources to meet the needs of a specific client;

10) Criteria for assessment when community emergency services are necessary to assist staff during an emergency intervention;
11) Procedures to ensure a client in crisis does not injure or endanger self or others;
12) Criteria for assessing when an Individual Emergency Intervention Plan needs to be modified or terminated;
13) A statement clarifying that only trained staff may use emergency interventions.
All instances of restraints are required to be reported to the regional center and subsequently DDS.

ii. **State Oversight Responsibility.** Specify the State agency (or agencies) responsible for overseeing the use of restraints and ensuring that State safeguards concerning their use are followed and how such oversight is conducted and its frequency:

Oversight of the use of restraints is conducted by both CDSS and DDS. As noted previously, all instances of restraints are required to be reported to CDSS and the regional center and subsequently to DDS. Reports can be made verbally and follow written reports are also required. Data on all incidents including the use of restraints, is used to identify trends that may indicate a need for further intervention. The State's risk management contractor assists DDS and regional centers in the development of reports that identify trends and strategies used to identify potential factors influencing these trends. DDS uses these trend reports to identify instances that may require further follow up and continues to monitor these trends and the results of mitigating actions taken. The risk management contractor develops these reports quarterly.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (2 of 3)

b. Use of Restrictive Interventions. *(Select one)*:

◉ **The State does not permit or prohibits the use of restrictive interventions**

Specify the State agency (or agencies) responsible for detecting the unauthorized use of restrictive interventions and how this oversight is conducted and its frequency:

The unauthorized use of restrictive interventions is monitored in the DD Waiver through:
• Quarterly monitoring visits conducted by the regional center case manager and the ongoing contact with the participant by the case worker.
• Annual or unannounced visits by DSS CCL.

In California, the discovery of the unauthorized use of restraints and seclusion would result in the cancellation of the contract of the responsible provider. A special incident report would be filed with the regional center and licensing/law enforcement agencies (if applicable) which would investigate and take action. DDS would be notified of any outcomes pursuant to the special incident reporting process.

○ **The use of restrictive interventions is permitted during the course of the delivery of waiver services**
Complete Items G-2-b-i and G-2-b-ii.

i. **Safeguards Concerning the Use of Restrictive Interventions.** Specify the safeguards that the State has in effect concerning the use of interventions that restrict participant movement, participant access to other individuals, locations or activities, restrict participant rights or employ aversive methods (not including restraints or seclusion) to modify behavior. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency.

ii. **State Oversight Responsibility.** Specify the State agency (or agencies) responsible for monitoring and overseeing the use of restrictive interventions and how this oversight is conducted and its frequency:

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (3 of 3)

c. **Use of Seclusion.** *(Select one)*: *(This section will be blank for waivers submitted before Appendix G-2-c was added to WMS in March 2014, and responses for seclusion will display in Appendix G-2-a combined with information on restraints.)*

- (●) **The State does not permit or prohibits the use of seclusion**

  Specify the State agency (or agencies) responsible for detecting the unauthorized use of seclusion and how this oversight is conducted and its frequency:

  The unauthorized use of seclusion is monitored in the DD Waiver through:
  • Quarterly monitoring visits conducted by the regional center case manager and the ongoing contact with the participant by the case worker.
  • Annual or unannounced visits by DSS CCL.

  In California, the discovery of the unauthorized use of seclusion would result in the cancellation of the contract of the responsible provider. A special incident report would be filed with the regional center and licensing/law enforcement agencies (if applicable) which would investigate and take action. DDS would be notified of any outcomes pursuant to the special incident reporting process.

- ( ) **The use of seclusion is permitted during the course of the delivery of waiver services**. Complete Items G-2-c-i and G-2-c-ii.

  i. **Safeguards Concerning the Use of Seclusion.** Specify the safeguards that the State has established concerning the use of each type of seclusion. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

  ii. **State Oversight Responsibility.** Specify the State agency (or agencies) responsible for overseeing the use of seclusion and ensuring that State safeguards concerning their use are followed and how such oversight is conducted and its frequency:

Appendix G: Participant Safeguards

Appendix G-3: Medication Management and Administration (1 of 2)

This Appendix must be completed when waiver services are furnished to participants who are served in licensed or unlicensed living arrangements where a provider has round-the-clock responsibility for the health and welfare of residents. The Appendix does not need to be completed when waiver participants are served exclusively in their own personal residences or in the home of a family member.

a. **Applicability.** Select one:

- ( ) **No. This Appendix is not applicable** *(do not complete the remaining items)*
- (●) **Yes. This Appendix applies** *(complete the remaining items)*

b. **Medication Management and Follow-Up**

i. **Responsibility.** Specify the entity (or entities) that have ongoing responsibility for monitoring participant medication regimens, the methods for conducting monitoring, and the frequency of monitoring.

For consumers who reside in community living arrangements where the provider has round-the-clock responsibility in residences that are not the participant's own home or home of a family member, the following entities have responsibility for monitoring those living arrangements:

First-line monitoring for medication regimens is the responsibility of the consumer's prescribing physician (ongoing).

Second-line monitoring is conducted in the following ways:
• The Person-centered planning team, which includes a regional center representative, through their monitoring of the IPP (as needed, and annually at a minimum) includes a review of the consumer's health status.
• Regional centers' monitor provider compliance with assisting consumers to receive medical care and medication management follow-up pursuant to the IPP (as needed, and quarterly at a minimum.)
• Community Care Licensing monitoring (annually)
• DDS and DHCS monitoring review (biannually)

All regional centers have personnel with clinical expertise who routinely provide training and/or information to individuals who conduct second-line monitoring to help recognize situations that present a potential risk to the consumer. In these situations, regional center clinical personnel are available to consult with the consumer's prescribing physician as necessary.

ii. **Methods of State Oversight and Follow-Up.** Describe: (a) the method(s) that the State uses to ensure that participant medications are managed appropriately, including: (a) the identification of potentially harmful practices (e.g., the concurrent use of contraindicated medications); (b) the method(s) for following up on potentially harmful practices; and, (c) the State agency (or agencies) that is responsible for follow-up and oversight.

The State monitors medication management through the activities detailed in appendix H, which include (but are not limited to), the State's overall risk mitigation and management system and the Biennial on-site HCBS Waiver Monitoring Review. The State's risk management contractor reviews electronic special incident report data for trends in medication errors and unplanned hospitalizations due to medication errors. As part of its contract with DDS, the risk management contractor also performs polypharmacy reviews and follow-up. Technical assistance and/or tools are developed on an as needed basis in response to SIR trends to prevent the occurrence of incidents. Further, in the state mandated DSP training (for all direct support professionals employed in regional center vendored community care facilities), there is a component on medication management.

Additionally, if the provider is licensed by the Department of Social Services (DSS), a review of medication policies/procedures is conducted. DSS and regional centers monitor ongoing thereafter through oversight and monitoring activities to address any issues relative to medication management.

Appendix G: Participant Safeguards

Appendix G-3: Medication Management and Administration (2 of 2)

c. Medication Administration by Waiver Providers

i. **Provider Administration of Medications.** *Select one:*

○ **Not applicable.** *(do not complete the remaining items)*
◉ **Waiver providers are responsible for the administration of medications to waiver participants who cannot self-administer and/or have responsibility to oversee participant self-administration of medications.** *(complete the remaining items)*

ii. **State Policy.** Summarize the State policies that apply to the administration of medications by waiver providers or waiver provider responsibilities when participants self-administer medications, including (if applicable)

policies concerning medication administration by non-medical waiver provider personnel. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Assistance with self-administration of medication may be performed by trained, non-medical personnel. The State requires mandatory direct support professional training, which includes medication management, handling, and assistance with self-administration of medication. Additionally, the licensee must receive training from a licensed professional, obtain written documentation from the licensed professional, and ensure that the licensed professional reviews staff performance as the licensed professional deems necessary, at least once a year.
Once ordered by the physician, the medication is given according to the physician's directions. Pursuant to 22 CCR § 80075, the following regulations shall apply to the oversight of assistance with self-administration:
A record of each dose is maintained in the client's record. The record shall include the date and time the PRN medication was taken, the dosage taken, and the client's response. If the client is unable to determine his/her own need for a prescription or nonprescription PRN medication, and is unable to communicate his/her symptoms clearly, facility staff designated by the licensee, shall be permitted to assist the client with self-administration, provided all of the following requirements are met:
• Facility staff shall contact the client's physician prior to each dose, describe the client's symptoms, and receive direction to assist the client in self-administration of that dose of medication.
• The date and time of each contact with the physician, and the physician's directions, shall be documented and maintained in the client's facility record.
• The date and time the PRN medication was taken, the dosage taken, and the client's response, shall be documented and maintained in the client's facility record.
• For every prescription and nonprescription PRN medication for which the licensee provides assistance, there shall be a signed, dated written order from a physician on a prescription blank, maintained in the client's file, and a label on the medication.

iii. Medication Error Reporting. *Select one of the following:*

◉ **Providers that are responsible for medication administration are required to both record and report medication errors to a State agency (or agencies).**
Complete the following three items:

(a) Specify State agency (or agencies) to which errors are reported:

Pursuant to state regulations, all medication errors for participants who are under a provider's care are required to be reported to (1) the regional center and (2) the appropriate licensing entity.

Regional centers, in turn, are required to notify DDS of medication errors.

(b) Specify the types of medication errors that providers are required to *record:*

Medication errors that occur when a participant is under a provider's care, including those where the provider is assisting the participant to self-administer.

(c) Specify the types of medication errors that providers must *report* to the State:

Medication errors that occur when a participant is under a provider's care, including those where the provider is assisting the participant to self-administer.

○ **Providers responsible for medication administration are required to record medication errors but make information about medication errors available only when requested by the State.**

Specify the types of medication errors that providers are required to record:

iv. State Oversight Responsibility. Specify the State agency (or agencies) responsible for monitoring the performance of waiver providers in the administration of medications to waiver participants and how monitoring is performed and its frequency.

Please see Appendix G-3- b-i & G-3-b-ii.

Appendix G: Participant Safeguards

Quality Improvement: Health and Welfare

As a distinct component of the State's quality improvement strategy, provide information in the following fields to detail the State's methods for discovery and remediation.

a. **Methods for Discovery: Health and Welfare**
The state demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare. *(For waiver actions submitted before June 1, 2014, this assurance read "The State, on an ongoing basis, identifies, addresses, and seeks to prevent the occurrence of abuse, neglect and exploitation.")*
   i. **Sub-Assurances:**

      a. ***Sub-assurance: The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instancesof 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.)*

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of special incidents reported within required timeframes.
Numerator = number of special incidents reported within required timeframes;
denominator = number of special incidents reported.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Special incident report (SIR) database

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☑ **Other** Specify:	☐ **Annually**	☐ **Stratified**

Regional centers		Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: Daily	

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State's Biennial Collaborative on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in

		each setting at each RC.
	☐ **Continuously and Ongoing**	☑ **Other** Specify: In addition to reviewing any special incidents for consumers included in the random sample, a supplemental sample is reviewed of ten consumers with a reported special incident at each regional center.
	☑ **Other** Specify: On-site reviews are conducted at each regional center every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☑ **Other** Specify: Regional centers Independent risk management contractor	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*

Performance Measure:
Number and percent of providers that maintain a safe environment and safeguard medications. Numerator = number of providers that maintain a safe environment and safeguard medications; denominator = total number of providers reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Site reviews conducted during State's Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
		☐ **Other**

	☐ **Continuously and Ongoing**	Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center (RC) every two years. Focused follow -up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

b. ***Sub-assurance: 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.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

Number and percent of special incidents for which appropriate actions were taken. Numerator = number of special incidents for which appropriate actions were taken; denominator = number of special incidents reported.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Special incident report (SIR) database

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☑ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☑ **Other** Specify: Regional Centers	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: Daily	

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State's Biennial Collaborative on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample**

		Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☑ **Other** Specify: Regional centers Independent risk management contractor	☑ **Annually**	☑ **Stratified** Describe Group: stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☑ **Other** Specify: In addition to reviewing any special incidents for consumers included in the random sample, a supplemental sample is reviewed of ten consumers with a reported special incident at each regional center.
	☑ **Other** Specify: On-site reviews are conducted at each regional center every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☑ **Other** Specify: Regional centers Independent risk management contractor	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

c. ***Sub-assurance: The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of instances in which state policies regarding restrictive intervention were followed. Numerator=number of special incidents reported on use of restrictive interventions in which state policies were followed; denominator = total number of special incidents reported on use of restrictive interventions.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Special incident report (SIR) database.

