

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.

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):*

California Self-Determination Program Waiver for Individuals with Developmental Disabilities

C. Type of Request: new

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

New to replace waiver

Replacing Waiver Number:

Migration Waiver - this is an existing approved waiver

Provide the information about the original waiver being migrated

Base Waiver Number:

Amendment Number

(if applicable):

Effective Date: *(mm/dd/yy)*

Waiver Number: CA.1166.R00.00

Draft ID: CA.001.00.00

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

Regular Waiver

E. Proposed Effective Date: *(mm/dd/yy)*

01/01/16

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 in 42 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 Eligibility 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 Self Determination Program (SDP) Waiver for individuals with developmental disabilities offers home and community-based services not otherwise available through a participant's Medicaid program. The purpose of the SDP Waiver is to serve participants in their own homes and communities as an alternative to receiving services in an intermediate care facility for persons with developmental disabilities. The SDP Waiver allows participants the opportunity to accept greater control and responsibility regarding the delivery of needed services. With the receipt of appropriate supports and information, participants will be able to manage their service mix within an individual budget amount to achieve the goals and objectives of their individual program plans.

In California, 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 Service 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 State 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.

DDS ensures, under the oversight of the Department of Health Care Services (DHCS), the State Medicaid Agency, that the SDP Waiver is implemented by regional centers in accordance with Medicaid law and the State's approved Waiver application.

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

- No**
 Yes

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

- Geographic Limitation.** A waiver of statewidness 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 statewidness 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:

The State formed an advisory group consisting of service recipients, family members, service providers, regional center representatives and other community advocates to assist in the development of this waiver application. This advisory group and various subgroups met regularly over the course of the year prior to submitting the application to define the scope of the program, including the nature of the services included in this request. Additionally, information on the development and implementation of the Self-Determination Program was regularly posted to the DDS website.

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:**

Schupp

First Name:

Rebecca

Title:

Chief, Office of Long-Term Care

Agency:

Department of Health Care Services

Address:

1501 Capitol Avenue, MS 4503

Address 2:**City:**

Sacramento

State:

California

Zip:

95814

Phone:(916) 322-5807 Ext: TTY**Fax:**

(916) 552-9151

E-mail:

Rebecca.Schupp@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 3-9

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 Appendices A through J, constitutes the State's request for a waiver under §1915(c) of the Social Security Act. The State assures that all materials referenced in this waiver application (including standards, licensure and certification requirements) are *readily* available in print or electronic form upon request to CMS through the Medicaid agency or, if applicable, from the operating agency specified in Appendix A. Any proposed changes to the waiver will be submitted by the Medicaid agency to CMS in the form of waiver amendments.

Upon approval by CMS, the waiver application serves as the State's authority to provide home and community-based waiver services to the specified target groups. The State attests that it will abide by all provisions of the approved waiver and will continuously operate the waiver in accordance with the assurances specified in Section 5 and the additional requirements specified in Section 6 of the request.

Signature:

State Medicaid Director or Designee

Submission Date:

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

Last Name:	<input type="text" value="Director"/>	
First Name:	<input type="text" value="DHCS"/>	
Title:	<input type="text" value="Director"/>	
Agency:	<input type="text" value="Department of Health Care Services"/>	
Address:	<input type="text" value="1501 Capitol Avenue"/>	
Address 2:	<input type="text"/>	
City:	<input type="text" value="Sacramento"/>	
State:	California	
Zip:	<input type="text" value="95814"/>	
Phone:	<input type="text" value="(916) 440-7400"/>	Ext: <input type="text"/> <input type="checkbox"/> TTY
Fax:	<input type="text" value="(916) 440-7404"/>	
E-mail:	<input type="text" value="director@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 HCBS 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.

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

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:

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 SDP Waiver for persons with developmental disabilities.

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 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 contracts.
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 Monitoring Protocol. The Protocol specifies the performance monitoring, analysis and evaluation of the regional centers. The on-site monitoring reviews are conducted jointly by DHCS and DDS.
7. Monitors DDS follow-up to ensure that areas of non-compliance discovered during monitoring reviews of the regional centers are remediated.
8. Ensures follow-up reviews are conducted 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 non-compliance.
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 reviewing the performance data compiled through the Waiver Quality Management Systems (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. Review DDS regional center audit working papers on a sample basis and attends entrance and exit conference of selected regional center audits.
- d. DHCS reviews DDS audits of regional centers. These audits are designed to “wrap around” the independent Certified Public Accountant (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 by DHCS, DDS or other entities.
- 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 venter community, and other defined community representatives.

Regional centers are funded through contracts with 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 IPP for consumers. The IPPs are developed using a person-centered planning approach.

Regional centers are responsible for ensuring that eligible consumers who want to participate on the Waiver are enrolled, financial management 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.

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 Waiver operational performance through fiscal audits and program policy compliance. When taken together, the oversight and monitoring methods test all six assurances.

Audits and Financial Accountability:

- DDS performs fiscal 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 Waiver Monitoring reviews
 - o The review cycle is conducted every two years.
 - o The two-year review cycle consists of a statistically valid, statewide sample of Waiver participants selected at random. The size of the sample for each regional center varies depending on each regional center's percentage of the statewide total of Waiver participants.
 - o 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 or DHCS 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, follow-up monitoring and compliance reviews are conducted. 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. On-going training and technical assistance is provided 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 region 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:
 - o 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.
 - o Quarterly monitoring visits by the regional centers for people living in licensed community care facilities or community out of home settings.
 - o 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.
 - o Daily, DDS and regional center review and follow-up on special incidents.
 - o 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.
 - o Contracts with Disability Rights California to provide ongoing clients' rights advocacy services to individuals with developmental disabilities residing in the community.
 - o 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.
 - o 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.

Appendix A: Waiver Administration and Operation

- 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
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Participant waiver enrollment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Waiver enrollment managed against approved limits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Waiver expenditures managed against approved levels	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Level of care evaluation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Review of Participant service plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Prior authorization of waiver services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Utilization management	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Qualified provider enrollment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Execution of Medicaid provider agreements			

Function	Medicaid Agency	Other State Operating Agency	Local Non-State Entity
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Establishment of a statewide rate methodology	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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 SDP Waiver policies and procedures reviewed by the Medicaid Agency found to be compliant. Numerator=number of SDP Waiver Monitoring Protocols, policies and procedures reviewed by the Medicaid Agency that are found to be compliant. Denominator=total number of SDP Waiver Monitoring Protocols, policies and procedures reviewed by the Medicaid Agency.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Periodic policy updates, monthly invoices, 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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review

<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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):

<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> 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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

Performance Measure:

Number and percent of required oversight/monitoring meetings conducted between DDS and the Medicaid Agency. Numerator=number of oversight meetings conducted. Denominator=total number of planned oversight meetings.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Oversight /monitoring meetings conducted between DDS and the Medicaid Agency

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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 <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: At least semi-annually	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

- 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 SDP 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. 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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: Regional Centers	<input checked="" type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

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
<input type="checkbox"/> Aged or Disabled, or Both - General					
	<input type="checkbox"/>	Aged			<input type="checkbox"/>
	<input type="checkbox"/>	Disabled (Physical)			
	<input type="checkbox"/>	Disabled (Other)			
<input type="checkbox"/> Aged or Disabled, or Both - Specific Recognized Subgroups					
	<input type="checkbox"/>	Brain Injury			<input type="checkbox"/>
	<input type="checkbox"/>	HIV/AIDS			<input type="checkbox"/>
	<input type="checkbox"/>	Medically Fragile			<input type="checkbox"/>
	<input type="checkbox"/>	Technology Dependent			<input type="checkbox"/>
<input checked="" type="checkbox"/> Intellectual Disability or Developmental Disability, or Both					
	<input checked="" type="checkbox"/>	Autism	0		<input checked="" type="checkbox"/>
	<input checked="" type="checkbox"/>	Developmental Disability	0		<input checked="" type="checkbox"/>
	<input checked="" type="checkbox"/>	Intellectual Disability	0		<input checked="" type="checkbox"/>
<input type="checkbox"/> Mental Illness					
	<input type="checkbox"/>	Mental Illness			
	<input type="checkbox"/>	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 disabling conditions found to be closely related to mental retardation, cerebral palsy, epilepsy, and autism. This term shall also include disabling conditions found to be closely related to mental retardation or to require treatment similar to that required for individuals with mental retardation 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.

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	1000
Year 2	2500
Year 3	2500

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	

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:

To ensure the program will be available on an equitable basis to participants in all regional center catchment areas, the number of Self-Determination Program participants in each regional center will be based on the relative percentage of total consumers served by the regional centers minus any remaining participants in the self-determination pilot projects previously authorized in 1998. If there is unused capacity in one or more regional center catchment areas, and it is determined there are no eligible participants who wish to enroll, unused capacity may be reallocated to the remaining regional centers based on the relative percentage of total consumers served by each regional center.

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

Entrance to the Waiver is based on a random selection of interested participants in each regional center catchment area who have completed an orientation to the Self-Determination Program. Selection shall consider the disability, ethnic and geographic diversity of the State.

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
 SSI recipients
 Aged, blind or disabled in 209(b) states who are eligible under 42 CFR §435.121
 Optional State supplement recipients
 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:

- 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 (TWWIA Basic Coverage Group as provided in §1902(a)(10)(A)(ii)(XV) of the Act)
- Working individuals with disabilities who buy into Medicaid (TWWIA 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)
- Medically needy in 1634 States and SSI Criteria States (42 CFR §435.320, §435.322 and §435.324)
- 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 groups covered under the plan are included.

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 SDP Waiver 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:

The maximum amount of income to be eligible under the SDP Waiver, including any income disregards or exemptions.

- Other

Specify:

- 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:

- 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 as defined in 42 CFR 483.430(a) Facility staffing.

- 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, Sections 51343, 51343.1, 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 QIDP reviews the CDER data including the diagnostic, special conditions and personal outcomes sections. In addition to the CDER data, the QIDP 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 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 re-evaluation are provided to regional centers one month in advance of the annual re-evaluation 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 determination prior to waiver enrollment. Numerator =number of consumer records reviewed of new enrollees that documented an initial LOC determination prior to waiver enrollment. 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 SDP Waiver Monitoring Reviews.

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample

		Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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 SDP Waiver Monitoring Reviews.

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: <input type="text"/>	

	Reviews are conducted at each regional center (RC) every two years.	
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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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>

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 SDP 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:

	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

- 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.

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 SDP Waiver Monitoring Reviews will be documented in monitoring reports which will be sent to the regional centers with the State’s recommendations for resolution. The regional centers plans for correction submitted in response to the State’s recommendations will be evaluated and approved by DHCS and DDS before the final monitoring report is issued to the regional center.
- ii. **Remediation Data Aggregation**
Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party(<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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 determination 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 waiver and given the choice of waiver or institutional services prior to enrollment.

The regional center case manager ensures that:

1. Individuals, their legal representative, parents, relatives, or involved persons are given the choice of participating in the SDP waiver in lieu of institutional services, if the consumer is determined to be eligible for waiver 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 waiver.
- Reactivation of the waiver eligibility after an individual's termination from participation in the 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 form.

- 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 Medicaid Waiver Consumer Choice of Services/Living Arrangement form, 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):

During the development and/or review of the Individual Program Plan, consumers are informed of services under the SDP Waiver. Every effort is made to communicate in the preferred 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. 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 to 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	Home Health Aide		
Statutory Service	Homemaker		
Statutory Service	Live-In Caregiver		
Statutory Service	Respite Services		
Other Service	Advocacy Services		
Other Service	Communication Support		
Other Service	Community Integration and Employment Supports		
Other Service	Community Living Supports		
Other Service	Crisis Intervention and Support		
Other Service	Dental Services		
Other Service	Environmental Accessibility Adaptations		
Other Service	Family Assistance and Supports		
Other Service	Financial Management Service		
Other Service	Housing Access Supports		
Other Service	Independent Facilitator		
Other Service	Individual Training and Education		
Other Service	Integrative Therapies		
Other Service	Lenses and Frames		
Other Service	Nutritional Consultation		
Other Service	Optometric/Optician Services		
Other Service	Participant-Directed Goods and Services		
Other Service	Personal Emergency Response Systems (PERS)		
Other Service	Psychology Services		
Other Service	Skilled Nursing		

Service Type	Service		
Other Service	Specialized Medical Equipment and Supplies		
Other Service	Specialized Therapeutic Services		
Other Service	Speech, Hearing and Language Services		
Other Service	Technology		
Other Service	Training and Counseling Services for Unpaid Caregivers		
Other Service	Transition/Set Up Expenses: Other Service		
Other Service	Transportation		
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):

Behavior intervention services include the use and development of intensive behavioral intervention programs to improve the participant's development and behavior tracking and analysis. The intervention programs are restricted to generally accepted, evidence-based, positive approaches. Depending on the participant's needs, behavioral intervention services may be provided in multiple settings, including the participant's home, workplace, etc. 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 participant. Services for family members may include training and instruction about treatment regimens, including training on the use of medications, and risk management strategies to enable the family to support the participant.