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**

☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☑ **Other** Specify: Regional Centers	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☑ **Other** Specify: Regional centers, independent risk management contractor	☐ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

d. ***Sub-assurance: 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.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information

on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of consumers whose special health care requirements or safety needs are met. Numerator = number of consumers whose special health care requirements or safety needs are met; denominator = total number of consumers reviewed with special health care requirements.

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other**	

	Specify: On-site reviews are conducted at each regional center (RC) every two years. Focused follow -up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.
N/A

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
Regional centers have the primary responsibility for ensuring appropriate steps are taken in response to special incidents. These steps may include; identifying the factors that led to the incident, ensuring service providers responded appropriately, assessing the need for provider training and determining if modifications to the consumer's IPP are needed. The actions taken are documented in the incident report or consumer record.

Daily, DDS staff review submitted special incident and, when necessary, follow-up with the regional center

Individual issues identified during the State's Biennial on-site HCBS Waiver Monitoring Reviews are documented in monitoring reports which are sent to the regional centers with the State's recommendations for resolution. Regional centers are responsible for developing and implementing plans for correction responsive to the State's recommendations. These plans are evaluated and approved by DHCS and DDS

before the final monitoring report, containing the State's recommendations and corrective actions taken, are issued to the regional centers and forwarded to CMS.

ii. Remediation Data Aggregation

Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☑ **Other** Specify: Regional centers Independent risk management contractor	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

c. Timelines

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Health and Welfare that are currently non-operational.

◉ **No**

○ **Yes**

Please provide a detailed strategy for assuring Health and Welfare, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix H: Quality Improvement Strategy (1 of 2)

Under §1915(c) of the Social Security Act and 42 CFR §441.302, the approval of an HCBS waiver requires that CMS determine that the State has made satisfactory assurances concerning the protection of participant health and welfare, financial accountability and other elements of waiver operations. Renewal of an existing waiver is contingent upon review by CMS and a finding by CMS that the assurances have been met. By completing the HCBS waiver application, the State specifies how it has designed the waiver's critical processes, structures and operational features in order to meet these assurances.

- Quality Improvement is a critical operational feature that an organization employs to continually determine whether it operates in accordance with the approved design of its program, meets statutory and regulatory assurances and requirements, achieves desired outcomes, and identifies opportunities for improvement.

CMS recognizes that a state's waiver Quality Improvement Strategy may vary depending on the nature of the waiver target population, the services offered, and the waiver's relationship to other public programs, and will extend beyond regulatory requirements. However, for the purpose of this application, the State is expected to have, at the minimum, systems in place to measure and improve its own performance in meeting six specific waiver assurances and requirements.

It may be more efficient and effective for a Quality Improvement Strategy to span multiple waivers and other long-term care services. CMS recognizes the value of this approach and will ask the state to identify other waiver programs and long-term care services that are addressed in the Quality Improvement Strategy.

Quality Improvement Strategy: Minimum Components

The Quality Improvement Strategy that will be in effect during the period of the approved waiver is described throughout the waiver in the appendices corresponding to the statutory assurances and sub-assurances. Other documents cited must be available to CMS upon request through the Medicaid agency or the operating agency (if appropriate).

In the QIS discovery and remediation sections throughout the application (located in Appendices A, B, C, D, G, and I) , a state spells out:

- The evidence based discovery activities that will be conducted for each of the six major waiver assurances;
- The *remediation* activities followed to correct individual problems identified in the implementation of each of the assurances;

In Appendix H of the application, a State describes (1) the *system improvement* activities followed in response to aggregated, analyzed discovery and remediation information collected on each of the assurances; (2) the correspondent *roles/responsibilities* of those conducting assessing and prioritizing improving system corrections and improvements; and (3) the processes the state will follow to continuously *assess the effectiveness of the OIS* and revise it as necessary and appropriate.

If the State's Quality Improvement Strategy is not fully developed at the time the waiver application is submitted, the state may provide a work plan to fully develop its Quality Improvement Strategy, including the specific tasks the State plans to undertake during the period the waiver is in effect, the major milestones associated with these tasks, and the entity (or entities) responsible for the completion of these tasks.

When the Quality Improvement Strategy spans more than one waiver and/or other types of long-term care services under the Medicaid State plan, specify the control numbers for the other waiver programs and/or identify the other long-term services that are addressed in the Quality Improvement Strategy. In instances when the QIS spans more than one waiver, the State must be able to stratify information that is related to each approved waiver program. Unless the State has requested and received approval from CMS for the consolidation of multiple waivers for the purpose of reporting, then the State must stratify information that is related to each approved waiver program, i.e., employ a representative sample for each waiver.

Appendix H: Quality Improvement Strategy (2 of 2)

H-1: Systems Improvement

a. System Improvements

i. Describe the process(es) for trending, prioritizing, and implementing system improvements (i.e., design changes) prompted as a result of an analysis of discovery and remediation information.

California has excellent systems and structures in place that provide information and/or guide the quality improvement strategy (QIS). These include the risk management and mitigation system, regional center performance contracts, the Biennial on-site HCBS Waiver Monitoring Reviews, biennial regional center fiscal audits, and the direct support professional (DSP) training program. All of these components are based on the quality model that starts with establishing clear expectations for performance (design), collecting data to determine if the expectations are met (discovery), taking steps to correct deficiencies (remediation), and utilizing information obtained to implement improvements and continuously monitor the system to determine if desired results were achieved (improvement).

As noted previously in this application, in California, all community-based services for individuals with developmental disabilities are provided through a statewide system of 21 regional centers, who are funded by the Department of Developmental Services (DDS). Within this structure, and under the oversight of the Department of Health Care Services (DHCS), DDS ensures that the HCBS Waiver is implemented in accordance with Medicaid law and the State's approved Waiver application. It is through this same service delivery system that California also provides services under the 1915(i) State Plan Amendment (SPA), 16-016/16-047. As a result, the overall QIS described in this appendix applies to services provided under both

programs. However, for federal reporting, California will collect and report information specific to each program for the performance measures under the following federal assurances:
• Administrative Authority – All performance measures with the exception of joint meetings and participation in the Quality Management Executive Committee (discussed later in this appendix.)
• Level of Care – Only applies to the HCBS Waiver
• Service Plans
• Health and Welfare
• Financial Accountability

Additionally, California will report consolidated data for performance measures under the following assurances:
• Administrative Authority – Joint oversight meetings between DHCS and DDS will address operation of both the HCBS Waiver and 1915(i) SPA. Additionally, Quality Management Executive Committee meetings review all aspects of the service delivery system. Therefore, separate meetings specific to each program are not held.
• Qualified Providers - Service delivery and provider requirements are the same under both the HCBS Waiver and the 1915(i) SPA. As a result, participants of both programs receive services concurrently from the same providers. Therefore, performance measure data related to this assurance will be the same for both the HCBS Waiver and 1915(i) SPA.

While all the various aspects of the QIS have built-in continuous quality monitoring, trend identification, remediation and improvement responsibilities, it is important to get a coordinated, comprehensive look at the performance of all aspects of the service delivery system. To that end, the state has established the Quality Management Executive Committee (QMEC) consisting of executive level personnel from both DHCS and DDS. The involvement of DHCS in the QMEC ensures that the State Medicaid agency is actively involved in the assessment of waiver performance. One of the main functions of the QMEC is to analyze data and trends identified through the multiple discovery activities and sources described in this and other sections throughout this application. This analysis enables the QMEC to assess the efficacy of the system's design, discovery, remediation, and improvement activities. As a result of this analysis, the QMEC is able to prioritize suggested policy changes or system enhancements that may be necessary in response to identified trends.
As an example, the following is a more detailed description of the process employed by the QMEC in trend identification and coordination of system enhancement activities utilizing information from one component of the QIS. Although the design, discovery, remediation and improvement activities vary for each of the QIS components, the process described below is representative of the QMEC's role in identifying the need for and coordinating system improvements.
The State puts a premium on protecting consumers' health and welfare. This is evidenced by the commitment to establishing and overseeing a multi-faceted risk management and mitigation system. As a key component in this system, the State engages the services of an independent, specialized risk management and mitigation contractor possessing a multidisciplinary (clinical, research, data analysis, training, business) capacity. One of the responsibilities of this contractor is to analyze information from the State's electronic special incident reporting system. The QMEC uses the contractor's statistical analysis of incident report data and other related data sets to help determine statewide priorities and direct risk management activities. Remediation and system improvement activities directed by the QMEC include a mortality system improvement initiative to enhance and improve the information reported on mortality, targeted technical assistance for regional centers experiencing an increase in incidents; working with a group of regional center risk management personnel in an effort to gather better actionable data; technical support in the development of remediation plans; and development of mortality review guidelines and medical diagnosis checklists for common chronic conditions. When the need for potential system enhancements is identified by the QMEC, the process often involves changes to existing regulation, statute and/or budgetary authority. Each of these steps requires that public input is sought before any changes are made. For example, the rules for promulgation of new regulations require the solicitation of public comments on the proposed regulations. Additionally, numerous legislative hearings are conducted during the development of the State's annual budget. Public testimony, both oral and written, is taken at these hearings which are historically widely attended and participated in by stakeholders (e.g. consumers, families and service providers) when issues concerning the service system for people with developmental disabilities are discussed.

Stakeholder participation in this process is also accomplished through the Consumer Advisory Committee (CAC). This standing committee consists of individuals who are members of and have been nominated by a

local People First or self-advocacy group. The purpose of the CAC is to advise DDS on issues involving policies, programs, legislation, and regulations affecting the delivery of services and supports to people with developmental disabilities in California. In addition, DDS discusses issues, including new or potential policy changes with the CAC and ensures that appropriate DDS representatives attend CAC meetings based on the topics that are to be discussed.

ii. System Improvement Activities

Responsible Party*(check each that applies):*	**Frequency of Monitoring and Analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☑ **Quality Improvement Committee**	☑ **Annually**
☐ **Other** Specify:	☑ **Other** Specify: Semi-annually

b. System Design Changes

i. Describe the process for monitoring and analyzing the effectiveness of system design changes. Include a description of the various roles and responsibilities involved in the processes for monitoring & assessing system design changes. If applicable, include the State's targeted standards for systems improvement.

The QIS is designed to incorporate continuous quality monitoring of all HCBS Waiver assurances. This enables the State to utilize data from the various discovery activities for the purpose of performing on-going assessments of the QIS, including the effectiveness of any system enhancements. As described in the previous section, the Quality Management Executive Committee (QMEC) has the primary role in making a coordinated system assessment. This includes assessing the effectiveness of system enhancements and the design of new discovery activities if needed. It is important to note that the multiple QIS discovery activities include input from and on-going communication with stakeholders, including consumers/families, service providers, regional center staff and State representatives. How system assessments are communicated with stakeholders is described below:

Regional Center Performance Contracts – Performance contracts measure progress on public policy and compliance measures for each regional center. These contracts are developed through a public process that includes input on performance objectives. Examples of these measures include the number of minors residing with families; the number of adults residing with their families, in independent or supported living, or Family Home Agency homes; compliance with DDS and independent fiscal audits; and compliance with individual program plan development requirements. The data for the measures in each contract is provided to regional centers every six months, including a year-end final report that is available to the public.
Independent Risk Management Contractor Activities – The risk management contractor produces and distributes a number of reports that are used to assess system improvement activities. These include: quarterly reports of increased incident occurrences and subsequent regional center responses to these increases; semi-annual reports of statewide incident trends which are posted on the DDS website; and an annual report to the legislature on statewide incident trends and remediation activities. Further, the risk management contractor participates, along with DDS representatives, in quarterly meetings with regional center risk management personnel as well as the training subcommittee of the regional centers Chief Counselor's committee (see below). These regular meetings provide a forum for reviewing the efficacy of systems improvements.

Regional Center Committees – DDS meets regularly with groups of regional center representatives who are organized in a number of topic and/or function specific standing committees. These committees include the regional center Chief Counselors (case management executives), risk management representatives, and

HCBS Waiver personnel (i.e. qualified intellectual disabilities professionals). Participation in these committees affords DDS and regional center stakeholders regular opportunities to review and communicate about system performance and HCBS Waiver related policies. DDS' regular participation in these committees is a mechanism through which technical assistance is provided, implementation and compliance issues discussed, and communication regarding system issues and performance occurs.