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.

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**
- 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	Individual
Individual	Family Counselor (MFCC), Clinical Social Worker (CSW)
Agency	Behavior Management Consultant: Licensed Clinical Social Worker
Individual	Associate Behavior Analyst
Individual	Behavior Management Consultant: (Psychologist)
Individual	Behavior Management Consultant: Marriage Family Child Counselor
Individual	Behavior Analyst
Agency	Family Counselor (MFCC), Clinical Social Worker (CSW)
Agency	Behavior Management Consultant: (Psychologist)
Individual	Behavior Management Assistant: (Psychology Assistant; Associate Licensed Clinical Social Worker)
Agency	Associate Behavior Analyst
Agency	Behavior Management Consultant: Marriage Family Child Counselor
Agency	Behavior Management Assistant: (Psychology Assistant; Associate Licensed Clinical Social Worker)
Agency	Behavior Analyst
Agency	Psychiatrist
Agency	Licensed Psychiatric Technician
Individual	Behavior Management Consultant: Licensed Clinical Social Worker
Individual	Psychiatrist
Individual	Licensed Psychiatric Technician

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

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):**

Valid license with the California Board of Behavioral Science Examiners

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

MFCC: Business and Professions Code §§4980-4984.9

CSW: Business and Professions Code §§4996-4997

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):

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):

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Associate Behavior Analyst

Provider Qualifications

License (specify):

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

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):

Business and Professions Code §§4980-4981

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 National Behavior Analyst Certification Board.

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):

Valid license with the California Board of Behavioral Science Examiners

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

MFCC: Business and Professions Code §§4980-4984.9

CSW: Business and Professions Code §§4996-4997

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 Assistant: (Psychology Assistant; Associate Licensed Clinical Social Worker)

Provider Qualifications

License (specify):

Business and Professions Code §2913; §4996-4996.2

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):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):

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

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):

Business and Professions Code §§4980-4981

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:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):**

Business and Professions Code §2913; §4996-4996.2

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):

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 National Behavior Analyst Certification Board.

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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*):

Business and Professions Code §2000

Licensed as a physician/ surgeon by the California Medical Board.

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*):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):

Business and Professions Code §4500 et. seq.

Possess a valid psychiatric technician license issued by the California State Board of Vocational Nurse and Psychiatric Technician examiners.

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:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):**

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):

Other Standard (specify):

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):**

Business and Professions Code §2000

Licensed as a physician/ surgeon by the California Medical Board.

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):

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Licensed Psychiatric Technician

Provider Qualifications**License (specify):**

Business and Professions Code §4500 et. seq.

Possess a valid psychiatric technician license issued by the California State Board of Vocational Nurse and Psychiatric Technician examiners.

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:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Service:

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 defined in 42 CFR §440.70 that are provided when home health aide services furnished under the approved State plan limits are exhausted. Home health aide services will supplement and not supplant services available through the approved Medicaid State plan or 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
 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	Home Health Agency
Individual	Home Health Aide

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Statutory Service
Service Name: Home Health Aide

Provider Category:

Provider Type:

Home Health Agency

Provider Qualifications**License (specify):**

Health and Safety Code §§1725 – 1742

Title 22, CCR, §74600 et. seq.

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Statutory Service
Service Name: Home Health Aide

Provider Category:

Provider Type:

Home Health Aide

Provider Qualifications**License (specify):**

Health and Safety Code §§1725 – 1742

Title 22, CCR, §74600 et. seq.

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Service:

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 an individual that has the requisite skills to perform homemaker duties specified in the participant's IPP 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:

Service Delivery Method (check each that applies):

- 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	Business entity
Individual	Individual

Appendix C: Participant Services

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

Service Type: Statutory Service
 Service Name: Homemaker

Provider Category:

Agency

Provider Type:

Business entity

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Statutory Service
 Service Name: Homemaker

Provider Category:

Individual

Provider Type:

Individual

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Service:

Alternate Service Title (if any):

Live-In Caregiver

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):**

Live-in caregiver service provides for the payment 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 participant. This payment is available only in the case of participants who receive personal care support and live in homes that they rent, lease, or own. A legal guardian may not furnish this service. The way the amount that is paid is determined as specified in Appendix I-6. Payment is not made when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid 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**
 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	Individual

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Live-In Caregiver

Provider Category:

Individual ▾

Provider Type:

Individual

Provider Qualifications

License (*specify*):

Certificate (*specify*):

Other Standard (*specify*):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 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):

Respite Services are provided to participants who require intermittent or regularly scheduled temporary supervision. The services are provided on a short-term basis because of the absence or need for relief of those persons who normally care for and/or supervise them and are non-medical in nature, with the exception of colostomy, ileostomy, catheter maintenance, and gastrostomy.

Respite can be any of the following:

1. Services provided by the hour on an episodic basis because of the absence of or need for relief for those persons normally providing the care to individuals.
2. Services provided by the day/overnight on a short-term basis because of the absence of or need for relief for those persons normally providing the care to individuals.
3. Regularly provided care and supervision of children, for periods of less than 24 hours per day, while the parents/primary non-paid caregiver(s) are out of the home.
4. Services that attend to the participant's basic self-help needs and other activities of daily living, including interaction, socialization, and continuation of usual daily routines that would ordinarily be performed by those persons who normally care for and/or supervise them.

Respite services may be purchased from qualified agencies or individuals. The participant may employ individual respite workers. In all cases, the IPP must specify the necessary training and skills that such workers or other providers must possess.

Respite Services may be provided in the following locations:

- Private residence.
- Residential facility approved by the State.
- Other community settings that are not a private residence, such as:
 - Adult Family Home/Family Teaching Home
 - Certified Family Homes for Children
 - Adult Day Care Facility
 - Camp
 - Child Day Care Facility

- Licensed Preschool

Respite Services cannot be provided by the primary care provider or his/her spouse under this definition. Respite providers are required to develop and implement a back-up plan for times when they are scheduled, but are unable to come and provide the services.

Respite Services do not duplicate services provided under the Individuals with Disabilities Education Act (IDEA) of 2004. These 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 and will not be claimed for the 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.

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**
- 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	Respite Facility; Residential Facility: Foster Family Agency (FFA)-Certified Family Homes (Children Only)
Agency	Respite Facility; Residential Facility: Small Family Homes (Children Only)
Agency	Respite Facility; Residential Facility: Foster Family Homes (FFHs) (Children Only)
Agency	Child Day Care Facility; Child Day Care Center; Family Child Care Home
Agency	Adult Day Care Facility
Individual	Individual
Agency	Camping Services
Agency	Respite Facility; Residential Facility: Residential Care Facility for the Elderly (RCFE)
Agency	Respite Facility; Residential Facility: Adult Residential Facility for Persons with Special Health Care Needs
Agency	Respite Facility; Residential Facility: Group Homes (Children Only)
Agency	Respite Facility; Residential Facility: Family Home Agency(FHA): Adult Family Home (AFH)/Family Teaching Home(FTH)
Agency	Respite Agency
Agency	Respite Facility; Residential Facility: Adult Residential Facilities (ARF)

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Respite Services

Provider Category:

Provider Type:

Respite Facility; Residential Facility: Foster Family Agency (FFA)-Certified Family Homes (Children Only)

Provider Qualifications

License (specify):

FFA licensed pursuant to Health and Safety Code §§1500-1567.8 provides statutory authority for DSS licensing of facilities identified in the CA Community Care Facilities Act.

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Respite Services

Provider Category:

Agency

Provider Type:

Respite Facility; Residential Facility: Small Family Homes (Children Only)

Provider Qualifications

License (specify):

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):

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Respite Services

Provider Category:

Agency

Provider Type:

Respite Facility; Residential Facility; Foster Family Homes (FFHs) (Children Only)

Provider Qualifications

License (specify):

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):

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Respite Services

Provider Category:

Agency

Provider Type:

Child Day Care Facility; Child Day Care Center; Family Child Care Home

Provider Qualifications**License (specify):**

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):

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Statutory Service****Service Name: Respite Services****Provider Category:**Agency **Provider Type:**

Adult Day Care Facility

Provider Qualifications**License (specify):**

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):

Other Standard (specify):

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Statutory Service****Service Name: Respite 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):

Other Standard (specify):

Has received Cardiopulmonary Resuscitation (CPR) and First Aid training from agencies offering such training, including, but not limited to, the American Red Cross; and has the skill, training, or education necessary to perform the required services.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Statutory Service****Service Name: Respite Services****Provider Category:**

Agency ▾

Provider Type:

Camping Services

Provider Qualifications**License (specify):**

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.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Statutory Service****Service Name: Respite Services****Provider Category:**

Agency **Provider Type:**

Respite Facility; Residential Facility: Residential Care Facility for the Elderly (RCFE)

Provider Qualifications**License (specify):**

Health and Safety Code §§1569-1569.889 provides statutory authority for licensing of RCFEs. Identified as the CA Residential Care Facilities for the Elderly Act.

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

Certificate (specify):


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:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Statutory Service****Service Name: Respite Services****Provider Category:**Agency **Provider Type:**

Respite Facility; Residential Facility: Adult Residential Facility for Persons with Special Health Care Needs

Provider Qualifications**License (specify):**

Health and Safety Code §§1500-1569.87

Appropriate license DSS CCLD as to type of facility

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

Certificate (specify):


Other Standard (specify):

Welfare and Institutions Code, § 4684.50 et seq.
The administrator must:

3. 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,
4. 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:
 - e. A licensed registered nurse.
 - f. A licensed nursing home administrator.
 - g. A licensed psychiatric technician with at least five years of experience serving individuals with developmental disabilities.
 - h. 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:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Statutory Service

Service Name: Respite Services

Provider Category:

Agency

Provider Type:

Respite Facility; Residential Facility: Group Homes (Children Only)

Provider Qualifications**License (specify):**

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):

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:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Respite Services

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*):

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Respite Services

Provider Category:

Agency ▼

Provider Type:

Respite Agency

Provider Qualifications**License** (*specify*):

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

Certificate (*specify*):
Other Standard (*specify*):

The agency director shall possess 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:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Statutory Service

Service Name: Respite Services

Provider Category:

Agency

Provider Type:

Respite Facility; Residential Facility: Adult Residential Facilities (ARF)

Provider Qualifications**License** (*specify*):

Health and Safety Code §§ 1500 through 1567.8

Certificate (*specify*):
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.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Advocacy 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):

Advocacy services support and facilitate the participant in exercising legal, civil and service rights to gain access to generic services and benefits. Advocacy services shall only be provided when other generic sources of similar assistance are not available to the participant, and when advocacy is directed towards obtaining generic services. The specific nature of advocacy services shall be specified in the IPP.

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
 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	Individual
Agency	Business Entity

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Other Service
Service Name: Advocacy Services

Provider Category:

Individual ▾

Provider Type:

Individual

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Other Service
Service Name: Advocacy Services

Provider Category:

Agency ▾

Provider Type:

Business Entity

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection ongoing thereafter through the IPP process.

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 Support

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 support services includes communication aides necessary to facilitate and assist persons with hearing, speech, or vision impairment, including individuals who do not speak English as their primary language and who have a limited ability to read, write, speak or understand English (Limited English Proficient or LEP skills). The purpose of this service is to assist individuals to effectively communicate with service providers, family, friends, co-workers, and the general public. The following are allowable communication aides, as specified in the participant's IPP:

1. Facilitators;
2. Interpreters and interpreter services;
3. Translators and translator services; and
4. Readers and reading services.

This service also includes supports for the participant to use computer technology to assist in communication. Such supports include training in the use of the technology, assessment of need for ongoing training and support, and identification of resources for the support.

Communication support services include evaluation for, and training in the use of, communication aides, including for individuals with LEP skills, as specified in the participant's IPP.

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
 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	Business entity
Individual	Individual

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Communication Support

Provider Category:

Agency

Provider Type:

Business entity

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Communication Support

Provider Category:

Individual

Provider Type:

Individual

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

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 Integration and Employment Supports

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 Integration and Employment Supports has two components: A) Community Integration Supports and B) Employment Supports. This service is provided to participants tailored to their specific personal outcomes related to the acquisition, improvement and/or retention of skills and abilities to prepare and support

the participant for community participation, interdependence, independence, and/or community integrated work.

This service supports the full access of participants receiving services in the community, including opportunities to seek employment and work in competitive integrated settings, engage in community life, control personal resources, and receive services in the community, to the same degree of access as individuals not receiving these services. In addition, this service assists the participant to learn the skills needed to participate in the community during integrated activities with individuals who are non-disabled.

The participant selects this service from among service options including non-disability specific settings. The service options are based on the participant's individualized needs and preferences.

The participant receives this service in settings that are integrated in and supports full access to the greater community, and allows for participant comfort, interdependence, independence, preferences, and use of any technology. The participant's choices are incorporated into the services and supports and his/her essential personal rights of privacy, dignity and respect and freedom from coercion are protected. The service settings must allow the participant to control personal resources and his/her schedule and activities. In addition, the settings must allow the participant to receive breaks in the same manner as a non-disabled individual.

A) Community Integration Supports

Community Integration Supports are provided in the manner specified by the planning team to assist participants with acquisition, retention, or improvement in self-help, socialization and adaptive skills through therapeutic and/or physical activities to achieve the participant's personally defined outcomes. These services and supports may take place in the participant's home, as well as, a wide variety of community-based settings that promote community integration. Services may be provided on a regularly scheduled basis, for one or more days per week.

These services and supports enable the participant to attain or maintain his or her maximum functional level, interdependence, and independence, including the facilitation of connections to community events and activities. In addition, these services and supports may serve to reinforce skills or lessons taught in school, therapy, or other settings, enabling the participant to integrate into the community.

Services and supports to assist the participant to increase and improve self-help, socialization, community integration, and adaptive skills, may include, but are not limited, to:

- a. Socialization and community awareness.
- b. Communication skills.
- c. Visual, auditory and tactile awareness, and perception experiences.
- d. Development of appropriate peer interactions and self-advocacy skills.
- e. Art and recreation programs.
- f. Volunteerism.
- g. Vocational training.
- h. College, including financial assistance with tuition, books, and other related fees.
- i. Continuing Education i.e., classes that help participants explore interests or improve academic skills or complete a high school equivalency (GED) diploma while in an inclusive setting
- j. Senior and faith-based groups.
- k. Peer mentoring.
- l. Mobility services, i.e., the access and use of public transportation or other modes of transportation, including access to peer-to-peer ride sharing.
- m. Friendship and relationship building

B) Employment Supports

Employment supports are individually designed and provided in the manner specified by the planning team to assist participants to gain and retain employment, including self-employment, in community integrated work environments to achieve the participant's personally defined outcomes. These services and supports also include activities related to job discovery, self-employment, and retirement.

The participant may receive any combination of Employment Supports, including, but not limited, to:

- a. Physical capacities development, i.e., health concerns.
- b. Psychomotor skills development.
- c. Interpersonal, communicative/social and adaptive skills development, e.g., responding appropriately to supervisors/co-workers, etc.
- d. Work habits development, e.g., attendance and punctuality, focusing on tasks, etc.
- e. Development of vocationally appropriate dress and grooming.
- f. Productive skills development, i.e., the achievement of productivity standards and quality results.

- g. Work-practices training, e.g., following directions, completing tasks, etc.
- h. Work-related skills development, e.g., problem solving, path planning to future employment opportunities, etc.
- i. Money management and income reporting skills.
- j. Development and use of natural job supports.
- k. Workforce integration techniques.
- l. Community integration development/relationship building.
- m. Safety skills and training.
- n. Job discovery, job-seeking, and interviewing skills.
- o. Self-advocacy training, participant counseling, peer vocational counseling, career counseling, and peer club participation.
- p. Volunteerism to assist the person in identifying job or career interests.
- q. Individualized assessment.
- r. Job analysis, job development and placement that produce an appropriate job match for the participant and employer.
- s. Direct supervision or training while the participant is engaged in integrated work.
- t. Job coaching provided on or off the worksite.
- u. Counseling with a participant/family and/or authorized representative to ensure support of the participant in job adjustment or planning for retirement.
- v. Counseling on benefits planning to ensure a consumer understands the relationship between earned income and receiving public benefits such as SSI, SSA, Medi-Cal, and PASS Plans.
- w. Consultation with employer’s Human Relations staff.
- x. Assessment of need for technology and facilitating acquisition of communication aides and technology.
- y. Job customization, e.g., modifications to work materials, procedures, and protocols.
- z. Self-employment and business development, i.e., identification of potential business opportunities, business plan development, identification of needed supports, ongoing assistance and support, etc.

The above described services and supports cannot be provided when available under a program funded under §110 of the Rehabilitation Act of 1973 (29 U.S.C. 730) or §602(16) and (17) of the Individuals with Disabilities Education Act (IDEA).(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**
- 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	Business entity
Individual	Individual

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Community Integration and Employment Supports

Provider Category:

Agency **Provider Type:**

Business entity

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Facility license (Health and Safety Code §§ 1500-1567.8) if applicable

Certificate (specify):


Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Community Integration and Employment Supports****Provider Category:**Individual **Provider Type:**

Individual

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):


Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

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 Living Supports

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 Living Supports are services that facilitate independence and promote community integration for participants, regardless of the community living arrangement. Services include support and assistance with socialization, personal skill development, community participation, recreation and leisure, and home and personal care, among others, as further described below. Payments for Community Living Supports do not include the cost for room and board.

Community Living Supports are provided to a participant in his/her home and community to achieve, improve, and/or maintain social and adaptive skills necessary to enable the participant to reside in the community and to participate as independently as possible. Services are provided in environments that support participant comfort, independence, preferences and the use of technology. The participant's choices are incorporated into the services and supports received. The participant has unrestricted access, and the participant's essential personal rights of privacy, dignity and respect, and freedom from coercion are protected.

The service settings are integrated in, and facilitate each participant's full access to the greater community, which includes opportunities for each participant to engage in community life, control personal resources, and receive services in the community.

The specific services provided to each participant will vary based on the individual, the individual's preferences and the community setting chosen. The specific types and mix of supports that an individual receives as well as any special provider qualifications shall be specified in the Individual Program Plan.

The following items describe the types of possible Community Living Supports:

1. Support with socialization includes development or maintenance of self-awareness and self-control, social responsiveness, social amenities, interpersonal skills, and personal relationships.
2. Support with personal skill development includes activities designed to improve the participant's own ability to accomplish activities of daily living, including eating, bathing, dressing, personal hygiene, mobility, and other essential activities.

3. Support with community participation includes assistance that enables the individual to more fully participate in community activities. Assistance may include, but is not limited to, the acquisition, use, and care of canine or other animal companions specifically trained to provide personal assistance, or devices to facilitate immediate assistance when threats to health, safety, or well-being occur.

4. Support to facilitate participation in post-secondary education, religious, recreation or leisure activities.

5. Support with home and personal care includes services needed to maintain the home in a clean, sanitary and safe environment and provide essential care to the individual. Services include support with household activities, such as planning and preparing meals, money management (personal finances, planning, budgeting and decision making), and laundry. It also includes heavy household chores such as washing floors, windows and walls, securing loose rugs and tiles, moving heavy items or furniture in order to provide safe access and egress, as well as minor repairs such as those which could be completed by a handyman. Heavy household chores and services that can be provided by a handyman are only available when the individual or anyone else in the household is unable to do the service. 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.

6. Support includes the provision of medical and health care services that are integral to meeting the daily needs of the participant (e.g., routine administration of medications or tending to the needs of a participant who is ill or requires attention to medical needs on an ongoing basis.). Medical and health care services such as physician services that are not routinely provided to meet the daily needs of the participant are not provided.

7. Support and training for infant and childcare for participants who are, or will become parents.

Settings where Community Living Supports are provided must have all of the following qualities:

1. The setting is integrated in and supports full access of individuals receiving Medicaid HCBS to the greater community, including opportunities to seek employment and work in competitive integrated settings, engage in community life, control personal resources, and receive services in the community, to the same degree of access as individuals not receiving Medicaid HCBS.
2. The setting is selected by the individual from among setting options including non-disability specific settings and an option for a private unit in a residential setting
3. Ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.
4. Optimizes, but does not regiment, individual initiative, autonomy, and independence in making life choices, including but not limited to, daily activities, physical environment, and with whom to interact.
5. Facilitates individual choice regarding services and supports, and who provides them.

In a provider-owned or controlled residential setting, in addition to the qualities specified above, the following additional conditions must be met:

- The unit or dwelling is a specific physical place that can be owned, rented, or occupied under a legally enforceable agreement by the individual receiving services, and the individual has, at a minimum, the same responsibilities and protections from eviction that tenants have under the landlord/tenant law of the State, county, city, or other designated entity.

1. Each individual has privacy in their sleeping or living unit:

- Units have entrance doors lockable by the individual, with only appropriate staff having keys to doors.
- Individuals sharing units have a choice of roommates in that setting.
- Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement.

2. Individuals have the freedom and support to control their own schedules and activities, and have access to food at any time.

3. Individuals are able to have visitors of their choosing at any time.
4. The setting is physically accessible to the individual.
5. The unit or dwelling may be shared by no more than four waiver participants.
6. Any modification of the additional conditions specified in items 1 through 4 above, must be supported by a specific assessed need and justified in the individual program plan (IPP). The following requirements must be documented in the (IPP):

- Identify a specific and individualized assessed need.
- Document the positive interventions and supports used prior to any modifications to the IPP.
- Document less intrusive methods of meeting the need that have been tried but did not work.
- Include a clear description of the condition that is directly proportionate to the specific assessed need.
- Include regular collection and review of data to measure the ongoing effectiveness of the modification.
- Include established time limits for periodic reviews to determine if the modification is still necessary or can be terminated.
- Include the informed consent of the individual.
- Include an assurance that interventions and supports will cause no harm to the individual.

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**
- 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	Adult Residential Facility
Agency	Foster Family Homes
Agency	Group Homes
Agency	Foster Family Agency (FFA)-Certified Family Homes
Agency	Adult Residential Facility for Persons with Special Health Care Needs
Agency	Residential Care Facility for the Elderly (RCFE)
Agency	Small Family Homes
Individual	Individual
Agency	Family Home Agency(FHA): Adult Family Home(AFH)/Family Teaching Home(FTH)
Agency	Business entity

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Living Supports

Provider Category:

Agency **Provider Type:**

Adult Residential Facility

Provider Qualifications**License (specify):**

Health and Safety Code §§1500-1567.8

Certificate (specify):**Other Standard (specify):****Verification of Provider Qualifications****Entity Responsible for Verification:**

Department of Social Services

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Annually

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Community Living Supports****Provider Category:**Agency **Provider Type:**

Foster Family Homes

Provider Qualifications**License (specify):**

Health and Safety Code §§1500-1567.8

Certificate (specify):**Other Standard (specify):****Verification of Provider Qualifications****Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service**

Service Name: Community Living Supports

Provider Category:Agency **Provider Type:**

Group Homes

Provider Qualifications**License (specify):**

Health and Safety Code §§1500-1567.8

Certificate (specify):**Other Standard (specify):****Verification of Provider Qualifications****Entity Responsible for Verification:**

Department of Social Services

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Annually

Appendix C: Participant Services

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

Service Type: Other Service**Service Name: Community Living Supports**

Provider Category:Agency **Provider Type:**

Foster Family Agency (FFA)-Certified Family Homes

Provider Qualifications**License (specify):**

FFA licensed pursuant to Health and Safety Code §§1500-1567.8

Certificate (specify):

Title 22, CCR, § 88030

Other Standard (specify):**Verification of Provider Qualifications****Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Living Supports

Provider Category:Agency **Provider Type:**

Adult Residential Facility for Persons with Special Health Care Needs

Provider Qualifications**License (specify):**

Health and Safety Code §§1500-1567.87

Certificate (specify):


Other Standard (specify):

Welfare and Institutions Code §4684.50 seq

Verification of Provider Qualifications**Entity Responsible for Verification:**

Department of Social Services

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Annually

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Living Supports

Provider Category:Agency **Provider Type:**

Residential Care Facility for the Elderly (RCFE)

Provider Qualifications**License (specify):**

Health and Safety Code §§1569-1569.889

Certificate (specify):


Other Standard (specify):


Verification of Provider Qualifications**Entity Responsible for Verification:**

Department of Social Services

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Annually

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Community Living Supports

Provider Category:

Agency

Provider Type:

Small Family Homes

Provider Qualifications

License (specify):

Health and Safety Code §§1500-1567.8

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

Department of Social Services

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Annually

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Community Living Supports

Provider Category:

Individual

Provider Type:

Individual

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Community Living Supports

Provider Category:

Agency ▼

Provider Type:

Family Home Agency(FHA): Adult Family Home(AFH)/Family Teaching Home(FTH)

Provider Qualifications

License (specify):

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

Certificate (specify):

AFH Title 17, CCR, §56088

Other Standard (specify):

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.