Regional Center Boards of Directors – As private, non-profit entities, each regional center is governed by a board of directors. The composition of these boards requires the inclusion of persons with developmental disabilities or family members/legal guardians. Additionally, each board must have an advisory committee comprised of a wide variety of providers of regional center services. These boards conduct regular public meetings and are tasked with the oversight of all regional center activities. This includes the review and implementation to the previously discussed regional center performance contracts. The composition requirements of the boards, in addition to the public nature of their activities, ensure that stakeholders have the opportunity to provide input on and receive information regarding regional center policies and system changes.

Consumer Advisory Committee (CAC) – The CAC, described above, meets quarterly and collaborates with DDS. During these meetings, DDS discusses and disseminates information on topics raised by CAC members, including new or potential policy changes.

ii. Describe the process to periodically evaluate, as appropriate, the Quality Improvement Strategy.

The Quality Management Executive Committee (QMEC) is able to continuously evaluate the design of the QIS strategy due to the on-going nature of the discovery, remediation and improvement activities described in this application. In addition, the State utilizes information from national advocacy and provider organizations, other states, and CMS to identify potential design changes that would strengthen the QIS.

Appendix I: Financial Accountability

I-1: Financial Integrity and Accountability

Financial Integrity. Describe the methods that are employed to ensure the integrity of payments that have been made for waiver services, including: (a) requirements concerning the independent audit of provider agencies; (b) the financial audit program that the state conducts to ensure the integrity of provider billings for Medicaid payment of waiver services, including the methods, scope and frequency of audits; and, (c) the agency (or agencies) responsible for conducting the financial audit program. State laws, regulations, and policies referenced in the description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

DDS performs fiscal audits of each regional center every two years, and completes follow-up audits of each regional center in alternate years or more frequently as needed. Regional centers are also required to contract with independent auditors to conduct an annual audit. The DDS audit is designed to "wrap around" the required independent audit to ensure comprehensive financial accountability. DDS reviews each regional center's annual independent audit report and follows up with the regional center regarding corrective action for each management comment identified in the independent auditor's report. DDS and regional centers also conduct audits of service providers. Upon the issuance of the Final Audit report, all consumer billings identified for reimbursement by the vendor are remitted to the Home and Community Based Waiver by the DDS Waiver Section. This is done prior to the outcome of any vendor appeal or administrative hearing. If the findings of the audit are non-monetary, the vendoring regional center(s) are responsible for ensuring future vendor compliance with the DDS audit recommendation(s). If the audit findings are monetary, the vendor is required to reimburse the DDS directly. Once the vendor has agreed to pay the DDS Accounting Section tracks and monitors the vendor's payment(s). If the vendor refuses to pay, the DDS Accounting follows collection procedures.

Specified providers pursuant to State law must obtain an independent audit or review of their financial statements annually. A specified provider is an entity that receives payments between $500,000 and $2,000,000 from one or more regional centers and must obtain an independent review report of its financial statements. Providers who receive more than $2,000,000 in regional center payments must obtain an independent audit. The results of these audits or reviews and accompanying management letters must be forwarded to the appropriate regional center. Subsequently, the regional center must require resolution of issues identified in the reports and notify DDS of all qualified opinion reports or reports noting significant issues that directly or indirectly impact regional center services. A periodic independent audit of the waiver program is required by the Single Audit Act and conducted by the California state auditor.

DHCS maintains on-going oversight of the audit functions of this Waiver as follows:
1. DHCS Audits and Investigations (A&I) reviews DDS regional center Pre-Audit Review Package which contains: DDS' contracts and Contract Budget Summaries; summary of regional center budget; summary of state claims; summary of advances and offsets; independent audit reports and management letters; regional center response to management letters; and DDS review of independent audit work papers.
2. DHCS A&I reviews DDS draft regional center audit reports and notifies DDS if material findings are noted.
3. DHCS A&I participates in vendor audit entrance/exit conferences as appropriate.
4. DHCS A&I reviews draft DDS vendor audit reports and audit working papers.
5. DHCS submits annual report of DHCS A&I's oversight activities to CMS.

In the DDS draft regional center audit reports, DHCS A&I looks for any potential problems or special issues. The following are examples of material findings based on past audit reports where vendors were referred to DOJ:

•Lack of documentation/support for significant percentage/amount of the cost claimed by the regional center and/or vendor. A general rule is more than 30% of their costs.

•Timesheets appeared to have altered or overstated hours, appeared excessive (vendor claiming services provided by individuals which exceed 8 hours per day)

•Individual's hours are being billed directly and also included on vendor's timesheets

•Regional Center/Vendor does not have payroll records to evidence individuals providing services were paid.

Appendix I: Financial Accountability

Quality Improvement: Financial Accountability

As a distinct component of the State's quality improvement strategy, provide information in the following fields to detail the State's methods for discovery and remediation.

a. **Methods for Discovery: Financial Accountability Assurance:**
The State must demonstrate that it has designed and implemented an adequate system for ensuring financial accountability of the waiver program. *(For waiver actions submitted before June 1, 2014, this assurance read "State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.")*

i. **Sub-Assurances:**

a. ***Sub-assurance: 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.*** *(Performance measures in this sub-assurance include all Appendix I performance measures for waiver actions submitted before June 1, 2014.)*

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of claims paid in accordance with the consumer's authorized services. Numerator = number of claims paid in accordance with the consumer's authorized services; denominator = total number of claims for participants reviewed.

Data Source (Select one):

Other
If 'Other' is selected, specify:
Record reviews conducted during State's Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000 and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center every two years. Focused follow-up reviews are conducted annually or more	

	frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of claims paid in accordance with the reimbursement methodology in the approved waiver only for services rendered. Numerator = number of claims paid in accordance with the reimbursement methodology in the approved waiver only for services rendered; denominator = total number of claims reviewed only for the services rendered.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Vendor audits conducted by regional centers

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☑ **Other** Specify: Regional centers	☑ **Annually**	☐ **Stratified** Describe Group:

	☐ **Continuously and Ongoing**	☑ **Other** Specify: Each regional center must conduct a fiscal audit no less than 4% of the total number of vendors in specified service categories for which payments in the prior year totaled $100,000 or less.
	☐ **Other** Specify:	

Data Source (Select one):
Other
If 'Other' is selected, specify:
DDS audits of regional center vendors

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☑ **Other** Specify:

		DDS fiscal vendor audits are conducted based on a random sample of vendors with annual expenditures over $100,000 or upon referral.
	☐ **Other** Specify:	

Data Source (Select one):
Other
If 'Other' is selected, specify:
DDS Biennial Regional Center audits

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☑ **Other** Specify: 5-10% of the most heavily utilized services are sampled to verify accuracy of billing. Lesser utilized services are also sampled for review at a

		rate of less than 5%.
	☑ **Other** Specify: Fiscal audits are conducted at each regional center every two years. Follow-up fiscal audits are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
Number and percent of consumers who were enrolled on the waiver prior to the generation of claims for federal reimbursement. Numerator = number of consumers who were enrolled on the waiver prior to the generation of claims for federal reimbursement; denominator = total number of consumer records reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Record reviews conducted during State's Biennial on-site HCBS Waiver Monitoring Reviews

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**

☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 3.01 Based on sample size of 1050, population of 130,000, and 95% confidence level
☐ **Other** Specify:	☑ **Annually**	☑ **Stratified** Describe Group: The sample is stratified based on three residential settings. The sample size at each RC is in direct proportion to the number of consumers in each setting at each RC.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: On-site reviews are conducted at each regional center every two years. Focused follow-up reviews are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

b. ***Sub-assurance: The state provides evidence that rates remain consistent with the approved rate methodology throughout the five year waiver cycle.***

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:
Number and percent of claims paid at the approved service rate. Numerator = Number of claims paid at the approved service rate. Denominator = Total number of claims reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
DDS audits of Regional Center claims

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval =

☐ **Other** Specify:	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☑ **Other** Specify: 5-10% of the most heavily utilized services are sampled to verify accuracy of billing. Lesser utilized services are also sampled for review at a rate of less than 5%.
	☑ **Other** Specify: Fiscal audits are conducted at each regional center every two years. Follow-up fiscal audits are conducted annually or more frequently as needed.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☑ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.
N/A

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
Individual issues identified during any of the audit and oversight activities above require corrective actions to be developed by either the regional center or vendor. These corrective actions are evaluated and approved by DDS and included in the final audit reports. DHCS provides oversight of this process.

ii. Remediation Data Aggregation
Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

c. Timelines
When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Financial Accountability that are currently non-operational.

◉ **No**
○ **Yes**
Please provide a detailed strategy for assuring Financial Accountability, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (1 of 3)

a. **Rate Determination Methods.** In two pages or less, describe the methods that are employed to establish provider payment rates for waiver services and the entity or entities that are responsible for rate determination. Indicate any opportunity for public comment in the process. If different methods are employed for various types of services, the description may group services for which the same method is employed. State laws, regulations, and policies referenced in the description are available upon request to CMS through the Medicaid agency or the operating agency (if applicable).

The rate methodologies for services provided in this waiver are as follows:

Behavior Intervention Service
This service is comprised of the following subcategories:

A. Non-Facility-Based Behavior Intervention Services– Providers in this subcategory are Behavior Analyst, Associate Behavior Analyst, Behavior Management Assistant, Behavior Management Consultant, Psychiatrist, Psychiatric Technician, Crisis Team, Client/Parent Support, Parent Support Services, Individual/Family Training Providers, Family Counselor, Behavior Intervention Training and Behavioral Technician. There are two rate setting methodologies for all providers in this subcategory (except psychiatrists – see below.) If the provider does not have a "usual and customary" rate as described below, then the rate is established using the median rate setting methodology.

1) The usual and customary rate methodology – Per California Code of Regulations (CCR), Title 17, Section 57210 (a)(19), a usual and customary rate "means the rate which is regularly charged by a vendor for a service that is used by both regional center consumers and/or their families and where at least 30% of the recipients of the given service are not regional center consumers or their families. If more than one rate is charged for a given service, the rate determined to be the usual and customary rate for a regional center consumer and/or family shall not exceed whichever rate is regularly charged to members of the general public who are seeking the service for an individual with a developmental disability who is not a regional center consumer, and any difference between the two rates must be for extra services provided and not imposed as a surcharge to cover the cost of measures necessary for the vendor to achieve compliance with the Americans With Disabilities Act."
2) The median rate setting methodology – This methodology applies if the usual and customary rate methodology is not applicable to the provider. The Department calculates median rates for each regional center, and these rates are subsequently certified by each of the regional centers. The Department calculates the statewide median rates based on the individual regional center median rates. Verification of individual regional center median rates is subject to verification through the department's biennial fiscal audit of the regional center. Rates for new providers where rates are set through negotiation with regional centers are capped at either the statewide median rate or the vendoring regional center's median rate, whichever is lower unless a regional center demonstrates an increase to the fixed new vendor rate is necessary for a provider to provide the service in order to protect a beneficiary's health and safety needs. As required by the contract between regional centers and the State, regional centers must maintain documentation on the process to determine, and the rationale for granting, any negotiated rate, including consideration of the type of service and any education, experience and/or professional qualifications required for the service. In addition, contracts or agreements between the regional center and service providers shall expressly require that no more than 15 percent of regional center funds be spent on administrative expenditures.
This methodology requires that rates negotiated with new providers may not exceed the regional center's current median rate for the same service, or the statewide current median rate, whichever is lower .

Effective July 1, 2016, these median rates were increased for the purpose of enhancing wages and benefits for provider staff who spend 75 percent of their time providing direct services for consumers as well as administrative expenses for service providers.
3) Schedule of Maximum Allowances - The rates for psychiatrists are determined by the "Schedule of Maximum Allowances (SMA)." State regulations define the SMA as the current rate established by the single-state Medicaid agency for services reimbursable under the Medi-Cal program. The SMA is the maximum amount that can be paid for the service. For providers who have a usual and customary rate that is less than the SMA, the regional center shall pay the provider's usual and customary rate.
B. Crisis Support – The following two rate methodologies apply for these providers;
1) The usual and customary rate methodology – As defined previously or, if the provider does not have a usual and customary rate;
2) The median rate setting methodology - As defined previously.