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional Centers, DDS, FHA

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Annually; Biennially; Monthly

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Community Living Supports

Provider Category:

Agency ▼

Provider Type:

Business entity

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Crisis Intervention and Support

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):**

Crisis Intervention and Support is a specialized service that provides short-term care and behavior intervention to provide relief and support of the caregiver and protection for the participant or others living with the participant. This service may include the use and development of intensive behavioral intervention programs to improve the participant's development and behavior tracking and analysis. This service is restricted to generally accepted, evidence-based, positive approaches.

This service is designed to assist participants in acquiring, retaining and improving the self-help, socialization and adaptive skills necessary to reside successfully in home and community-based settings. The service may be provided to family members if they are for the benefit of the participant. The service for family members may include training and instruction about treatment regimens, including training on the use of medications, and risk management strategies to enable the family to support the participant. The participation of parent(s) of minor

children is critical to the success of a behavioral intervention program.

The person-centered planning team determines the extent of participation necessary to meet the participant's needs. Depending on the participant's needs, Crisis Intervention and Support can be provided to a participant as follows:

1. Mobile crisis intervention in the participant's home, and/or community or where crisis intervention services are needed. Mobile crisis intervention means immediate therapeutic intervention on a 24-hour emergency basis to a participant exhibiting acute personal, social, and/or behavioral problems. Mobile crisis intervention provides immediate and time-limited professional assistance to a participant who is experiencing personal, social or behavioral problems which, if not ameliorated, will escalate and require that the participant be moved to a setting where additional services are available.
2. Out-of-home crisis intervention when necessary is for the relief of the caregiver, and/or the protection of the participant or others living in the home may be provided in emergency housing in the participant's home community. Out-of-home crisis intervention provides a safe, stable, highly structured environment by combining concentrated, highly skilled staffing (e.g. psychiatric technicians, certified behavior analysts, etc.) and intensive behavior modification programs. Payment for out-of-home crisis intervention will include payment for room and board costs when the service is provided at emergency housing, developed for the provision of crisis intervention that is not a private residence.

As necessary, Crisis Intervention and Support is composed of the following participant-specific activities:

1. Assessment to determine the precipitating factors contributing to the crisis.
2. Development of an intervention plan in coordination with the planning team.
3. Consultation and staff training to the service provider as necessary to ensure successful implementation of the participant's specific intervention plan.
4. Collection of data on behavioral strategies and submission of that data to the caregiver or provider for incorporation into progress reports.
5. Participation in any needed clinical meetings.
6. Development and implementation of a transition plan to aid the participant in returning home if out-of-home crisis intervention was provided.
7. Ongoing technical assistance to the caregiver or provider in the implementation of the intervention plan developed for the participant.
8. Provision of recommendations to prevent or minimize future crisis situations in order to increase the likelihood of maintaining the participant in the 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**
 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	Individual
Agency	Business entity
Agency	Crisis Facility

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Crisis Intervention and Support

Provider Category:

Individual ▾

Provider Type:

Individual

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Crisis Intervention and Support

Provider Category:

Agency ▾

Provider Type:

Business entity

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Crisis Intervention and Support

Provider Category:Agency **Provider Type:**

Crisis Facility

Provider Qualifications**License (specify):**

Health and Safety Code §§1500-1569.889

Certificate (specify):


Other Standard (specify):

Crisis services may be provided in any of the types of 24-hour care services identified in Community Living Supports section.

Verification of Provider Qualifications**Entity Responsible for Verification:**

Department of Social Services

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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: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:

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 will be provided to individuals age 21 and older, only when the services are not otherwise defined and described in the approved State plan for individuals under the age of 21. The provider qualifications listed in the plan will apply, and are hereby incorporated into this waiver request by reference. Dental services will supplement and 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
- 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	Dentist
Individual	Dentist

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Dental Services

Provider Category:



Provider Type:

Dentist

Provider Qualifications

License (specify):
 Business & Professions Code §§ 1600-1976

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Dental Services

Provider Category:

Individual ▾

Provider Type:

Dentist

Provider Qualifications

License (specify):

Business & Professions Code §§ 1600-1976

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 participant’s home, required by the individual’s IPP, 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 be at risk for institutionalization. These services are allowed only when another entity (i.e. landlord) is not responsible for making the needed adaptation (s).

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.

Provided that they are allowable, other environmental accessibility adaptations and repairs may be approved on a case-by-case basis as technology changes or as a participant’s physical or environmental needs change.

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, such as carpeting, roof repair, central air conditioning, etc.. 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 home 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.

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
- 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	Business entity
Individual	Individual

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Environmental Accessibility Adaptations

Provider Category:

Provider Type:

Business entity

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Individual

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 Assistance and Supports

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 Assistance and Support are supports provided either in or out of the home to a participant/family that enables the participant to continue to live and be supported in the family home. The participant’s family includes the participant’s biological parents, adoptive parents, foster parents, stepparents, siblings, children, spouse, domestic partner, or a person who is the legal representative of the participant. Family supports are intended to support both the participant and the rest of the family to live as much like other families as possible in order to prevent or delay unwanted out-of-home placement. Family Assistance and Supports may include training and education services to the family to accommodate the participant in the home and to access supports offered in the 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
- 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	Business entity
Individual	Individual

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Family Assistance and Supports

Provider Category:Agency **Provider Type:**

Business entity

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):


Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Family Assistance and Supports

Provider Category:Individual **Provider Type:**

Individual

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):


Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

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:

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):

This service assists the family or participant to: (a) manage and direct the disbursement of funds contained in the participant's individual budget, and ensure that the participant has the financial resources to implement his or her Individual Program Plan (IPP) throughout the year; (b) facilitate the employment of service providers by the family or participant, as either the participant's fiscal agent or co-employer, by performing such employer responsibilities including, but not limited to, processing payroll, withholding federal, state, and local tax and making tax payments to appropriate tax authorities; and, (c) performing fiscal accounting and making expenditure reports to the participant or family and others as required.

This service includes the following activities to assist the participant in their role as either the employer or co-employer:

1. Assisting the participant in verifying worker's eligibility for employment and provider qualifications
2. Ensuring service providers employed by the participant meet criminal background checks as required and as requested by the participant.
3. Collecting and processing timesheets of workers.
4. Processing payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance.
5. Tracking, preparing and distributing reports (e.g., expenditure) to appropriate individual(s)/entities.
6. Maintaining all source documentation related to the authorized service(s) and expenditures.
7. Maintaining a separate accounting for each participant's participant-directed funds.
8. Providing the participant and the regional center service coordinator with a monthly individual budget statement that describes the amount of funds allocated by budget category, the amount spent in the previous 30-day period, and the amount of funding that remains available under the participant's individual budget.
9. Ensuring payments do not exceed the amounts outlined in the participant's individual budget
10. Fulfilling other FMS responsibilities as mandated by local, state and federal laws and regulations.

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
- 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 Service
Individual	Financial Management Service

Appendix C: Participant Services

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

Service Type: Other Service
 Service Name: Financial Management Service

Provider Category:

Agency

Provider Type:

Financial Management Service

Provider Qualifications

License (specify):

Business license, as appropriate

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional center

Frequency of Verification:

Verified upon application and ongoing thereafter through oversight and monitoring activities

Appendix C: Participant Services

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

Service Type: Other Service
 Service Name: Financial Management Service

Provider Category:

Individual

Provider Type:

Financial Management Service

Provider Qualifications

License (specify):

Business license, as appropriate

Certificate (specify):

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Regional center

Frequency of Verification:

Verified upon application and ongoing thereafter through oversight and monitoring activities

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 Supports

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 Supports is a service that provides assistance to a participant when acquiring housing in the community. The purpose of the support is to enable the participant to identify, select and acquire affordable, accessible housing. Services include counseling and assistance in identifying affordable, safe and accessible options and making choices with respect to the participant's preferences of locations and types of housing; identifying the participant's accessibility requirements (including need for modifications); planning for ongoing maintenance and repair (if this will be the participant's responsibility); and identifying and assisting the participant to access financial resources and eligibility for housing subsidies and other benefits. Reimbursement is made for needed accommodations that assist the participant to access typical generic resources, such as apartment rentals and real estate services. Additionally, the service goes beyond the services typically provided

by a generic resource (i.e. assists the participant to access affordable apartment units and homes). The specific supports that are required by the participant shall be specified in the IPP. The service does not include payment of deposits or other expenses associated with setting up a household. A parent or legal guardian cannot be paid for providing Housing Access Supports to the participant.

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**
 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	Individual
Agency	Business entity

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Housing Access Supports

Provider Category:

Individual ▾

Provider Type:

Individual

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Housing Access Supports

Provider Category:

Agency

Provider Type:

Business entity

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Independent Facilitator

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):

Independent Facilitator means a person, selected and directed by the participant, who is not otherwise providing services to the participant pursuant to his or her IPP. The service or function is intended to assist the participant to plan for and access services to implement needed services identified in the participant's IPP. The services may include, but are not limited to:

1. Participate in the person-centered planning process.
2. Identify immediate and long-term needs, preferences, goals and objectives of the participant for developing the IPP.
3. Make informed decisions about the individual budget.
4. Develop options to meet the identified immediate and long-term needs and access community services and supports specified in the IPP.
5. Advocate on behalf of the participant in the person-centered planning process and development of the IPP, obtaining identified services and supports.

The participant/family may hire, or contract with an IF, and shall specify in the IPP the activities which the IF will conduct. A participant may elect to use his or her regional center service coordinator to fulfill the functions of an IF, instead of contracting with, or using the service of an independent facilitator. This service does not duplicate services provided by the participant's service coordinator.

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
 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	Business entity
Individual	Individual

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Other Service
Service Name: Independent Facilitator

Provider Category:

Provider Type:

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

An independent facilitator must complete training in the principles of self-determination, the person-centered planning process and other responsibilities described in statute (W&IC Section 4685.8(c) (2).)

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Independent Facilitator

Provider Category:

Individual 

Provider Type:

Individual

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):



Other Standard (specify):

An independent facilitator must complete training in the principles of self-determination, the person-centered planning process and other responsibilities described in statute (W&IC Section 4685.8(c) (2).)

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:


Upon selection and ongoing thereafter through the IPP process.

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:

Individual Training and Education

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):

Individual Training and Education service includes: training the participant in his or her responsibility as an employer, job discovery, community inclusion, relationship building, problem solving, and decision making designed to facilitate the participant’s self-advocacy skills, exercise the participant’s human and civil rights, and exercise control and responsibility over their SDP services and supports. This service includes enrollment fees, materials, and transportation expenses that are necessary to enable participation in the individual training and education. This service is not provided when funding can be accessed through Public Education as required in IDEA (P.L. 105-17, the IDEA).

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
- 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	Business entity
Individual	Individual

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Individual Training and Education

Provider Category:Agency **Provider Type:**

Business entity

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):**Other Standard (specify):**

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service**Service Name: Individual Training and Education**

Provider Category:Individual **Provider Type:**

Individual

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):**Other Standard (specify):**

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Integrative Therapies

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):

Integrative Therapies consist of Acupuncture Services, Chiropractic Services, and Massage Therapy. Acupuncture and Chiropractic Services through the SDP waiver are as defined in the approved Medicaid State Plan.

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
- 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	Chiropractor
Agency	Massage Therapist
Agency	Acupuncturist
Individual	Chiropractor
Individual	Acupuncturist
Individual	Massage Therapist

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Integrative Therapies

Provider Category:

Agency 

Provider Type:

Chiropractor

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):



Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Integrative Therapies

Provider Category:

Agency 

Provider Type:

Massage Therapist

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):



Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Integrative Therapies

Provider Category:

Agency ▼

Provider Type:

Acupuncturist

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Integrative Therapies

Provider Category:

Individual ▼

Provider Type:

Chiropractor

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Integrative Therapies

Provider Category:

Individual ▾

Provider Type:

Acupuncturist

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Integrative Therapies

Provider Category:

Individual ▾

Provider Type:

Massage Therapist

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

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):

Prescription Lens/Frames will be provided to individuals age 21 and older and are defined and described in the approved State plan for individuals under the age of 21. The provider qualifications listed in the plan will apply, and are hereby incorporated into this waiver request by reference. Prescription lenses and frames will supplement and 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
- 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	Dispensing Optician

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Lenses and Frames

Provider Category:Agency **Provider Type:**

Dispensing Optician

Provider Qualifications**License (specify):**

Business and Professions Code §§ 2550-2560

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

Other Standard (specify):**Verification of Provider Qualifications****Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 participants. These services are consultative in nature and do not include specific planning and shopping for, or preparation of meals for participants.

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
 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	Individual
Agency	Dietitian
Individual	Dietitian
Agency	Business entity

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:

Individual

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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

Provider Qualifications

License (specify):

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

Certificate (specify):

Valid registration as a member of the American Dietetic Association

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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

Provider Qualifications

License (specify):

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

Certificate (specify):

Valid registration as a member of the American Dietetic Association

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:**

Business entity

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):**Other Standard (specify):**

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

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 will be provided to individuals age 21 and older and are defined and described in the approved State plan for individuals under the age of 21. The provider qualifications listed in the plan will apply, and are hereby incorporated into this waiver request by reference. Optometric/Optician services will supplement and 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**
 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	Orthoptic Technician
Agency	Optometrist

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Optometric/Optician Services

Provider Category:

Agency

Provider Type:

Orthoptic Technician

Provider Qualifications

License (specify):

Business and Professions Codes in Chapter 7, Article 3

Sections 3041, 3041.3, 3056, 3057

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Optometric/Optician Services

Provider Category:

Agency 

Provider Type:

Optometrist

Provider Qualifications

License (specify):

An optometrist is validly licensed as an optometrist by the California State Board of Optometry

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Participant-Directed Goods and 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):

Participant-Directed Goods and Services consist of services, equipment or supplies not otherwise provided through the SDP Waiver or through the Medicaid State plan that address an identified need in the IPP (including accommodating, improving and maintaining the participant’s opportunities for full membership in the community) and meet the following requirements: the item or service would decrease the need for other Medicaid services; promote interdependence, and inclusion in the community; and increase the person’s safety in the home environment; and the participant does not have the personal funds to purchase the item or service and the item or service is not available through another funding source.

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
- 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	Individual
Agency	Business entity

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Participant-Directed Goods and Services

Provider Category:

Individual 

Provider Type:

Individual

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):



Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant’s IPP.

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Participant-Directed Goods and Services

Provider Category:

Agency

Provider Type:

Business entity

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 services to meet the needs and capabilities of the participant and includes training, installation, repair, maintenance, and response needs. The allowable service includes, but is not limited to, the following:

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 (blinking lights, etc.);
9. Telephone adaptive devices not available free of charge from the telephone company;
10. Other 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 a greater amount of routine supervision. By providing immediate access to assistance, PERS services prevent institutionalization of these individuals and allow them to remain in the community. 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
- 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	Personal Emergency Response Provider
Individual	Personal Emergency Response 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 Provider

Provider Qualifications**License (specify):**

As appropriate, a business license as required by the local jurisdiction

Certificate (specify):**Other Standard (specify):****Verification of Provider Qualifications****Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 Provider

Provider Qualifications**License (specify):**

As appropriate, a business license as required by the local jurisdiction

Certificate (specify):**Other Standard (specify):****Verification of Provider Qualifications****Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

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 will be provided to individuals age 21 and older and are defined and described in the approved State plan for individuals under the age of 21. The provider qualifications listed in the plan will apply, and are hereby incorporated into this waiver request by reference. Psychology services will supplement and 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
 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	Clinical Psychologist
Agency	Clinical Psychologist

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Other Service
Service Name: Psychology Services

Provider Category:Individual **Provider Type:**

Clinical Psychologist

Provider Qualifications**License (specify):**

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:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Psychology Services

Provider Category:Agency **Provider Type:**

Clinical Psychologist

Provider Qualifications**License (specify):**

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:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 services will supplement and 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
 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	Registered Nurse (RN)
Agency	Licensed Vocational Nurse (LVN)

Provider Category	Provider Type Title
Individual	Licensed Vocational Nurse (LVN)
Agency	Registered Nurse (RN)

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Skilled Nursing

Provider Category:

Individual ▾

Provider Type:

Registered Nurse (RN)

Provider Qualifications

License (specify):

Professions Code §§2725 – 2742

Title 22, CCR, §51067

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):

Business and Professions Code, §§ 2859-2873.7

Title 22, CCR, § 51069

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Skilled Nursing

Provider Category:

Individual ▾

Provider Type:

Licensed Vocational Nurse (LVN)

Provider Qualifications

License (*specify*):

Business and Professions Code, §§ 2859-2873.7

Title 22, CCR, § 51069

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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):

Business & Professions Code §§2725 – 2742

Title 22, CCR, §51067

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:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

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 IPP, 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 and supplies not available under the State plan that is necessary to address participant functional limitations; and, (e) necessary medical supplies not available under the State plan. 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 State plan 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.

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**
 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	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):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 Therapeutic 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):

Specialized Therapeutic Services are services that provide physical, behavioral/social-emotional health, and or dental health care that have been adapted to accommodate the unique complexities presented by participants.

These complexities include requiring:

1. Additional time with the health care professional to allow for effective communication with patients to ensure the most effective treatment;
2. Additional time with the health care professional to establish the patient's comfort and receptivity to treatment to avoid behavioral reactions that will further complicate treatment;
3. Additional time for diagnostic efforts due to the masking effect of some developmental disabilities on health care needs;
4. Specialized expertise and experience of the health care professional in diagnosing health care needs that may be masked or complicated by a developmental disability;
5. Treatment to be provided in settings that are more conducive to the patient's ability to effectively receive treatment, either in specialized offices or facilities that offer better structured interaction with the patient or which may provide additional comfort and support which is needed to reduce patient anxiety that is related to his or her developmental disabilities.

All of these additional elements to Specialized Therapeutic Services are designed and proven effective in

ensuring the health and safety of the participants who are enrolled in the waiver. They are also designed or adapted with specialized expertise, experience or supports to ensure that the impact of a person’s developmental disability does not impede the practitioner’s ability to effectively provide treatment. The design features and/or expertise levels required by these consumers have been developed through years of experience and are not available through existing State Plan services. These features are critical to maintain, preserve, or improve the health status and developmental progress of each individual who is referred to these Specialized Therapeutic Services.

Specialized Therapeutic Services include:

1. Oral Health Services: Diagnostic, Prophylactic, Restorative, Oral Surgery
2. Services for Maladaptive Behaviors/Social-Emotional Behavior Impairments (MB/SEDI) Due to/Associated with a Developmental Disability: Individual and group interventions and counseling
3. Physical Health Services: Physical Therapy, Occupational Therapy, Speech Therapy, Respiratory Therapy, Diagnostic and Treatment, Physician Services, Nursing Services, Diabetes Self-Management

The need for a Specialized Therapeutic Service must be identified in the Individual Program Plan, also known as a Plan of Care, and is to be provided only when the individual’s regional center planning team has:

1. Determined the reason why other generic or State Plan services cannot/do not meet the unique oral health, behavioral/social-emotional health, physical health needs of the consumer as a result of his/her developmental disability and the impact of the developmental disability on the delivery of therapeutic services;
2. Determined that a provider with specialized expertise/knowledge in serving individuals with developmental disabilities is needed, i.e., a provider of State Plan services does not have the appropriate qualifications to provide the service;
3. Determined that the individual’s needs cannot be met by a State Plan provider delivering routine State Plan services;
4. Determined that the Specialized Therapeutic Service is a necessary component of the overall IPP; and
5. Consulted with a Regional Center clinician.

The need to continue the Specialized Therapeutic Service will be evaluated during the mandatory annual review of the individual’s IPP in order to determine if utilization is appropriate and progress is being made as a result of the service being provided.

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
- 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	Dentist, Dental Hygienist, Psychologist, Marriage & Family Therapist, Social Worker, Chemical Addiction, Physician/Surgeon, Speech Therapist
Agency	Dentist, Dental Hygienist, Psychologist, Marriage & Family Therapist, Social Worker, Chemical Addiction, Physician/Surgeon, Speech Therapist
Agency	Occupational Therapist, Occupational Therapy Assistant, Physical Therapist, Physical Therapy Assistant, Respiratory Therapist, RN, LVN, Nurse Practitioner
Individual	Occupational Therapist, Occupational Therapy Assistant, Physical Therapist, Physical Therapy Assistant, Respiratory Therapist, RN, LVN, Nurse Practitioner

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Specialized Therapeutic Services

Provider Category:

Individual ▾

Provider Type:

Dentist, Dental Hygienist, Psychologist, Marriage & Family Therapist, Social Worker, Chemical Addiction, Physician/Surgeon, Speech Therapist

Provider Qualifications

License (specify):

Business and Professions Code:

Dentist: §1628-1635

Dental Hygienist: §1766 & 1768

Psychologist: §2940-2946

Marriage & Family Therapist: §4986.2

Social Worker: §4996.1 – 4996.2

Physician/Surgeon: §2080-2096

Speech Therapist: §2532.1-2532.6

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

Certificate (specify):

Chemical Addiction Counselor -certified in accordance with Title 9 CCR § 9846-13075

Physicians and Surgeons: Business and Professions Code, §2080-2085

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Specialized Therapeutic Services

Provider Category:

Agency ▾

Provider Type:

Dentist, Dental Hygienist, Psychologist, Marriage & Family Therapist, Social Worker, Chemical Addiction, Physician/Surgeon, Speech Therapist

Provider Qualifications

License (specify):

Business and Professions Code:

Dentist: §1628-1635

Dental Hygienist: §1766 & 1768

Psychologist: §2940-2946

Marriage & Family Therapist: §4986.2
 Social Worker: §4996.1 – 4996.2
 Physician/Surgeon: §2080-2096
 Speech Therapist: §2532.1-2532.6

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

Physicians and Surgeons: Business and Professions Code, §2080-2085

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Specialized Therapeutic Services

Provider Category:

Agency

Provider Type:

Occupational Therapist, Occupational Therapy Assistant, Physical Therapist, Physical Therapy Assistant, Respiratory Therapist, RN, LVN, Nurse Practitioner

Provider Qualifications

License (*specify*):

Occupational Therapist and Assistant: §2570.6

Physical Therapist: §2636.5

Physical Therapy Assistant: §2655

Respiratory Therapist: §3733-3737

RN § 2725-2742

LVN § 2859-2873.7

Nurse Practitioner: §2834-2837

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Specialized Therapeutic Services

Provider Category:

Individual ▾

Provider Type:

Occupational Therapist, Occupational Therapy Assistant, Physical Therapist, Physical Therapy Assistant, Respiratory Therapist, RN, LVN, Nurse Practitioner

Provider Qualifications

License (specify):

Occupational Therapist and Assistant: §2570.6

Physical Therapist: §2636.5

Physical Therapy Assistant: §2655

Respiratory Therapist: §3733-3737

RN § 2725-2742

LVN § 2859-2873.7

Nurse Practitioner: §2834-2837

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:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

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 will be provided to individuals age 21 and older and are defined and described in the approved State plan for individuals under the age of 21. The provider qualifications listed in the plan will apply, and are hereby incorporated into this waiver request by reference. Speech, Hearing and Language services will supplement and 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
- 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	Audiologist
Agency	Speech Pathologist
Individual	Audiologist
Individual	Speech Pathologist

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Speech, Hearing and Language Services

Provider Category:

Provider Type:

Audiologist

Provider Qualifications

License (specify):

Business & 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*):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Speech, Hearing and Language Services

Provider Category:

Agency

Provider Type:

Speech Pathologist

Provider Qualifications

License (*specify*):

Business & 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*):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Speech, Hearing and Language Services

Provider Category:

Individual

Provider Type:

Audiologist

Provider Qualifications**License (specify):**

Business & 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):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Speech, Hearing and Language Services****Provider Category:**Individual **Provider Type:**

Speech Pathologist

Provider Qualifications**License (specify):**

Business & 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):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Technology

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):**

Technology is an item, piece of equipment, or product system, whether acquired commercially, modified, or customized, that is used to promote community integration, independence, and increase, maintain, or improve functional capabilities of participants. Allowable technology services, as specified in the participant's IPP include, but are not limited to:

1. Evaluation of technology needs of a participant, including a functional evaluation of the impact of the provision of appropriate technology and appropriate services to the participant in the customary environment of the participant;
2. Purchasing, leasing, or otherwise providing for the acquisition of any technology device; including but not limited to cell phones (monthly bill, cell phone apps), iPads, tablets, laptops, GPS affixed to clothing (safety), service includes insurance and training on the use of any technology devices.
3. Acquiring remote monitoring equipment used to operate systems such as live video feed, live audio feed, motion sensing system, radio frequency identification, web-based monitoring system, or other device approved by the department. Equipment used to engage in live two-way communication with the individual being monitored.
4. Selecting, designing, fitting, customizing, adapting, applying, maintaining, repairing, or replacing technology devices;
5. Training or technical assistance for the participant, or where appropriate, their family members, guardians, advocates, or authorized representatives of the participant; and
6. Training or technical assistance for professionals or other individuals who provide services to, employ, or are otherwise substantially involved in the major life functions of participant.