Community Living Arrangement Services

This service is comprised of the following subcategories:

A. Licensed/Certified Residential Services – Providers in this subcategory are Foster Family Agency/Certified Family Home, Foster Family Home, Small Family Home, Group Home, Adult Residential Facility, Residential Facility for the Elderly, Out of State Residential Facility, Adult Residential Facility for Persons with Special Health Care Needs and Family Home Agency, Enhanced Behavioral Supports Homes, and In-Home Day Program Services. There are two rate setting methodologies for all providers in this subcategory (with the exception of Out of State Residential Facility and Enhanced Behavioral Supports Homes – see below).

1) Alternative Residential Model (ARM) methodology – This is the most typical methodology used in setting rates for the licensed/certified providers vendored to provide residential services. Within this methodology, 14 different rate/service levels were established using a cost-based study of providers using actual costs. Individual providers apply to be vendored at one of these rate/service levels based upon the staffing ratios, service design, personnel qualifications and use of consultant services described in their program design. The allowable costs used to calculate ARM rates include the following cost components: wages and benefits for direct supervision (those activities in which direct care staff provide care, supervision, training and support to promote the consumer's functioning) personnel, consultant services, general administrative costs (ex. staff training, licenses), housing, furniture, insurance, utilities, food, housekeeping supplies and laundry services, personal care items, transportation, and wages and benefits (for management and staff providing cooking, house cleaning, maintenance). Note: This is not the rate that is claimed for FFP. See Appendix I-5 for a description of the method used to isolate and exclude room and board costs from the rate for purposes of Medicaid payment.
Effective July 1, 2016, these rates were increased for the purpose of enhancing wages and benefits for provider staff who spend 75 percent of their time providing direct services for consumers as well as administrative expenses for service providers. The rate schedule, effective January July 1, 2016 can be found at the following link: http://www.dds.ca.gov/Rates/docs/CCF_rate_July2016.pdf
Pursuant to Section 4681.5(b) of the Welfare and Institutions Code, effective July 1, 2016, the Department of Developmental Services established a rate schedule for residential community care facilities vendored to provide services to a maximum of four persons with developmental disabilities. The 4-bed or less rate schedule can be found on at the following link: http://www.dds.ca.gov/Rates/docs/CCF_rate_July2016.pdf.

2) The median rate setting methodology – This methodology, as defined previously, is applicable for In-Home Day Program services and licensed/certified settings when the program service design (e.g., personnel qualifications, mandated staff ratios, programming, use of consultants) is not addressed within the ARM rate setting structure detailed above, and;

3) Out-of-state rate methodology – This methodology is applicable for out-of-state residential providers. The rate paid is the established rate for that service, paid by that State in the provision of that service to their own service population of individuals with developmental disabilities.

4) Enhanced Behavior Supports Homes rate methodology - There are two components to the monthly rate for Enhanced Behavioral Supports Homes: 1) the facility component, and 2) the individualized services and supports component. The allowable costs used to calculate the facility component include payroll costs of facility staff and facility related costs such as lease, facility maintenance, repairs, cable/internet, etc. The allowable costs used to calculate the individualized services and supports component include the salaries, wages, payroll taxes, and benefits of individuals providing individualized services and supports and other consumer specific program costs. The rate of payment for both components may not exceed the rate limit determined by the Department. Note: This is not the rate that is claimed for FFP. See Appendix I-5 for a description of the method used to isolate and exclude room and board costs from the rate for purposes of Medicaid payment.

B. Supported Living Services provided in a consumer's own home (non-licensed/certified) – Supported Living Services providers are in this subcategory. Maximum rates for these providers are determined using the median rate methodology, as defined previously. In addition, effective July 1, 2016 these rates were increased by 5 percent.
Day Services
This service is comprised of the following subcategories:
A. Community-Based Day Services – There are two rate setting methodologies for providers in this subcategory.
1) Rates set pursuant to a cost statement methodology – This methodology is used to determine the applicable daily rate for Activity Center, Adult Development Center and Behavior Management Program providers. This methodology is also used to determine the applicable hourly rate for Independent Living Program and Social Recreation Program providers. Under this methodology, new vendors are assigned a "new vendor" rate, based on the

type of service provided, until a permanent rate is established, within upper and lower limits, using actual cost information as described below. Unless otherwise authorized by statute, effective July 1, 2004, all new providers of services are reimbursed at the fixed new provider (vendor) rate unless a regional center demonstrates an increase to the fixed new vendor rate is necessary for a provider to provide the service in order to protect a beneficiary's health and safety needs. Effective July 1, 2016, these rates were increased for the purpose of enhancing wages and benefits for provider staff who spend 75 percent of their time providing direct services for consumers as well as administrative expenses for these service providers. In addition, Independent Living Program provider rates were increased by 5 percent.
a) For the day services providers identified above, the cost-based rates are calculated based on 12 consecutive months of allowable costs related to services to consumers and actual days or hours of consumer attendance. Only costs attributable to the provision of the specific service are included. The following allowable cost information is utilized in determining the rate:
• Total gross salary and wages for all employees (direct service and supervisory) attributable to the provision of the specific service.
• Fringe benefit costs associated with salary and wage costs.
• Operating expenses including furniture, staff recruitment, license or certification fees, association dues or fees.
• Management organization costs (costs for administrative support provided for the delivery of the specific service.)
The total of the allowable costs above is then divided by the vendor's actual hours or days of consumer attendance to determine the daily or hourly rate per consumer.
CONTINUATION OF I-2(a) RATE DETERMINATION METHODS CAN BE FOUND UNDER MAIN(B) OPTIONAL.

b. Flow of Billings. Describe the flow of billings for waiver services, specifying whether provider billings flow directly from providers to the State's claims payment system or whether billings are routed through other intermediary entities. If billings flow through other intermediary entities, specify the entities:

Claims for services provided are submitted to regional centers by providers, referred to as regional center vendors. These claims are subsequently submitted to DDS, the Organized Health Care Delivery System (OHCDS) for this Waiver. Under an interagency agreement with DHCS, DDS prepares and submits invoices to DHCS for valid, reimbursable costs (see item I-2-d.) The Regional Centers then bill DDS, which operates the Waiver program under an interagency agreement and fiscal agent contract with the Department of Health Services, the Medicaid agency. Providers are not required to contract and/or bill via the regional centers. Please refer to appendix A.6 of this waiver for information regarding Program Policy Compliance.

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (2 of 3)

c. Certifying Public Expenditures *(select one)*:

○ **No. State or local government agencies do not certify expenditures for waiver services.**

◉ **Yes. State or local government agencies directly expend funds for part or all of the cost of waiver services and certify their State government expenditures (CPE) in lieu of billing that amount to Medicaid.**

***Select at least one*:**

☑ **Certified Public Expenditures (CPE) of State Public Agencies.**

Specify: (a) the State government agency or agencies that certify public expenditures for waiver services; (b) how it is assured that the CPE is based on the total computable costs for waiver services; and, (c) how the State verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b).*(Indicate source of revenue for CPEs in Item I-4-a.)*

DDS, with DHCS oversight, certifies that the public expenditures for waiver services are based only on the total costs of services provided. By using the methods described in items I-2-d and I-3-a, DDS ensures that only those costs that 1) are provided to eligible individuals, and 2) are for services identified in the waiver, are included on invoices sent to DHCS to claim FFP. As detailed in item I-1, claims for waiver

services are subjected to regular periodic audits and reviews by State, regional center and independent auditors.

☐ **Certified Public Expenditures (CPE) of Local Government Agencies.**

Specify: (a) the local government agencies that incur certified public expenditures for waiver services; (b) how it is assured that the CPE is based on total computable costs for waiver services; and, (c) how the State verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b). *(Indicate source of revenue for CPEs in Item I-4-b.)*

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (3 of 3)

d. Billing Validation Process. Describe the process for validating provider billings to produce the claim for federal financial participation, including the mechanism(s) to assure that all claims for payment are made only: (a) when the individual was eligible for Medicaid waiver payment on the date of service; (b) when the service was included in the participant's approved service plan; and, (c) the services were provided:

Claims are processed and validated at all levels through automated processes. Only claims for services for which a purchase authorization, based on decisions made in development of the individual service plan (IPP), is in place are able to be processed for provider payment by the regional center.

Regional centers transmit all expenditures (claims) to DDS through a system of main frame computers. At DDS the expenditures are processed though a specialized filter program to determine if:
1. The service recipient (consumer) was enrolled on the Waiver at the time of service.
2. The consumer was eligible for Medi-Cal at the time of service.
3. The service provided is eligible for FFP.
A claim for FFP is only completed if all three of the conditions above are met.

As described in appendix A.6 of this application, the State's Biennial on-site HCBS Waiver Monitoring Reviews also include verification that a statistically valid random sample of consumer IPPs identify all services purchased by regional centers. Further, each year all consumers are provided a complete listing of all the services funded (and paid for) on their behalf, pursuant to their IPP. This listing includes the service type, units, and month of service and the amount paid. The state law requiring the provision of an annual statement was implemented for the purpose of assuring that the services and supports paid for, were delivered to the recipient.

e. Billing and Claims Record Maintenance Requirement. Records documenting the audit trail of adjudicated claims (including supporting documentation) are maintained by the Medicaid agency, the operating agency (if applicable), and providers of waiver services for a minimum period of 3 years as required in 45 CFR §92.42.

Appendix I: Financial Accountability

I-3: Payment (1 of 7)

a. Method of payments -- MMIS (*select one*):

○ **Payments for all waiver services are made through an approved Medicaid Management Information System (MMIS).**

○ **Payments for some, but not all, waiver services are made through an approved MMIS.**

Specify: (a) the waiver services that are not paid through an approved MMIS; (b) the process for making such payments and the entity that processes payments; (c) and how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

◉ **Payments for waiver services are not made through an approved MMIS.**

Specify: (a) the process by which payments are made and the entity that processes payments; (b) how and through which system(s) the payments are processed; (c) how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

Payments to providers for authorized services are processed through the Uniform Fiscal System (UFS). The system establishes and tracks regional center authorization and billing data including vendor (provider) number, purchase authorization number, consumer identification and eligibility information, service code, service rate, claim amount, and claim date. Waiver services will not be paid unless the appropriate authorization and billing data are present. Regional centers transmit to DDS all service authorization and billing data necessary to support the provider claims to provide a complete audit trail. Regional centers vendors, regional centers and DDS are required to maintain documentation to support financial accountability in accordance with federal requirements. In addition to the controls contained in UFS to prevent possible erroneous payments, oversight of appropriate claiming also includes provider audits conducted by regional centers and DDS.

Only claims determined valid by DDS through the process described in item I-2-d are submitted to DHCS for FFP and reporting as expenditures on the CMS-64.

○ **Payments for waiver services are made by a managed care entity or entities. The managed care entity is paid a monthly capitated payment per eligible enrollee through an approved MMIS.**

Describe how payments are made to the managed care entity or entities:

Appendix I: Financial Accountability

I-3: Payment (2 of 7)

b. Direct payment. In addition to providing that the Medicaid agency makes payments directly to providers of waiver services, payments for waiver services are made utilizing one or more of the following arrangements (*select at least one*):

☐ **The Medicaid agency makes payments directly and does not use a fiscal agent (comprehensive or limited) or a managed care entity or entities.**

☐ **The Medicaid agency pays providers through the same fiscal agent used for the rest of the Medicaid program.**

☑ **The Medicaid agency pays providers of some or all waiver services through the use of a limited fiscal agent.**

Specify the limited fiscal agent, the waiver services for which the limited fiscal agent makes payment, the functions that the limited fiscal agent performs in paying waiver claims, and the methods by which the Medicaid agency oversees the operations of the limited fiscal agent:

DDS, as the operating agency and OHCDS for this Waiver, acts as the limited fiscal agent for all waiver services. In this role, through processes described previously, DDS verifies the appropriateness of claims submitted by regional centers and submits invoices to DHCS for FFP. The requirements for DDS in this role, as well as the financial accountability oversight responsibility of DHCS, are outlined in an interagency agreement between DHCS and DDS.

☐ **Providers are paid by a managed care entity or entities for services that are included in the State's contract with the entity.**

Specify how providers are paid for the services (if any) not included in the State's contract with managed care entities.

Appendix I: Financial Accountability

I-3: Payment (3 of 7)

c. **Supplemental or Enhanced Payments.** Section 1902(a)(30) requires that payments for services be consistent with efficiency, economy, and quality of care. Section 1903(a)(1) provides for Federal financial participation to States for expenditures for services under an approved State plan/waiver. Specify whether supplemental or enhanced payments are made. *Select one:*

- (●) **No. The State does not make supplemental or enhanced payments for waiver services.**
- ( ) **Yes. The State makes supplemental or enhanced payments for waiver services.**

Describe: (a) the nature of the supplemental or enhanced payments that are made and the waiver services for which these payments are made; (b) the types of providers to which such payments are made; (c) the source of the non-Federal share of the supplemental or enhanced payment; and, (d) whether providers eligible to receive the supplemental or enhanced payment retain 100% of the total computable expenditure claimed by the State to CMS. Upon request, the State will furnish CMS with detailed information about the total amount of supplemental or enhanced payments to each provider type in the waiver.

Appendix I: Financial Accountability

I-3: Payment (4 of 7)

d. **Payments to State or Local Government Providers.** *Specify whether State or local government providers receive payment for the provision of waiver services.*

- (●) **No. State or local government providers do not receive payment for waiver services.** Do not complete Item I-3-e.
- ( ) **Yes. State or local government providers receive payment for waiver services.** Complete Item I-3-e.

Specify the types of State or local government providers that receive payment for waiver services and the services that the State or local government providers furnish:

Appendix I: Financial Accountability

I-3: Payment (5 of 7)

e. **Amount of Payment to State or Local Government Providers.**

Specify whether any State or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed its reasonable costs of providing waiver services and, if so, whether and how the State recoups the excess and returns the Federal share of the excess to CMS on the quarterly expenditure report. *Select one:*

Answers provided in Appendix I-3-d indicate that you do not need to complete this section.

- ( ) **The amount paid to State or local government providers is the same as the amount paid to private providers of the same service.**

○ **The amount paid to State or local government providers differs from the amount paid to private providers of the same service. No public provider receives payments that in the aggregate exceed its reasonable costs of providing waiver services.**

○ **The amount paid to State or local government providers differs from the amount paid to private providers of the same service. When a State or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed the cost of waiver services, the State recoups the excess and returns the federal share of the excess to CMS on the quarterly expenditure report.**

Describe the recoupment process:

Appendix I: Financial Accountability

I-3: Payment (6 of 7)

f. Provider Retention of Payments. Section 1903(a)(1) provides that Federal matching funds are only available for expenditures made by states for services under the approved waiver. *Select one:*

◉ **Providers receive and retain 100 percent of the amount claimed to CMS for waiver services.**

○ **Providers are paid by a managed care entity (or entities) that is paid a monthly capitated payment.**

Specify whether the monthly capitated payment to managed care entities is reduced or returned in part to the State.

Appendix I: Financial Accountability

I-3: Payment (7 of 7)

g. Additional Payment Arrangements

i. Voluntary Reassignment of Payments to a Governmental Agency. *Select one:*

◉ **No. The State does not provide that providers may voluntarily reassign their right to direct payments to a governmental agency.**

○ **Yes. Providers may voluntarily reassign their right to direct payments to a governmental agency as provided in 42 CFR §447.10(e).**

Specify the governmental agency (or agencies) to which reassignment may be made.

ii. Organized Health Care Delivery System. *Select one:*

○ **No. The State does not employ Organized Health Care Delivery System (OHCDS) arrangements under the provisions of 42 CFR §447.10.**

◉ **Yes. The waiver provides for the use of Organized Health Care Delivery System arrangements under the provisions of 42 CFR §447.10.**

Specify the following: (a) the entities that are designated as an OHCDS and how these entities qualify for designation as an OHCDS; (b) the procedures for direct provider enrollment when a provider does not voluntarily agree to contract with a designated OHCDS; (c) the method(s) for assuring that participants have free choice of qualified providers when an OHCDS arrangement is employed, including the selection of providers not affiliated with the OHCDS; (d) the method(s) for assuring that providers that furnish services under contract with an OHCDS meet applicable provider qualifications under the waiver; (e) how it is assured that OHCDS contracts with providers meet applicable requirements; and, (f) how financial accountability is assured when an OHCDS arrangement is used:

(a) Waiver services will be reimbursed through an Organized Health Care Delivery System (OHCDS) operated by DDS, which is the enrolled Medicaid provider for these services. DDS provides Medicaid services (outside the waiver) through its operation of state developmental centers. HCBS waiver and case management services are provided through, 21 private non-profit entities known as regional centers which are under contract with DDS to coordinate, counsel, advocate and arrange for individualized services and supports for people with developmental disabilities and their families. Regional Centers were created as a result of Legislation passed in 1969 which mandated that a network of regional centers be created in California. Each regional center provides services to individuals with developmental disabilities in their "catchment area." DDS contracts with each regional center's governing board for a term of five years. The contract includes required program and fiscal provisions.

(b)The DDS OHCDS is an open network. Regional centers evaluate and approve prospective providers through a process referred to as "vendorization." The purpose of vendorization is to ensure that the provider meets DDS and HCBS waiver qualifications and is enrolled in the regional center payment system. The regional centers do not have the ability to contract selectively or otherwise restrict the number of providers reimbursed for DDS services.

(c) Consumers select their providers through the development and implementation of an individual program plan ("IPP"). A consumer is not limited to providers already vendored by the regional center. If a consumer selects another provider, that provider is then vendored to ensure that it meets provider qualifications and is enrolled in the regional center's payment system.

(d) DDS establishes the qualifications for providers. The regional centers, as agents of DDS, are responsible for ensuring that providers meet all applicable qualifications. If they do, they are then vendored and included in the OHCDS.

(e) DDS is responsible for overseeing the operation of the OHCDS. This includes assuring that the regional centers review the qualifications of all providers (through the vendor process) and require providers to meet all applicable Medicaid requirements (e.g., the maintenance of necessary documentation).

(f) The regional centers pay enrolled providers based on the submission of claims. DDS then reimburses the regional centers for these expenditures, plus administrative expenses based on time studies. DDS certifies these expenditures to DHCS for reimbursement of the federal share. There is no "mark up" of expenditures. The amount that the DDS OHCDS bills for Waiver services equals the amount that it reimburses the regional centers plus its administrative costs. Providers are not required to contract and/or bill via the regional center.

iii. Contracts with MCOs, PIHPs or PAHPs. *Select one:*

- (●) **The State does not contract with MCOs, PIHPs or PAHPs for the provision of waiver services.**
- ( ) **The State contracts with a Managed Care Organization(s) (MCOs) and/or prepaid inpatient health plan(s) (PIHP) or prepaid ambulatory health plan(s) (PAHP) under the provisions of §1915(a)(1) of the Act for the delivery of waiver and other services. Participants may voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the State Medicaid agency.**

Describe: (a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and, (d) how payments are made to the health plans.

○ **This waiver is a part of a concurrent §1915(b)/§1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The §1915(b) waiver specifies the types of health plans that are used and how payments to these plans are made.**

○ **This waiver is a part of a concurrent ◆1115/◆1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The ◆1115 waiver specifies the types of health plans that are used and how payments to these plans are made.**

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (1 of 3)

a. **State Level Source(s) of the Non-Federal Share of Computable Waiver Costs.** Specify the State source or sources of the non-federal share of computable waiver costs. *Select at least one*:

☐ **Appropriation of State Tax Revenues to the State Medicaid agency**

☑ **Appropriation of State Tax Revenues to a State Agency other than the Medicaid Agency.**

If the source of the non-federal share is appropriations to another state agency (or agencies), specify: (a) the State entity or agency receiving appropriated funds and (b) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if the funds are directly expended by State agencies as CPEs, as indicated in Item I-2-c:

DDS directly incurs the full cost of waiver services. The non-federal share for these costs is appropriated directly to DDS through the State budget process. The source of all non-federal, or matching, funds used in computing the waiver costs is from State revenues. Therefore, no federal funds are used to match other federal funds.

As described in item I-2-c, the total amount paid for waiver services is submitted to DHCS by DDS via certified public expenditures as the basis for claiming of FFP.

☐ **Other State Level Source(s) of Funds.**

Specify: (a) the source and nature of funds; (b) the entity or agency that receives the funds; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by State agencies as CPEs, as indicated in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (2 of 3)

b. **Local Government or Other Source(s) of the Non-Federal Share of Computable Waiver Costs.** Specify the source or sources of the non-federal share of computable waiver costs that are not from state sources. *Select One*:

◉ **Not Applicable**. There are no local government level sources of funds utilized as the non-federal share.

○ **Applicable**
Check each that applies:

☐ **Appropriation of Local Government Revenues.**

Specify: (a) the local government entity or entities that have the authority to levy taxes or other revenues; (b) the source(s) of revenue; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement (indicate any intervening entities in the transfer process), and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

☐ **Other Local Government Level Source(s) of Funds.**

Specify: (a) the source of funds; (b) the local government entity or agency receiving funds; and, (c) the mechanism that is used to transfer the funds to the State Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (3 of 3)

c. **Information Concerning Certain Sources of Funds.** Indicate whether any of the funds listed in Items I-4-a or I-4-b that make up the non-federal share of computable waiver costs come from the following sources: (a) health care-related taxes or fees; (b) provider-related donations; and/or, (c) federal funds. *Select one*:

◉ **None of the specified sources of funds contribute to the non-federal share of computable waiver costs**

○ **The following source(s) are used**

Check each that applies:

☐ **Health care-related taxes or fees**

☐ **Provider-related donations**

☐ **Federal funds**

For each source of funds indicated above, describe the source of the funds in detail:

Appendix I: Financial Accountability

I-5: Exclusion of Medicaid Payment for Room and Board

a. **Services Furnished in Residential Settings.** *Select one:*

○ **No services under this waiver are furnished in residential settings other than the private residence of the individual.**

◉ **As specified in Appendix C, the State furnishes waiver services in residential settings other than the personal home of the individual.**

b. **Method for Excluding the Cost of Room and Board Furnished in Residential Settings.** The following describes the methodology that the State uses to exclude Medicaid payment for room and board in residential settings:

All claims for Habilitation-Community Living Arrangement Services (CLAS) provided in residential settings other than the consumer's personal home are validated in the waiver billing system to ensure the cost of room and board is excluded from the claim prior to claiming FFP. In California, the cost of room and board is less than or equivalent to the Supplemental Security Income/State Supplement Payment (SSI/SSP) amount. Rates for providers of CLAS include the amount for room and board and, if necessary, an additional amount for the provision of support services. Prior to claiming FFP, the amount of the claim is compared to the provider's rate to ensure that only the

amount in excess of the SSI/SSP amount is claimed for FFP. For example, if a provider's rate is $2,000/month, and the SSI/SSP amount equals $960, the Waiver billing system will not process claims that are more than $1,040 ($2,000 - $960 = $1,040).

Appendix I: Financial Accountability

I-6: Payment for Rent and Food Expenses of an Unrelated Live-In Caregiver

Reimbursement for the Rent and Food Expenses of an Unrelated Live-In Personal Caregiver. *Select one:*

- (●) **No. The State does not reimburse for the rent and food expenses of an unrelated live-in personal caregiver who resides in the same household as the participant.**
- ( ) **Yes. Per 42 CFR §441.310(a)(2)(ii), the State will claim FFP for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. The State describes its coverage of live-in caregiver in Appendix C-3 and the costs attributable to rent and food for the live-in caregiver are reflected separately in the computation of factor D (cost of waiver services) in Appendix J. FFP for rent and food for a live-in caregiver will not be claimed when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.**

The following is an explanation of: (a) the method used to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver and (b) the method used to reimburse these costs:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (1 of 5)

a. **Co-Payment Requirements.** Specify whether the State imposes a co-payment or similar charge upon waiver participants for waiver services. These charges are calculated per service and have the effect of reducing the total computable claim for federal financial participation. *Select one:*

- (●) **No. The State does not impose a co-payment or similar charge upon participants for waiver services.**
- ( ) **Yes. The State imposes a co-payment or similar charge upon participants for one or more waiver services.**

i. **Co-Pay Arrangement.**

Specify the types of co-pay arrangements that are imposed on waiver participants (*check each that applies*):

Charges Associated with the Provision of Waiver Services *(if any are checked, complete Items I-7-a-ii through I-7-a-iv):*

- [ ] **Nominal deductible**
- [ ] **Coinsurance**
- [ ] **Co-Payment**
- [ ] **Other charge**

Specify:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (2 of 5)

a. Co-Payment Requirements.

ii. Participants Subject to Co-pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (3 of 5)

a. Co-Payment Requirements.

iii. Amount of Co-Pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (4 of 5)

a. Co-Payment Requirements.

iv. Cumulative Maximum Charges.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (5 of 5)

b. Other State Requirement for Cost Sharing. Specify whether the State imposes a premium, enrollment fee or similar cost sharing on waiver participants. *Select one*:

- (●) **No. The State does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.**
- ( ) **Yes. The State imposes a premium, enrollment fee or similar cost-sharing arrangement.**

Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income; (c) the groups of participants subject to cost-sharing and the groups who are excluded; and, (d) the mechanisms for the collection of cost-sharing and reporting the amount collected on the CMS 64:

Appendix J: Cost Neutrality Demonstration

J-1: Composite Overview and Demonstration of Cost-Neutrality Formula

Composite Overview. Complete the fields in Cols. 3, 5 and 6 in the following table for each waiver year. The fields in Cols. 4, 7 and 8 are auto-calculated based on entries in Cols 3, 5, and 6. The fields in Col. 2 are auto-calculated using the Factor D data from the J-2-d Estimate of Factor D tables. Col. 2 fields will be populated ONLY when the Estimate of Factor D tables in J-2-d have been completed.