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**
 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	Business entity
Individual	Individual

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Technology****Provider Category:**

Agency ▾

Provider Type:

Business entity

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Technology****Provider Category:**

Individual ▾

Provider Type:

Individual

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Training and Counseling Services for Unpaid Caregivers

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):**

Training and counseling services for individuals who provide unpaid support, training, companionship or supervision to participants. For purposes of this service, "individual" is defined as any person, family member, neighbor, friend, companion or co-worker who provides uncompensated care, training, guidance, companionship or support to a person served on the waiver. This service may not be provided to train paid caregivers. Training includes instruction about services and supports included in the IPP, use of equipment specified in the IPP, and updates as necessary to safely maintain the participant at home. Counseling must be aimed at assisting the unpaid caregiver in meeting the needs of the participant. All training for individuals who provide unpaid support to the participant must be included in the IPP. The service includes the cost of registration and training fees associated with formal instruction in areas relevant to participant needs identified in the IPP. The costs for travel, meals and overnight lodging to attend a training event or conference are not covered under this service definition.

Specifiy 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**
 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	Business entity
Individual	Individual

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Training and Counseling Services for Unpaid Caregivers****Provider Category:**

Agency ▾

Provider Type:

Business entity

Provider Qualifications**License** (*specify*):

Providers must possess any valid license or certification required by State or local law

Certificate (*specify*):
Other Standard (*specify*):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Training and Counseling Services for Unpaid Caregivers****Provider Category:**

Individual ▾

Provider Type:

Individual

Provider Qualifications**License** (*specify*):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

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: Other 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):**

Transition/Set Up Expenses are one-time, non-recurring set-up expenses to assist individuals who are transitioning from an institution to their own home in the community. 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.

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**
- 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	Business entity
Individual	Individual

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Transition/Set Up Expenses: Other Service

Provider Category:

Agency

Provider Type:

Business entity

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Transition/Set Up Expenses: Other Service

Provider Category:

Individual 

Provider Type:

Individual

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):



Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications

Entity Responsible for Verification:

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

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 to gain access to the Self-Determination Program waiver and community services, employment, activities and resources, and participate in community life as specified by their Individual Program Plan. 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. 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, the use of natural supports, such as family, neighbors, friends, or community agencies which can provide this service without charge will be utilized.

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
- 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	Individual
Agency	Business entity

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Transportation

Provider Category:

Provider Type:

Individual

Provider Qualifications

License (specify):

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Other Service

Service Name: Transportation

Provider Category:

Agency

Provider Type:

Business entity

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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 participants to increase their independence, enable them to integrate more fully into the community, and to ensure their health and safety. The repair, maintenance, installation, and training in the care and use, of these items are included. Vehicle adaptations must be performed by the adaptive equipment manufacturer's authorized dealer. Repairs to and maintenance of such equipment shall be performed by the manufacturer's authorized dealer where possible.

Vehicle adaptations include, but are not limited to, the following:

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**
 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	Individual
Agency	Business entity

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:

Individual

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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:

Business entity

Provider Qualifications**License (specify):**

Providers must possess any valid license or certification required by State or local law

Certificate (specify):

Other Standard (specify):

Services are provided by individuals who have the skills and abilities necessary to meet the unique needs and preferences of the participant as specified in the participant's IPP.

Verification of Provider Qualifications**Entity Responsible for Verification:**

FMS and participant verify that the provider possesses the necessary license and/or certificate and meets other standards as applicable.

Frequency of Verification:

Upon selection and ongoing thereafter through the IPP process.

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

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):

Individuals who provide direct personal care services to participants are required to obtain a criminal background check consistent with the process described in Welfare and Institutions Code Sections 4689.2 to 4689.6. Additionally, a participant or their financial management service (FMS) provider may request providers of other services and supports to obtain a criminal background check. FMS providers ensure that background checks for applicable service providers have been completed.

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):

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).**

i. **Types of Facilities Subject to §1616(e).** Complete the following table for each type of facility subject to §1616(e) of the Act:

Facility Type	
Residential Care Facility for the Elderly (RCFE)	
Group Homes	
Small Family Homes	
Foster Family Homes	
Adult Residential Facility	
Adult Residential Facility for Persons with Special Health Care Needs	

ii. **Larger Facilities:** In the case of residential facilities subject to §1616(e) that serve four or more individuals unrelated to the proprietor, describe how a home and community character is maintained in these settings.

N/A

Appendix C: Participant Services

C-2: Facility Specifications

Facility Type:

Residential Care Facility for the Elderly (RCFE)

Waiver Service(s) Provided in Facility:

Waiver Service	Provided in Facility
Communication Support	<input type="checkbox"/>
Advocacy Services	<input type="checkbox"/>
Behavioral Intervention Services	<input type="checkbox"/>
Home Health Aide	<input type="checkbox"/>
Family Assistance and Supports	<input type="checkbox"/>

Waiver Service	Provided in Facility
Financial Management Service	<input type="checkbox"/>
Dental Services	<input type="checkbox"/>
Environmental Accessibility Adaptations	<input type="checkbox"/>
Community Living Supports	<input checked="" type="checkbox"/>
Crisis Intervention and Support	<input type="checkbox"/>
Community Integration and Employment Supports	<input type="checkbox"/>
Optometric/Optician Services	<input type="checkbox"/>
Nutritional Consultation	<input type="checkbox"/>
Live-In Caregiver	<input type="checkbox"/>
Lenses and Frames	<input type="checkbox"/>
Integrative Therapies	<input type="checkbox"/>
Individual Training and Education	<input type="checkbox"/>
Housing Access Supports	<input type="checkbox"/>
Independent Facilitator	<input type="checkbox"/>
Speech, Hearing and Language Services	<input type="checkbox"/>
Homemaker	<input type="checkbox"/>
Specialized Therapeutic Services	<input type="checkbox"/>
Specialized Medical Equipment and Supplies	<input type="checkbox"/>
Skilled Nursing	<input type="checkbox"/>
Respite Services	<input checked="" type="checkbox"/>
Psychology Services	<input type="checkbox"/>
Personal Emergency Response Systems (PERS)	<input type="checkbox"/>
Participant-Directed Goods and Services	<input type="checkbox"/>
Training and Counseling Services for Unpaid Caregivers	<input type="checkbox"/>
Technology	<input type="checkbox"/>
Transportation	<input type="checkbox"/>
Transition/Set Up Expenses: Other Service	<input type="checkbox"/>
Vehicle Modifications and Adaptations	<input type="checkbox"/>

Facility Capacity Limit:

4

Scope of Facility Standards. For this facility type, please specify whether the State's standards address the following topics (*check each that applies*):

Scope of State Facility Standards	
Standard	Topic Addressed
Admission policies	<input checked="" type="checkbox"/>
Physical environment	<input checked="" type="checkbox"/>
Sanitation	<input type="checkbox"/>

Standard	Topic Addressed
	<input checked="" type="checkbox"/>
Safety	<input checked="" type="checkbox"/>
Staff : resident ratios	<input checked="" type="checkbox"/>
Staff training and qualifications	<input checked="" type="checkbox"/>
Staff supervision	<input checked="" type="checkbox"/>
Resident rights	<input checked="" type="checkbox"/>
Medication administration	<input checked="" type="checkbox"/>
Use of restrictive interventions	<input checked="" type="checkbox"/>
Incident reporting	<input checked="" type="checkbox"/>
Provision of or arrangement for necessary health services	<input checked="" type="checkbox"/>

When facility standards do not address one or more of the topics listed, explain why the standard is not included or is not relevant to the facility type or population. Explain how the health and welfare of participants is assured in the standard area(s) not addressed:

Appendix C: Participant Services

C-2: Facility Specifications

Facility Type:

Group Homes

Waiver Service(s) Provided in Facility:

Waiver Service	Provided in Facility
Communication Support	<input type="checkbox"/>
Advocacy Services	<input type="checkbox"/>
Behavioral Intervention Services	<input type="checkbox"/>
Home Health Aide	<input type="checkbox"/>
Family Assistance and Supports	<input type="checkbox"/>
Financial Management Service	<input type="checkbox"/>
Dental Services	<input type="checkbox"/>
Environmental Accessibility Adaptations	<input type="checkbox"/>
Community Living Supports	<input checked="" type="checkbox"/>
Crisis Intervention and Support	<input type="checkbox"/>
Community Integration and Employment Supports	<input type="checkbox"/>
Optometric/Optician Services	<input type="checkbox"/>
Nutritional Consultation	<input type="checkbox"/>
Live-In Caregiver	<input type="checkbox"/>
Lenses and Frames	<input type="checkbox"/>
Integrative Therapies	<input type="checkbox"/>

Waiver Service	Provided in Facility
Individual Training and Education	<input type="checkbox"/>
Housing Access Supports	<input type="checkbox"/>
Independent Facilitator	<input type="checkbox"/>
Speech, Hearing and Language Services	<input type="checkbox"/>
Homemaker	<input type="checkbox"/>
Specialized Therapeutic Services	<input type="checkbox"/>
Specialized Medical Equipment and Supplies	<input type="checkbox"/>
Skilled Nursing	<input type="checkbox"/>
Respite Services	<input checked="" type="checkbox"/>
Psychology Services	<input type="checkbox"/>
Personal Emergency Response Systems (PERS)	<input type="checkbox"/>
Participant-Directed Goods and Services	<input type="checkbox"/>
Training and Counseling Services for Unpaid Caregivers	<input type="checkbox"/>
Technology	<input type="checkbox"/>
Transportation	<input type="checkbox"/>
Transition/Set Up Expenses: Other Service	<input type="checkbox"/>
Vehicle Modifications and Adaptations	<input type="checkbox"/>

Facility Capacity Limit:

4

Scope of Facility Sandards. For this facility type, please specify whether the State's standards address the following topics (*check each that applies*):

Scope of State Facility Standards	
Standard	Topic Addressed
Admission policies	<input checked="" type="checkbox"/>
Physical environment	<input checked="" type="checkbox"/>
Sanitation	<input checked="" type="checkbox"/>
Safety	<input checked="" type="checkbox"/>
Staff : resident ratios	<input checked="" type="checkbox"/>
Staff training and qualifications	<input checked="" type="checkbox"/>
Staff supervision	<input checked="" type="checkbox"/>
Resident rights	<input checked="" type="checkbox"/>
Medication administration	<input checked="" type="checkbox"/>
Use of restrictive interventions	<input checked="" type="checkbox"/>
Incident reporting	<input checked="" type="checkbox"/>
Provision of or arrangement for necessary health services	<input checked="" type="checkbox"/>

When facility standards do not address one or more of the topics listed, explain why the standard is not included or is not relevant to the facility type or population. Explain how the health and welfare of participants is assured in the standard area(s) not addressed:

Appendix C: Participant Services

C-2: Facility Specifications

Facility Type:

Small Family Homes

Waiver Service(s) Provided in Facility:

Waiver Service	Provided in Facility
Communication Support	<input type="checkbox"/>
Advocacy Services	<input type="checkbox"/>
Behavioral Intervention Services	<input type="checkbox"/>
Home Health Aide	<input type="checkbox"/>
Family Assistance and Supports	<input type="checkbox"/>
Financial Management Service	<input type="checkbox"/>
Dental Services	<input type="checkbox"/>
Environmental Accessibility Adaptations	<input type="checkbox"/>
Community Living Supports	<input checked="" type="checkbox"/>
Crisis Intervention and Support	<input type="checkbox"/>
Community Integration and Employment Supports	<input type="checkbox"/>
Optometric/Optician Services	<input type="checkbox"/>
Nutritional Consultation	<input type="checkbox"/>
Live-In Caregiver	<input type="checkbox"/>
Lenses and Frames	<input type="checkbox"/>
Integrative Therapies	<input type="checkbox"/>
Individual Training and Education	<input type="checkbox"/>
Housing Access Supports	<input type="checkbox"/>
Independent Facilitator	<input type="checkbox"/>
Speech, Hearing and Language Services	<input type="checkbox"/>
Homemaker	<input type="checkbox"/>
Specialized Therapeutic Services	<input type="checkbox"/>
Specialized Medical Equipment and Supplies	<input type="checkbox"/>
Skilled Nursing	<input type="checkbox"/>
Respite Services	<input checked="" type="checkbox"/>
Psychology Services	<input type="checkbox"/>
Personal Emergency Response Systems (PERS)	<input type="checkbox"/>
Participant-Directed Goods and Services	<input type="checkbox"/>