Level(s) of Care: ICF/IID

Col. 1	Col. 2	Col. 3	Col. 4	Col. 5	Col. 6	Col. 7	Col. 8
Year	Factor D	Factor D'	Total: D+D'	Factor G	Factor G'	Total: G+G'	Difference (Col 7 less Column4)
1	26955.74	13923.00	40878.74	71579.00	10095.00	81674.00	40795.26
2	27028.24	13923.00	40951.24	73726.00	10095.00	83821.00	42869.76
3	27028.23	13923.00	40951.23	75938.00	10095.00	86033.00	45081.77
4	27028.24	13923.00	40951.24	78216.00	10095.00	88311.00	47359.76
5	27028.24	13923.00	40951.24	80563.00	10095.00	90658.00	49706.76

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (1 of 9)

a. **Number Of Unduplicated Participants Served.** Enter the total number of unduplicated participants from Item B-3-a who will be served each year that the waiver is in operation. When the waiver serves individuals under more than one level of care, specify the number of unduplicated participants for each level of care:

Table: J-2-a: Unduplicated Participants

Waiver Year	Total Unduplicated Number of Participants (from Item B-3-a)	Distribution of Unduplicated Participants by Level of Care (if applicable)		
		Level of Care:		
		ICF/IID		
Year 1	130000		130000	
Year 2	135000		135000	
Year 3	140000		140000	
Year 4	145000		145000	
Year 5	150000		150000	

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (2 of 9)

b. **Average Length of Stay.** Describe the basis of the estimate of the average length of stay on the waiver by participants in item J-2-a.

The average length of stay (ALOS) is calculated by dividing the total number of enrolled days of all waiver participants by the unduplicated recipients reported in the CMS 372 for waiver year 2014-15.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (3 of 9)

c. **Derivation of Estimates for Each Factor.** Provide a narrative description for the derivation of the estimates of the following factors.

i. **Factor D Derivation.** The estimates of Factor D for each waiver year are located in Item J-2-d. The basis for these estimates is as follows:

The Factor D utilization factors for waiver services are derived from actual expenditures and unduplicated users from the CMS 372 (April 1, 2014 – March 31, 2015) for services provided to persons enrolled on the

Home and Community-based Services Waiver for the Developmentally Disabled (HCBS DD Waiver.) The per capita cost, by service, was trended forward to reflect increases in the number of persons who will be served during the renewal period. Utilization adjustments take into account the ALOS calculation above. In addition, factor D includes estimates associated with 50% increases in rates, effective July 2018, for Home Health Aide and Skilled Nursing Services implemented as part of the 2018 Budget Act.

The number of eligible recipients was estimated by starting in year one with 130,000, and increasing caseload by 5,000 in each subsequent year to reach 150,000 in waiver year 5. Estimates of eligible recipients by service for each proposed year of the Waiver were based on the ratio of actual recipients of service to the total reported in the 2014-15 CMS 372 report.

ii. **Factor D' Derivation.** The estimates of Factor D' for each waiver year are included in Item J-1. The basis of these estimates is as follows:

Factor D' equals the average per capita annual costs for all other Medicaid services (ancillary) to HCBS DD Waiver recipients (excluding HCBS DD Waiver costs). These estimates are based on an average of actual costs from the CMS 372 reports for waiver years 2011-12 (annualized), 2012-13, 2013-14 and 2014-15.

The following are assumptions used in deriving the Factor D►►:
►► The cost of all State Plan services furnished in addition to HCBS DD Waiver services while the participant was on the HCBS DD Waiver, including, but not limited to:
o State Plan home health services;
o State Plan personal care services authorized through the county►►s In Home Supportive Services program;
o Early and Periodic Screening, Diagnosis and Treatment (EPSDT) supplemental services;
o Community Based Adult Services;
o Short-term institutionalization (hospitalization or Nursing Facility) which began after the participants first day of waiver services and ended before the end of the waiver year, if the person returned to the waiver.
o Medical equipment and supplies covered under the State Plan;
o Non-emergency transportation services covered under the State Plan; and
o Outpatient clinic and physician services covered under the State Plan.

►► Factor D' does not include the following:
o The costs of institutional care, if the person did NOT return to the HCBS DD Waiver following institutionalization;
o Institutional costs incurred BEFORE the person is first served under the HCBS DD Waiver in the specified waiver year;
o Costs for institutional respite care provided as a service under the HCBS DD Waiver. Such costs are included in the calculation of costs under Factor D; or
o Medicare Part D drug costs are not included in the Factor D►► estimates.

iii. **Factor G Derivation.** The estimates of Factor G for each waiver year are included in Item J-1. The basis of these estimates is as follows:

Factor G equals the estimated annual average per capita Medicaid cost for hospital, NF, or ICF/MR care that would be incurred for individuals served in the Waiver, were the Waiver not granted. The factor G estimates for inpatient intermediate care facility subacute, and hospital LOC are based on an average of actual costs reported in the CMS 372 reports for waiver years 2011-12 (annualized), 2012-13, 2013-14 and 2014-15 plus a 3% compound annual increase.

iv. **Factor G' Derivation.** The estimates of Factor G' for each waiver year are included in Item J-1. The basis of these estimates is as follows:

The Factor G′ estimates for State Plan services utilization for inpatient intermediate care facility, subacute and hospital level of care based on an average of actual costs reported in the CMS 372 reports for waiver years 2011-12 (annualized), 2012-13, 2013-14 and 2014-15.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (4 of 9)

Component management for waiver services. If the service(s) below includes two or more discrete services that are reimbursed separately, or is a bundled service, each component of the service must be listed. Select "*manage components*" to add these components.

Waiver Services	
Behavioral Intervention Services	
Community Living Arrangement Services	
Day Service	
Homemaker	
Prevocational Services	
Respite Care	
Supported Employment Individual	
Dental Services	
Home Health Aide	
Occupational Therapy	
Optometric/Optician Services	
Physical Therapy	
Prescription Lenses and Frames	
Psychology Services	
Speech, Hearing and Language Services	
Financial Management Service	
Chore Services	
Communication Aides	
Community-Based Training Service	
Environmental Accessibility Adaptations	
Family Support Services	
Family/ Consumer Training	
Housing Access Services	
Non-Medical Transportation	
Nutritional Consultation	
Personal Emergency Response Systems (PERS)	
Skilled Nursing	
Specialized Medical Equipment and Supplies	
Transition/Set Up Expenses	
Vehicle Modifications and Adaptations	

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (5 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 1

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Behavioral Intervention Services Total:						**229128293.95**
Behavior Intervention Services	Hour	31698	127.81	53.88	**218285195.95**	
Crisis Support	Daily	105	119.80	862.00	**10843098.00**	
Community Living Arrangement Services Total:						**1645086199.79**
Supported Living Services	Hour	10152	1803.06	25.96	**475189106.52**	
Licensed/Certified Residential Services	Month	29845	11.00	3549.31	**1165220726.45**	
In-Home Day Program	Daily	301	216.32	71.82	**4676366.82**	
Day Service Total:						**999406589.12**
Community-based Day Services	Daily	57081	206.45	64.05	**754789055.42**	
Community-based Day Services	Hour	24431	500.04	19.85	**242497073.21**	
Therapeutic/Activity-Based Day Services	Month	130	11.00	50.00	**71500.00**	
Therapeutic/Activity-Based Day Services	Hour	503	80.08	43.88	**1767496.93**	
Mobility-Related Day Services	Hour	110	68.27	37.48	**281463.56**	
Homemaker Total:						**13896579.58**
Homemaker	Hour	2309	360.17	16.71	**13896579.58**	
Prevocational Services Total:						**80932311.44**
Prevocational Services	Daily	9655	226.92	36.94	**80932311.44**	
Respite Care Total:						**222275270.95**
In-Home Respite Care	Hour	50593	207.40	20.21	**212063291.52**	
Out-of-Home Respite Care	Daily	3232	37.89	83.39	**10211979.43**	
Supported Employment Individual Total:						**5665924.44**
Incentive Payments - 30 days	One-time	63	1.00	1000.00	**63000.00**	
Incentive Payments - 6 months	One-time	0	1.00	1250.00	**0.00**	
					0.00	

GRAND TOTAL:	**3504246310.47**
Total Estimated Unduplicated Participants:	**130000**
Factor D (Divide total by number of participants):	**26955.74**
Average Length of Stay on the Waiver:	340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Incentive Payments - 12 months	One-time	0	1.00	1500.00		
Supported Employment Individual	Hour	1195	128.21	36.57	5602924.44	
Dental Services Total:						4223328.00
Dental Services	Visit	9102	1.45	320.00	4223328.00	
Home Health Aide Total:						36895155.61
Home Health Aide	Hour	2409	648.14	23.63	36895155.61	
Occupational Therapy Total:						124200.00
Occupational Therapy	Hour	414	5.00	60.00	124200.00	
Optometric/Optician Services Total:						12898.48
Optometric/Optician Services	Visit	160	2.17	37.15	12898.48	
Physical Therapy Total:						124320.00
Physical Therapy	Hour	518	4.00	60.00	124320.00	
Prescription Lenses and Frames Total:						34776.33
Prescription Lenses and Frames	Piece	359	1.00	96.87	34776.33	
Psychology Services Total:						656867.34
Psychology Services	Hour	841	18.69	41.79	656867.34	
Speech, Hearing and Language Services Total:						125544.05
Speech, Hearing and Language Services	Hour	868	2.55	56.72	125544.05	
Financial Management Service Total:						5924412.45
Financial Management Service	Month	9183	11.00	58.65	5924412.45	
Chore Services Total:						3620.00
Chore Services	Hour	4	36.20	25.00	3620.00	
Communication Aides Total:						2213084.31
Communication Aides	Hour	2662	23.19	35.85	2213084.31	
Community-Based Training Service Total:						9993.53

GRAND TOTAL:	3504246310.47
Total Estimated Unduplicated Participants:	130000
Factor D (Divide total by number of participants):	26955.74
Average Length of Stay on the Waiver:	340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Community-Based Training Service	Hour	4	166.67	14.99	9993.53	
Environmental Accessibility Adaptations Total:						1080137.50
Environmental Accessibility Adaptations	Adaptation	221	1.15	4250.00	1080137.50	
Family Support Services Total:						20050111.32
Family Support Services	Hour	3208	583.57	10.71	20050111.32	
Family/ Consumer Training Total:						143536.32
Family/ Consumer Training	Month	666	4.00	53.88	143536.32	
Housing Access Services Total:						48750.00
Housing Access Services	Hour	75	10.00	65.00	48750.00	
Non-Medical Transportation Total:						221089963.76
Transportation Companies	Daily	57649	156.27	22.51	202788295.77	
Individual Transportation Providers	Miles	4307	2989.12	0.60	7724483.90	
Public Transit/Rental/Taxi	Month	12361	11.00	77.79	10577184.09	
Nutritional Consultation Total:						58679.32
Nutritional Consultation	Hour	529	2.61	42.50	58679.32	
Personal Emergency Response Systems (PERS) Total:						1024247.18
Personal Emergency Response Systems (PERS)	Month	2918	11.00	31.91	1024247.18	
Skilled Nursing Total:						8551288.68
Registered Nurse (RN)	Hour	2606	10.52	50.72	1390494.89	
Licensed Vocational Nurse (LVN)	Hour	553	424.14	30.53	7160793.79	
Specialized Medical Equipment and Supplies Total:						2960352.00
Specialized Medical Equipment and Supplies	Piece	1623	1.52	1200.00	2960352.00	
Transition/Set Up Expenses Total:						3875.00
Transition/Set Up Expenses					3875.00	
				GRAND TOTAL:		3504246310.47
				Total Estimated Unduplicated Participants:		130000
				Factor D (Divide total by number of participants):		26955.74
				Average Length of Stay on the Waiver:		340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	Transition	1	1.00	3875.00		
Vehicle Modifications and Adaptations Total:						**2496000.00**
Vehicle Modifications and Adaptations	Modification	240	2.08	5000.00	**2496000.00**	
				GRAND TOTAL:		**3504246310.47**
				Total Estimated Unduplicated Participants:		**130000**
				Factor D (Divide total by number of participants):		**26955.74**
				Average Length of Stay on the Waiver:		340

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (6 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 2

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Behavioral Intervention Services Total:						**237935889.37**
Behavior Intervention Services	Hour	32917	127.81	53.88	**226679720.97**	
Crisis Support	Daily	109	119.80	862.00	**11256168.40**	
Community Living Arrangement Services Total:						**1708348220.36**
Supported Living Services	Hour	10542	1803.06	25.96	**493444007.18**	
Licensed/Certified Residential Services	Month	30993	11.00	3549.31	**1210041413.13**	
In-Home Day Program	Daily	313	216.32	71.82	**4862800.05**	
Day Service Total:						**1037857120.59**
Community-based Day Services	Daily	59277	206.45	64.05	**783827032.43**	
Community-based Day Services	Hour	25371	500.04	19.85	**251827319.57**	
Therapeutic/Activity-Based Day Services	Month	135	11.00	50.00	**74250.00**	
Therapeutic/Activity-Based Day Services					**1834261.23**	
				GRAND TOTAL:		**3648812993.37**
				Total Estimated Unduplicated Participants:		**135000**
				Factor D (Divide total by number of participants):		**27028.24**
				Average Length of Stay on the Waiver:		340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	Hour	522	80.08	43.88		
Mobility-Related Day Services	Hour	115	68.27	37.48	294257.35	
Homemaker Total:						14432220.80
Homemaker	Hour	2398	360.17	16.71	14432220.80	
Prevocational Services Total:						84042191.04
Prevocational Services	Daily	10026	226.92	36.94	84042191.04	
Respite Care Total:						230819639.72
In-Home Respite Care	Hour	52538	207.40	20.21	220215864.05	
Out-of-Home Respite Care	Daily	3356	37.89	83.39	10603775.67	
Supported Employment Individual Total:						6225851.87
Incentive Payments - 30 days	One-time	125	1.00	1000.00	125000.00	
Incentive Payments - 6 months	One-time	113	1.00	1250.00	141250.00	
Incentive Payments - 12 months	One-time	94	1.00	1500.00	141000.00	
Supported Employment Individual	Hour	1241	128.21	36.57	5818601.87	
Dental Services Total:						4386192.00
Dental Services	visit	9453	1.45	320.00	4386192.00	
Home Health Aide Total:						45973672.04
Home Health Aide	Hour	2502	648.14	28.35	45973672.04	
Occupational Therapy Total:						129000.00
Occupational Therapy	Hour	430	5.00	60.00	129000.00	
Optometric/Optician Services Total:						13382.17
Optometric/Optician Services	Visit	166	2.17	37.15	13382.17	
Physical Therapy Total:						129120.00
Physical Therapy	Hour	538	4.00	60.00	129120.00	
						36132.51

GRAND TOTAL:	3648812993.37
Total Estimated Unduplicated Participants:	135000
Factor D (Divide total by number of participants):	27028.24
Average Length of Stay on the Waiver:	340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Prescription Lenses and Frames Total:						
Prescription Lenses and Frames	Piece	373	1.00	96.87	**36132.51**	
Psychology Services Total:						**681861.10**
Psychology Services	Hour	873	18.69	41.79	**681861.10**	
Speech, Hearing and Language Services Total:						**130317.04**
Speech, Hearing and Language Services	Hour	901	2.55	56.72	**130317.04**	
Financial Management Service Total:						**6152150.40**
Financial Management Service	Month	9536	11.00	58.65	**6152150.40**	
Chore Services Total:						**3620.00**
Chore Services	Hour	4	36.20	25.00	**3620.00**	
Communication Aides Total:						**2297883.19**
Communication Aides	Hour	2764	23.19	35.85	**2297883.19**	
Community-Based Training Service Total:						**9993.53**
Community-Based Training Service	Hour	4	166.67	14.99	**9993.53**	
Environmental Accessibility Adaptations Total:						**1124125.00**
Environmental Accessibility Adaptations	Adaptation	230	1.15	4250.00	**1124125.00**	
Family Support Services Total:						**20825115.62**
Family Support Services	Hour	3332	583.57	10.71	**20825115.62**	
Family/ Consumer Training Total:						**149139.84**
Family/ Consumer Training	Hour	692	4.00	53.88	**149139.84**	
Housing Access Services Total:						**50700.00**
Housing Access Services	Hour	78	10.00	65.00	**50700.00**	
Non-Medical Transportation Total:						**229592735.64**
Transportation Companies	Daily	59866	156.27	22.51	**210586898.55**	
					8022200.26	

GRAND TOTAL:	**3648812993.37**
Total Estimated Unduplicated Participants:	**135000**
Factor D (Divide total by number of participants):	**27028.24**
Average Length of Stay on the Waiver:	340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Individual Transportation Providers	Miles	4473	2989.12	0.60		
Public Transit/Rental/Taxi	Month	12836	11.00	77.79	10983636.84	
Nutritional Consultation Total:						60897.82
Nutritional Consultation	Hour	549	2.61	42.50	60897.82	
Personal Emergency Response Systems (PERS) Total:						1063560.30
Personal Emergency Response Systems (PERS)	Month	3030	11.00	31.91	1063560.30	
Skilled Nursing Total:						10675346.41
Registered Nurse (RN)	Hour	2708	10.52	60.86	1733789.42	
Licensed Vocational Nurse (LVN)	Hour	575	424.53	36.63	8941556.99	
Specialized Medical Equipment and Supplies Total:						3073440.00
Specialized Medical Equipment and Supplies	Piece	1685	1.52	1200.00	3073440.00	
Transition/Set Up Expenses Total:						3875.00
Transition/Set Up Expenses	Transition	1	1.00	3875.00	3875.00	
Vehicle Modifications and Adaptations Total:						2589600.00
Vehicle Modifications and Adaptations	Modification	249	2.08	5000.00	2589600.00	
				GRAND TOTAL:		3648812993.37
				Total Estimated Unduplicated Participants:		135000
				Factor D (Divide total by number of participants):		27028.24
				Average Length of Stay on the Waiver:		340

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (7 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 3

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Behavioral Intervention Services Total:						**246743484.78**
Behavior Intervention Services	Hour	34136	127.81	53.88	**235074245.98**	
Crisis Support	Daily	113	119.80	862.00	**11669238.80**	
Community Living Arrangement Services Total:						**1771610240.93**
Supported Living Services	Hour	10932	1803.06	25.96	**511698907.84**	
Licensed/Certified Residential Services	Month	32141	11.00	3549.31	**1254862099.81**	
In-Home Day Program	Daily	325	216.32	71.82	**5049233.28**	
Day Service Total:						**1076307652.05**
Community-based Day Services	Hour	61473	206.45	64.05	**812865009.44**	
Community-based Day Services	Daily	26311	500.04	19.85	**261157565.93**	
Therapeutic/Activity-Based Day Services	Month	140	11.00	50.00	**77000.00**	
Therapeutic/Activity-Based Day Services	Hour	541	80.08	43.88	**1901025.53**	
Mobility-Related Day Services	Hour	120	68.27	37.48	**307051.15**	
Homemaker Total:						**14967862.02**
Homemaker	Hour	2487	360.17	16.71	**14967862.02**	
Prevocational Services Total:						**87152070.65**
Prevocational Services	Daily	10397	226.92	36.94	**87152070.65**	
Respite Care Total:						**239364008.49**
In-Home Respite Care	Hour	54483	207.40	20.21	**228368436.58**	
Out-of-Home Respite Care	Daily	3480	37.89	83.39	**10995571.91**	
Supported Employment Individual Total:						**6441529.29**
Incentive Payments - 30 days	One-time	125	1.00	1000.00	**125000.00**	
Incentive Payments - 6 months	One-time	113	1.00	1250.00	**141250.00**	
					141000.00	

GRAND TOTAL:	**3783952840.17**
Total Estimated Unduplicated Participants:	**140000**
Factor D (Divide total by number of participants):	**27028.23**
Average Length of Stay on the Waiver:	340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Incentive Payments - 12 months	One-time	94	1.00	1500.00		
Supported Employment Individual	Hour	1287	128.21	36.57	6034279.29	
Dental Services Total:						4549056.00
Dental Services	Visit	9804	1.45	320.00	4549056.00	
Home Health Aide Total:						47682525.55
Home Health Aide	Hour	2595	648.14	28.35	47682525.56	
Occupational Therapy Total:						133800.00
Occupational Therapy	Hour	446	5.00	60.00	133800.00	
Optometric/Optician Services Total:						13865.87
Optometric/Optician Services	Visit	172	2.17	37.15	13865.87	
Physical Therapy Total:						133920.00
Physical Therapy	Hour	558	4.00	60.00	133920.00	
Prescription Lenses and Frames Total:						37488.69
Prescription Lenses and Frames	Piece	387	1.00	96.87	37488.69	
Psychology Services Total:						706854.87
Psychology Services	Hour	905	18.69	41.79	706854.87	
Speech, Hearing and Language Services Total:						135090.02
Speech, Hearing and Language Services	Hour	934	2.55	56.72	135090.02	
Financial Management Service Total:						6379888.35
Financial Management Service	Month	9889	11.00	58.65	6379888.35	
Chore Services Total:						3620.00
Chore Services	Hour	4	36.20	25.00	3620.00	
Communication Aides Total:						2382682.06
Communication Aides	Hour	2866	23.19	35.85	2382682.06	
Community-Based Training Service Total:						9993.53

GRAND TOTAL:	3783952840.17
Total Estimated Unduplicated Participants:	140000
Factor D (Divide total by number of participants):	27028.23
Average Length of Stay on the Waiver:	340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Community-Based Training Service	Hour	4	166.67	14.99	9993.53	
Environmental Accessibility Adaptations Total:						1168112.50
Environmental Accessibility Adaptations	Adaptation	239	1.15	4250.00	1168112.50	
Family Support Services Total:						21600119.92
Family Support Services	Hour	3456	583.57	10.71	21600119.92	
Family/ Consumer Training Total:						154743.36
Family/ Consumer Training	Hour	718	4.00	53.88	154743.36	
Housing Access Services Total:						52650.00
Housing Access Services	Hour	81	10.00	65.00	52650.00	
Non-Medical Transportation Total:						238095507.53
Transportation Companies	Daily	62083	156.27	22.51	218385501.33	
Individual Transportation Providers	Miles	4639	2989.12	0.60	8319916.61	
Public Transit/Rental/Taxi	Month	13311	11.00	77.79	11390089.59	
Nutritional Consultation Total:						63116.32
Nutritional Consultation	Hour	569	2.61	42.50	63116.32	
Personal Emergency Response Systems (PERS) Total:						1102873.42
Personal Emergency Response Systems (PERS)	Month	3142	11.00	31.91	1102873.42	
Skilled Nursing Total:						11086480.95
Registered Nurse (RN)	Hour	2810	10.52	60.86	1799094.63	
Licensed Vocational Nurse (LVN)	Hour	597	424.70	36.63	9287386.32	
Specialized Medical Equipment and Supplies Total:						3186528.00
Specialized Medical Equipment and Supplies	Piece	1747	1.52	1200.00	3186528.00	
Transition/Set Up Expenses Total:						3875.00
Transition/Set Up Expenses					3875.00	