Waiver Service	Provided in Facility
Training and Counseling Services for Unpaid Caregivers	<input type="checkbox"/>
Technology	<input type="checkbox"/>
Transportation	<input type="checkbox"/>
Transition/Set Up Expenses: Other Service	<input type="checkbox"/>
Vehicle Modifications and Adaptations	<input type="checkbox"/>

Facility Capacity Limit:

4

Scope of Facility Sandards. For this facility type, please specify whether the State's standards address the following topics (*check each that applies*):

Scope of State Facility Standards	
Standard	Topic Addressed
Admission policies	<input checked="" type="checkbox"/>
Physical environment	<input checked="" type="checkbox"/>
Sanitation	<input checked="" type="checkbox"/>
Safety	<input checked="" type="checkbox"/>
Staff : resident ratios	<input checked="" type="checkbox"/>
Staff training and qualifications	<input checked="" type="checkbox"/>
Staff supervision	<input checked="" type="checkbox"/>
Resident rights	<input checked="" type="checkbox"/>
Medication administration	<input checked="" type="checkbox"/>
Use of restrictive interventions	<input checked="" type="checkbox"/>
Incident reporting	<input checked="" type="checkbox"/>
Provision of or arrangement for necessary health services	<input checked="" type="checkbox"/>

When facility standards do not address one or more of the topics listed, explain why the standard is not included or is not relevant to the facility type or population. Explain how the health and welfare of participants is assured in the standard area(s) not addressed:

Appendix C: Participant Services

C-2: Facility Specifications

Facility Type:

Foster Family Homes

Waiver Service(s) Provided in Facility:

Waiver Service	Provided in Facility
Communication Support	<input type="checkbox"/>
Advocacy Services	<input type="checkbox"/>
Behavioral Intervention Services	

Waiver Service	Provided in Facility
	<input type="checkbox"/>
Home Health Aide	<input type="checkbox"/>
Family Assistance and Supports	<input type="checkbox"/>
Financial Management Service	<input type="checkbox"/>
Dental Services	<input type="checkbox"/>
Environmental Accessibility Adaptations	<input type="checkbox"/>
Community Living Supports	<input checked="" type="checkbox"/>
Crisis Intervention and Support	<input type="checkbox"/>
Community Integration and Employment Supports	<input type="checkbox"/>
Optometric/Optician Services	<input type="checkbox"/>
Nutritional Consultation	<input type="checkbox"/>
Live-In Caregiver	<input type="checkbox"/>
Lenses and Frames	<input type="checkbox"/>
Integrative Therapies	<input type="checkbox"/>
Individual Training and Education	<input type="checkbox"/>
Housing Access Supports	<input type="checkbox"/>
Independent Facilitator	<input type="checkbox"/>
Speech, Hearing and Language Services	<input type="checkbox"/>
Homemaker	<input type="checkbox"/>
Specialized Therapeutic Services	<input type="checkbox"/>
Specialized Medical Equipment and Supplies	<input type="checkbox"/>
Skilled Nursing	<input type="checkbox"/>
Respite Services	<input checked="" type="checkbox"/>
Psychology Services	<input type="checkbox"/>
Personal Emergency Response Systems (PERS)	<input type="checkbox"/>
Participant-Directed Goods and Services	<input type="checkbox"/>
Training and Counseling Services for Unpaid Caregivers	<input type="checkbox"/>
Technology	<input type="checkbox"/>
Transportation	<input type="checkbox"/>
Transition/Set Up Expenses: Other Service	<input type="checkbox"/>
Vehicle Modifications and Adaptations	<input type="checkbox"/>

Facility Capacity Limit:

4

Scope of Facility Standards. For this facility type, please specify whether the State's standards address the following topics (*check each that applies*):

Scope of State Facility Standards

Standard	Topic Addressed
Admission policies	<input checked="" type="checkbox"/>
Physical environment	<input checked="" type="checkbox"/>
Sanitation	<input checked="" type="checkbox"/>
Safety	<input checked="" type="checkbox"/>
Staff : resident ratios	<input checked="" type="checkbox"/>
Staff training and qualifications	<input checked="" type="checkbox"/>
Staff supervision	<input checked="" type="checkbox"/>
Resident rights	<input checked="" type="checkbox"/>
Medication administration	<input checked="" type="checkbox"/>
Use of restrictive interventions	<input checked="" type="checkbox"/>
Incident reporting	<input checked="" type="checkbox"/>
Provision of or arrangement for necessary health services	<input checked="" type="checkbox"/>

When facility standards do not address one or more of the topics listed, explain why the standard is not included or is not relevant to the facility type or population. Explain how the health and welfare of participants is assured in the standard area(s) not addressed:

Appendix C: Participant Services

C-2: Facility Specifications

Facility Type:

Adult Residential Facility

Waiver Service(s) Provided in Facility:

Waiver Service	Provided in Facility
Communication Support	<input type="checkbox"/>
Advocacy Services	<input type="checkbox"/>
Behavioral Intervention Services	<input type="checkbox"/>
Home Health Aide	<input type="checkbox"/>
Family Assistance and Supports	<input type="checkbox"/>
Financial Management Service	<input type="checkbox"/>
Dental Services	<input type="checkbox"/>
Environmental Accessibility Adaptations	<input type="checkbox"/>
Community Living Supports	<input checked="" type="checkbox"/>
Crisis Intervention and Support	<input type="checkbox"/>
Community Integration and Employment Supports	<input type="checkbox"/>
Optometric/Optician Services	<input type="checkbox"/>
Nutritional Consultation	<input type="checkbox"/>
Live-In Caregiver	<input type="checkbox"/>

Waiver Service	Provided in Facility
Lenses and Frames	<input type="checkbox"/>
Integrative Therapies	<input type="checkbox"/>
Individual Training and Education	<input type="checkbox"/>
Housing Access Supports	<input type="checkbox"/>
Independent Facilitator	<input type="checkbox"/>
Speech, Hearing and Language Services	<input type="checkbox"/>
Homemaker	<input type="checkbox"/>
Specialized Therapeutic Services	<input type="checkbox"/>
Specialized Medical Equipment and Supplies	<input type="checkbox"/>
Skilled Nursing	<input type="checkbox"/>
Respite Services	<input checked="" type="checkbox"/>
Psychology Services	<input type="checkbox"/>
Personal Emergency Response Systems (PERS)	<input type="checkbox"/>
Participant-Directed Goods and Services	<input type="checkbox"/>
Training and Counseling Services for Unpaid Caregivers	<input type="checkbox"/>
Technology	<input type="checkbox"/>
Transportation	<input type="checkbox"/>
Transition/Set Up Expenses: Other Service	<input type="checkbox"/>
Vehicle Modifications and Adaptations	<input type="checkbox"/>

Facility Capacity Limit:

4

Scope of Facility Sandards. For this facility type, please specify whether the State's standards address the following topics (*check each that applies*):

Scope of State Facility Standards	
Standard	Topic Addressed
Admission policies	<input checked="" type="checkbox"/>
Physical environment	<input checked="" type="checkbox"/>
Sanitation	<input checked="" type="checkbox"/>
Safety	<input checked="" type="checkbox"/>
Staff : resident ratios	<input checked="" type="checkbox"/>
Staff training and qualifications	<input checked="" type="checkbox"/>
Staff supervision	<input checked="" type="checkbox"/>
Resident rights	<input checked="" type="checkbox"/>
Medication administration	<input checked="" type="checkbox"/>
Use of restrictive interventions	<input checked="" type="checkbox"/>
Incident reporting	<input checked="" type="checkbox"/>
Provision of or arrangement for necessary health services	<input checked="" type="checkbox"/>

When facility standards do not address one or more of the topics listed, explain why the standard is not included or is not relevant to the facility type or population. Explain how the health and welfare of participants is assured in the standard area(s) not addressed:

Appendix C: Participant Services

C-2: Facility Specifications

Facility Type:

Adult Residential Facility for Persons with Special Health Care Needs

Waiver Service(s) Provided in Facility:

Waiver Service	Provided in Facility
Communication Support	<input type="checkbox"/>
Advocacy Services	<input type="checkbox"/>
Behavioral Intervention Services	<input type="checkbox"/>
Home Health Aide	<input type="checkbox"/>
Family Assistance and Supports	<input type="checkbox"/>
Financial Management Service	<input type="checkbox"/>
Dental Services	<input type="checkbox"/>
Environmental Accessibility Adaptations	<input type="checkbox"/>
Community Living Supports	<input checked="" type="checkbox"/>
Crisis Intervention and Support	<input type="checkbox"/>
Community Integration and Employment Supports	<input type="checkbox"/>
Optometric/Optician Services	<input type="checkbox"/>
Nutritional Consultation	<input type="checkbox"/>
Live-In Caregiver	<input type="checkbox"/>
Lenses and Frames	<input type="checkbox"/>
Integrative Therapies	<input type="checkbox"/>
Individual Training and Education	<input type="checkbox"/>
Housing Access Supports	<input type="checkbox"/>
Independent Facilitator	<input type="checkbox"/>
Speech, Hearing and Language Services	<input type="checkbox"/>
Homemaker	<input type="checkbox"/>
Specialized Therapeutic Services	<input type="checkbox"/>
Specialized Medical Equipment and Supplies	<input type="checkbox"/>
Skilled Nursing	<input type="checkbox"/>
Respite Services	<input checked="" type="checkbox"/>
Psychology Services	<input type="checkbox"/>

Waiver Service	Provided in Facility
Personal Emergency Response Systems (PERS)	<input type="checkbox"/>
Participant-Directed Goods and Services	<input type="checkbox"/>
Training and Counseling Services for Unpaid Caregivers	<input type="checkbox"/>
Technology	<input type="checkbox"/>
Transportation	<input type="checkbox"/>
Transition/Set Up Expenses: Other Service	<input type="checkbox"/>
Vehicle Modifications and Adaptations	<input type="checkbox"/>

Facility Capacity Limit:

4

Scope of Facility Sandards. For this facility type, please specify whether the State's standards address the following topics (*check each that applies*):

Scope of State Facility Standards	
Standard	Topic Addressed
Admission policies	<input checked="" type="checkbox"/>
Physical environment	<input checked="" type="checkbox"/>
Sanitation	<input checked="" type="checkbox"/>
Safety	<input checked="" type="checkbox"/>
Staff : resident ratios	<input checked="" type="checkbox"/>
Staff training and qualifications	<input checked="" type="checkbox"/>
Staff supervision	<input checked="" type="checkbox"/>
Resident rights	<input checked="" type="checkbox"/>
Medication administration	<input checked="" type="checkbox"/>
Use of restrictive interventions	<input checked="" type="checkbox"/>
Incident reporting	<input checked="" type="checkbox"/>
Provision of or arrangement for necessary health services	<input checked="" type="checkbox"/>

When facility standards do not address one or more of the topics listed, explain why the standard is not included or is not relevant to the facility type or population. Explain how the health and welfare of participants is assured in the standard area(s) not addressed:

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.*

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 held to the same 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:

Financial Management Services (FMS) providers must go through the vendorization process. This process, including provider qualifications, is referenced in the California Code of Regulations, Title 17, Division 2, Chapter 3, Subchapter 2. All FMS 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. For all services other than FMS, participants are free to choose any provider that meets the qualifications identified in the Waiver.

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 meet all required standards prior to furnishing waiver services. Numerator = number of providers that initially meet all required standards prior to furnishing waiver services; denominator = number of providers reviewed.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Record reviews conducted during State's SDP Waiver Monitoring Reviews.

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>

	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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):

Record reviews, on-site

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample

		Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: Department of Social Services (DSS)	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: Department of Social Services	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input checked="" type="checkbox"/> 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 meet all required standards prior to furnishing waiver services. Numerator = number of providers that initially meet all required standards prior to furnishing waiver services; denominator = number of providers reviewed.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Record reviews conducted during State's SDP Waiver Monitoring Reviews.

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input type="text"/>	
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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):

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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>

	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

- 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.