GRAND TOTAL:	3783952840.17
Total Estimated Unduplicated Participants:	140000
Factor D (Divide total by number of participants):	27028.23
Average Length of Stay on the Waiver:	340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	Transition	1	1.00	3875.00		
Vehicle Modifications and Adaptations Total:						**2683200.00**
Vehicle Modifications and Adaptations	Modification	258	2.08	5000.00	**2683200.00**	
				GRAND TOTAL:		**3783952840.17**
				Total Estimated Unduplicated Participants:		**140000**
				Factor D (Divide total by number of participants):		**27028.23**
				Average Length of Stay on the Waiver:		340

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (8 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 4

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Behavioral Intervention Services Total:						**255551080.19**
Behavior Intervention Services	Hour	35355	127.81	53.88	**243468770.99**	
Crisis Support	Daily	117	119.80	862.00	**12082309.20**	
Community Living Arrangement Services Total:						**1834872261.51**
Supported Living Services	Hour	11322	1803.06	25.96	**529953808.51**	
Licensed/Certified Residential Services	Month	33289	11.00	3549.31	**1299682786.49**	
In-Home Day Program	Daily	337	216.32	71.82	**5235666.51**	
Day Service Total:						**1114758183.52**
Community-based Day Services	Daily	63669	206.45	64.05	**841902986.45**	
Community-based Day Services	Hour	27251	500.04	19.85	**270487812.29**	
Therapeutic/Activity-Based Day Services	Month	145	11.00	50.00	**79750.00**	
Therapeutic/Activity-Based Day Services					**1967789.82**	
				GRAND TOTAL:		**3919094774.88**
				Total Estimated Unduplicated Participants:		**145000**
				Factor D (Divide total by number of participants):		**27028.24**
				Average Length of Stay on the Waiver:		340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	Hour	560	80.08	43.88		
Mobility-Related Day Services	Hour	125	68.27	37.48	319844.95	
Homemaker Total:						15503503.24
Homemaker	Hour	2576	360.17	16.71	15503503.24	
Prevocational Services Total:						90261950.25
Prevocational Services	Daily	10768	226.92	36.94	90261950.25	
Respite Care Total:						247908377.26
In-Home Respite Care	Hour	56428	207.40	20.21	236521009.11	
Out-of-Home Respite Care	Daily	3604	37.89	83.39	11387368.15	
Supported Employment Individual Total:						6657206.72
Incentive Payments - 30 days	One-time	125	1.00	1000.00	125000.00	
Incentive Payments - 6 months	One-time	113	1.00	1250.00	141250.00	
Incentive Payments - 12 months	One-time	94	1.00	1500.00	141000.00	
Supported Employment Individual	Hour	1333	128.21	36.57	6249956.72	
Dental Services Total:						4711920.00
Dental Services	Visit	10155	1.45	320.00	4711920.00	
Home Health Aide Total:						49391379.07
Home Health Aide	Hour	2688	648.14	28.35	49391379.07	
Occupational Therapy Total:						138600.00
Occupational Therapy	Hour	462	5.00	60.00	138600.00	
Optometric/Optician Services Total:						14349.56
Optometric/Optician Services	Visit	178	2.17	37.15	14349.56	
Physical Therapy Total:						138720.00
Physical Therapy	Hour	578	4.00	60.00	138720.00	
						38844.87

GRAND TOTAL:	3919094774.88
Total Estimated Unduplicated Participants:	145000
Factor D (Divide total by number of participants):	27028.24
Average Length of Stay on the Waiver:	340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Prescription Lenses and Frames Total:						
Prescription Lenses and Frames	Piece	401	1.00	96.87	**38844.87**	
Psychology Services Total:						**731848.63**
Psychology Services	Hour	937	18.69	41.79	**731848.63**	
Speech, Hearing and Language Services Total:						**139863.01**
Speech, Hearing and Language Services	Hour	967	2.55	56.72	**139863.01**	
Financial Management Service Total:						**6607626.30**
Financial Management Service	Month	10242	11.00	58.65	**6607626.30**	
Chore Services Total:						**3620.00**
Chore Services	Hour	4	36.20	25.00	**3620.00**	
Communication Aides Total:						**2467480.93**
Communication Aides	Hour	2968	23.19	35.85	**2467480.93**	
Community-Based Training Service Total:						**9993.53**
Community-Based Training Service	Hour	4	166.67	14.99	**9993.53**	
Environmental Accessibility Adaptations Total:						**1212100.00**
Environmental Accessibility Adaptations	Adaptation	248	1.15	4250.00	**1212100.00**	
Family Support Services Total:						**22375124.23**
Family Support Services	Hour	3580	583.57	10.71	**22375124.23**	
Family/ Consumer Training Total:						**160346.88**
Family/ Consumer Training	Hour	744	4.00	53.88	**160346.88**	
Housing Access Services Total:						**54600.00**
Housing Access Services	Hour	84	10.00	65.00	**54600.00**	
Non-Medical Transportation Total:						**246598279.41**
Transportation Companies	Daily	64300	156.27	22.51	**226184104.11**	
					8617632.96	

GRAND TOTAL:	**3919094774.88**
Total Estimated Unduplicated Participants:	**145000**
Factor D (Divide total by number of participants):	**27028.24**
Average Length of Stay on the Waiver:	340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Individual Transportation Providers	Miles	4805	2989.12	0.60		
Public Transit/Rental/Taxi	Month	13786	11.00	77.79	11796542.34	
Nutritional Consultation Total:						65334.82
Nutritional Consultation	Hour	589	2.61	42.50	65334.82	
Personal Emergency Response Systems (PERS) Total:						1142186.54
Personal Emergency Response Systems (PERS)	Month	3254	11.00	31.91	1142186.54	
Skilled Nursing Total:						11499703.40
Registered Nurse (RN)	Hour	2912	10.52	60.86	1864399.85	
Licensed Vocational Nurse (LVN)	Hour	619	424.95	36.63	9635303.55	
Specialized Medical Equipment and Supplies Total:						3299616.00
Specialized Medical Equipment and Supplies	Piece	1809	1.52	1200.00	3299616.00	
Transition/Set Up Expenses Total:						3875.00
Transition/Set Up Expenses	Transition	1	1.00	3875.00	3875.00	
Vehicle Modifications and Adaptations Total:						2776800.00
Vehicle Modifications and Adaptations	Modification	267	2.08	5000.00	2776800.00	
				GRAND TOTAL:		3919094774.88
				Total Estimated Unduplicated Participants:		145000
				Factor D (Divide total by number of participants):		27028.24
				Average Length of Stay on the Waiver:		340

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (9 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 5

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Behavioral Intervention Services Total:						**264358675.61**
Behavior Intervention Services	Hour	36574	127.81	53.88	**251863296.01**	
Crisis Support	Daily	121	119.80	862.00	**12495379.60**	
Community Living Arrangement Services Total:						**1898134282.08**
Supported Living Services	Hour	11712	1803.06	25.96	**548208709.17**	
Licensed/Certified Residential Services	Month	34437	11.00	3549.31	**1344503473.17**	
In-Home Day Program	Daily	349	216.32	71.82	**5422099.74**	
Day Service Total:						**1153208714.99**
Community-based Day Services	Daily	65865	206.45	64.05	**870940963.46**	
Community-based Day Services	Hour	28191	500.04	19.85	**279818058.65**	
Therapeutic/Activity-Based Day Services	Month	150	11.00	50.00	**82500.00**	
Therapeutic/Activity-Based Day Services	Hour	579	80.08	43.88	**2034554.12**	
Mobility-Related Day Services	Hour	130	68.27	37.48	**332638.75**	
Homemaker Total:						**16039144.47**
Homemaker	Hour	2665	360.17	16.71	**16039144.47**	
Prevocational Services Total:						**93371829.85**
Prevocational Services	Daily	11139	226.92	36.94	**93371829.85**	
Respite Care Total:						**256452746.03**
In-Home Respite Care	Hour	58373	207.40	20.21	**244673581.64**	
Out-of-Home Respite Care	Daily	3728	37.89	83.39	**11779164.39**	
Supported Employment Individual Total:						**6872884.15**
Incentive Payments - 30 days	One-time	125	1.00	1000.00	**125000.00**	
Incentive Payments - 6 months	One-time	113	1.00	1250.00	**141250.00**	
					141000.00	

GRAND TOTAL:	**4054236642.92**
Total Estimated Unduplicated Participants:	**150000**
Factor D (Divide total by number of participants):	**27028.24**
Average Length of Stay on the Waiver:	340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Incentive Payments - 12 months	One-time	94	1.00	1500.00		
Supported Employment Individual	Hour	1379	128.21	36.57	6465634.15	
Dental Services Total:						4874784.00
Dental Services	Visit	10506	1.45	320.00	4874784.00	
Home Health Aide Total:						51100232.59
Home Health Aide	Hour	2781	648.14	28.35	51100232.59	
Occupational Therapy Total:						143400.00
Occupational Therapy	Hour	478	5.00	60.00	143400.00	
Optometric/Optician Services Total:						14833.25
Optometric/Optician Services	Visit	184	2.17	37.15	14833.25	
Physical Therapy Total:						143520.00
Physical Therapy	Hour	598	4.00	60.00	143520.00	
Prescription Lenses and Frames Total:						40201.05
Prescription Lenses and Frames	Piece	415	1.00	96.87	40201.05	
Psychology Services Total:						756842.39
Psychology Services	Hour	969	18.69	41.79	756842.39	
Speech, Hearing and Language Services Total:						144636.00
Speech, Hearing and Language Services	Hour	1000	2.55	56.72	144636.00	
Financial Management Service Total:						6835364.25
Financial Management Service	Month	10595	11.00	58.65	6835364.25	
Chore Services Total:						3620.00
Chore Services	Hour	4	36.20	25.00	3620.00	
Communication Aides Total:						2552279.81
Communication Aides	Hour	3070	23.19	35.85	2552279.80	
Community-Based Training Service Total:						9993.53

GRAND TOTAL:	4054236642.92
Total Estimated Unduplicated Participants:	150000
Factor D (Divide total by number of participants):	27028.24
Average Length of Stay on the Waiver:	340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Community-Based Training Service	Hour	4	166.67	14.99	9993.53	
Environmental Accessibility Adaptations Total:						1256087.50
Environmental Accessibility Adaptations	Adaptation	257	1.15	4250.00	1256087.50	
Family Support Services Total:						23150128.53
Family Support Services	Hour	3704	583.57	10.71	23150128.53	
Family/ Consumer Training Total:						165950.40
Family/ Consumer Training	Hour	770	4.00	53.88	165950.40	
Housing Access Services Total:						56550.00
Housing Access Services	Hour	87	10.00	65.00	56550.00	
Non-Medical Transportation Total:						255101051.29
Transportation Companies	Daily	66517	156.27	22.51	233982706.89	
Individual Transportation Providers	Miles	4971	2989.12	0.60	8915349.31	
Public Transit/Rental/Taxi	Month	14261	11.00	77.79	12202995.09	
Nutritional Consultation Total:						67553.32
Nutritional Consultation	Hour	609	2.61	42.50	67553.32	
Personal Emergency Response Systems (PERS) Total:						1181499.66
Personal Emergency Response Systems (PERS)	Month	3366	11.00	31.91	1181499.66	
Skilled Nursing Total:						11912859.18
Registered Nurse (RN)	Hour	3014	10.52	60.86	1929705.06	
Licensed Vocational Nurse (LVN)	Hour	641	425.18	36.63	9983154.12	
Specialized Medical Equipment and Supplies Total:						3412704.00
Specialized Medical Equipment and Supplies	Piece	1871	1.52	1200.00	3412704.00	
Transition/Set Up Expenses Total:						3875.00
Transition/Set Up Expenses					3875.00	
				GRAND TOTAL:		4054236642.92
				Total Estimated Unduplicated Participants:		150000
				Factor D (Divide total by number of participants):		27028.24
				Average Length of Stay on the Waiver:		340

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	Transition	1	1.00	3875.00		
Vehicle Modifications and Adaptations Total:						**2870400.00**
Vehicle Modifications and Adaptations	Modification	276	2.08	5000.00	**2870400.00**	
				GRAND TOTAL:		**4054236642.92**
				Total Estimated Unduplicated Participants:		**150000**
				Factor D (Divide total by number of participants):		**27028.24**
				Average Length of Stay on the Waiver:		340