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 SDP 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(<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: DSS	<input checked="" type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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.

It is anticipated that most SDP participants will reside in the community in their own homes or in a housing unit that is rented or occupied under the State's landlord tenant laws. In these instances, the State presumes the settings meet the characteristics of home and community-based settings.

For participants that choose to reside or receive services in licensed/certified settings, the setting must conform with the following:

1. The setting is integrated in and supports full access of individuals receiving Medicaid HCBS to the greater community, including opportunities to seek employment and work in competitive integrated settings, engage in community life, control personal resources, and receive services in the community, to the same degree of access as individuals not receiving Medicaid HCBS.
2. The setting is selected by the individual from among setting options including non-disability specific settings and an option for a private unit in a residential setting
3. Ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.
4. Optimizes, but does not regiment, individual initiative, autonomy, and independence in making life choices, including but not limited to, daily activities, physical environment, and with whom to interact.
5. Facilitates individual choice regarding services and supports, and who provides them.

In a provider-owned or controlled residential setting, in addition to the qualities specified above, the following additional conditions must be met:

- The unit or dwelling is a specific physical place that can be owned, rented, or occupied under a legally enforceable

agreement by the individual receiving services, and the individual has, at a minimum, the same responsibilities and protections from eviction that tenants have under the landlord/tenant law of the State, county, city, or other designated entity.

1. Each individual has privacy in their sleeping or living unit:

- Units have entrance doors lockable by the individual, with only appropriate staff having keys to doors.
- Individuals sharing units have a choice of roommates in that setting.
- Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement.

2. Individuals have the freedom and support to control their own schedules and activities, and have access to food at any time.

3. Individuals are able to have visitors of their choosing at any time.

4. The setting is physically accessible to the individual.

5. The unit or dwelling may be shared by no more than four waiver participants.

6. Any modification of the additional conditions specified in items 1 through 4 above, must be supported by a specific assessed need and justified in the individual program plan (IPP). The following requirements must be documented in the (IPP):

- Identify a specific and individualized assessed need.
- Document the positive interventions and supports used prior to any modifications to the IPP.
- Document less intrusive methods of meeting the need that have been tried but did not work.
- Include a clear description of the condition that is directly proportionate to the specific assessed need.
- Include regular collection and review of data to measure the ongoing effectiveness of the modification.
- Include established time limits for periodic reviews to determine if the modification is still necessary or can be terminated.
- Include the informed consent of the individual.
- Include an assurance that interventions and supports will cause no harm to the individual.

Compliance with the standards above is a requirement for SDP providers. Prior to the provision of SDP services, the IPP planning team, in conjunction with the financial management services (FMS) provider, will conduct an assessment of any licensed/certified setting, if chosen by an SDP participant, to determine the standards are met. The assessment will include a review and verification that each of the standards identified above are met as applicable for the type of setting. The completed assessment document will be maintained by the regional center and FMS provider. The FMS provider will not approve payments to any applicable providers that are not deemed in compliance with the standards included in this Appendix.

To monitor on-going compliance, the IPP planning team will annually reassess the setting to determine that the standards continue to be met. The results of this reassessment must be maintained by the regional center and FMS provider.

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)
- 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 participant is central in the service plan development process and 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 participant, 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 participant, other individuals, including service providers, may receive notice of the meeting and participate in the development of the IPP.

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 by the planning team through a process of individualized needs determination. The planning team, at a minimum, consists of the participant, 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 participant/conservator, other individuals, including but not limited to, Financial Management Service (FMS) providers and other 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 to determine the life goals, capabilities and strengths, preferences, barriers to community integration, and concerns or problems of the participant. 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 needs (medical, dental, and mental health), as well as behavioral and safety risks that may require the development of mitigation strategies. Information to aide in the assessment is obtained from the participant, 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 participant 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. The IPP identifies the providers responsible for implementing services that address the agreed upon goals and objectives. The IPP includes all services, including those purchased by the participant using their SDP individual budget 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 is reviewed at least annually and, when needed, modified by the planning team at a time and location that is convenient to the participant. 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. 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. The comprehensive person-centered planning includes the development of an individual budget that is based on the amount of purchase of service (POS) funds used by the individual in the most recent 12-months and can be adjusted, up or down, if the IPP team determines that the individual's needs, circumstances, or resources has changed. Additionally, the IPP team may adjust the budget to support prior needs or resources that were not addressed in the IPP. For those individuals that are new to the regional center or do not have a 12-month history of purchase of service costs, the individual budget amount is determined by the IPP team, and is based upon the average POS cost

of services and supports, paid by the regional center, that are identified in the individual's IPP. The completed individual budget must be attached to the IPP. [WIC §4685.8(k)].

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.

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 interdependence, 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.

The IPP will include, as needed, services to assist in responding to emergencies or other unusual situations. Available services may include 24-hour emergency assistance, such as direct service in response to calls for assistance. These services may also include assisting and facilitating the participant's efforts to acquire, use, and maintain devices needed to summon immediate assistance when threats to health, safety, and well-being occur. Additionally, support to become aware of and effectively use the police, fire, and emergency help available in the community is available.

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.

Participants are informed about the types of services available in the self-determination program (SDP) and strategies for selecting providers during the required SDP orientation and through available trainings. Additionally, through the person-centered planning process, the case manager informs the participant and/or his or her legal representative about available services that meet the participant's needs. Participants may meet with service providers before selecting services to be incorporated into the IPP. The participant's choice of providers includes consideration of, among other things, the provider's ability to achieve the objectives set forth in the participant'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 SDP Waiver monitoring reviews, a representative, random sample of participant IPPs is reviewed to ensure all service plan requirements have been met. The Department of Health Care Services will either participate in the monitoring reviews with DDS or conduct a review of DDS' monitoring working documents.

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 Center

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. At least annually, all IPPs are reviewed to determine that planned services have been provided, that sufficient progress has been made on the consumers' goals and objectives, and that consumers and families are satisfied with the individual program plan and its implementation.

For consumers who do not live with their families, quarterly face-to-face monitoring is required to monitor the consumer's health, safety and well-being, assess the effectiveness of services and monitor progress in meeting the identified goals.

Further, as part of the SDP Waiver monitoring reviews, a representative sample of consumer IPPs is reviewed to ensure IPP implementation monitoring is being completed.

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 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 SDP Waiver Monitoring Reviews.

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other	

	Specify: Reviews are conducted at each regional center (RC) every two years.	
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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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>

Performance Measure:

Number and percent of consumer IPPs that addressed the consumer’s identified health needs and safety risks. Numerator = number of consumer IPPs reviewed that addressed 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 SDP 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified

		Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

Performance Measure:

Number and percent of consumer IPPs that addressed the consumer's goals.

Numerator = number of consumer IPPs reviewed that addressed 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 SDP 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	

		<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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 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 SDP 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>

	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	
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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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>

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 IPPs reviewed.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Record reviews conducted during State's SDP Waiver Monitoring Reviews.

Responsible Party for data		Sampling Approach (check each that applies):
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collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

- e. **Sub-assurance: Participants are afforded choice: Between waiver services and institutional care; and 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 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 SDP 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

- 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 service plan issues identified during the SDP Waiver Monitoring Reviews will be documented in monitoring reports which will be sent to the regional centers with the State’s recommendations for resolution. The regional centers plans for correction submitted in response to the State’s recommendations will be evaluated and approved by DHCS and DDS before the final monitoring report is issued to the regional center.

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

Responsible Party(<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>

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.

The SDP Waiver is designed to afford participants the opportunity to self- determine and directly manage all services and supports identified in their IPP. Utilizing a person-centered planning process, the participant and, where appropriate, his or her parents, legal guardian or conservator, or authorized representative, regional center case manager, Financial Management Services (FMS), and Independent Facilitator (IF) (when requested by the participant) shall identify the services and supports that will meet their needs.

The SDP Waiver provides the participant with both Budget Authority and Employer Authority. The Budget Authority provides the participant, or his or her parents, legal guardian or conservator, or authorized representative, with decision-making authority over a budget for waiver services. Each participant shall exercise Budget Authority over all participant-determined services in the IPP. The Employer Authority provides the mechanism for a participant to exercise the full-range of decision-making about whom he/she will employ.

The planning team, including the participant, his or her parents, legal guardian or conservator, or authorized

representative, regional center case manager, FMS, and IF (when requested by the participant) shall support the participant in the selection and self-determining of services and supports to implement their IPP. Specific types of supports provided by the FMS and IF are described in Appendix C-3.

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.**
- 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.

As part of SDP outreach efforts, each regional center, jointly with consumer or family-run organizations, conducts periodic local meetings or forums to provide information about the SDP Waiver to participants and families.

When an individual or family expresses interest in participating in the SDP Waiver, a mandatory orientation is provided to the participant by their local regional center prior to enrollment in the SDP. This orientation is designed to prepare the individual for the benefits and increased responsibilities associated with the self-determination service-delivery model, as well as to provide information regarding transitioning to the SDP Waiver. Among the topics to be included in the required orientation are the principles of self-determination, the person-centered planning process, the IPP and individual budget development, the roles and responsibilities of the participant, and that of the regional center, Financial Management Services (FMS) provider, the independent facilitator, and SDP service providers.

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:

Participants (or their authorized, legal representative) have the opportunity to choose who may assist them in directing their services. The participant determines the extent the assistance/decision making that a non-legal representative may provide.

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
Communication Support	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Advocacy Services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Behavioral Intervention Services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Home Health Aide	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Family Assistance and Supports	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Waiver Service	Employer Authority	Budget Authority
Financial Management Service	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Dental Services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Environmental Accessibility Adaptations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Community Living Supports	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Crisis Intervention and Support	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Community Integration and Employment Supports	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Optometric/Optician Services	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Nutritional Consultation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Live-In Caregiver	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Lenses and Frames	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Integrative Therapies	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Individual Training and Education	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Housing Access Supports	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Independent Facilitator	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Speech, Hearing and Language Services	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Homemaker	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Specialized Therapeutic Services	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Specialized Medical Equipment and Supplies	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Skilled Nursing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Respite Services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Psychology Services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Personal Emergency Response Systems (PERS)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Participant-Directed Goods and Services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Training and Counseling Services for Unpaid Caregivers	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Technology	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Transportation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Transition/Set Up Expenses: Other Service	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Vehicle Modifications and Adaptations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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 FMS assists the participant to manage and direct the distribution of funds contained in the individual budget, and ensure that the participant has the financial resources to implement his or her Individual Program Plan (IPP) throughout the year.

This service includes the following activities to assist the participant in their role as either the employer or co-employer:

1. Assisting the participant in verifying worker's eligibility for employment and provider qualifications
2. Ensuring service providers employed by the participant meet criminal background checks as required and as requested by the participant.
3. Collecting and processing timesheets of workers.
4. Processing payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance.
5. Tracking, preparing and distributing reports (e.g., expenditure) to appropriate individual(s)/entities.
6. Maintaining all source documentation related to the authorized service(s) and expenditures.
7. Maintaining a separate accounting for each participant's participant-directed funds.
8. Providing the participant and the regional center service coordinator with a monthly individual budget statement that describes the amount of funds allocated by budget category, the amount spent in the previous 30-day period, and the amount of funding that remains available under the participant's individual budget.
9. Ensuring payments do not exceed the amounts outlined in the participant's individual budget
10. Fulfilling other FMS responsibilities as mandated by local, state and federal laws and regulations.

- ii. Payment for FMS.** Specify how FMS entities are compensated for the administrative activities that they perform:

The costs of financial management services shall be paid by the participant out of his or her individual budget. The amount of the individual budget shall not be increased to cover the cost of an independent facilitator or the financial management services.

- 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:

- Assist participant in verifying support worker citizenship status**
- Collect and process timesheets of support workers**
- Process payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance**
- Other**

Specify:

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 of 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 Department of Health Care Services (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:

All participants have an assigned regional center case manager. Case managers furnish the following types of information and assistance in support of participant self-determination:

- Facilitate the development of the individual program plan (IPP.)
- Provide information related to orientation, training and technical assistance with respect to self-determination and other resources available through the regional center or from other sources in the community so the participant can make an informed decision about the self-determination method of service delivery.
- Review and document the participant's progress to achieving IPP objectives and management of individual beget.

- 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
Communication Support	<input type="checkbox"/>
Advocacy Services	<input type="checkbox"/>
Behavioral Intervention Services	<input type="checkbox"/>
Home Health Aide	<input type="checkbox"/>
Family Assistance and Supports	<input type="checkbox"/>
Financial Management Service	<input type="checkbox"/>
Dental Services	<input type="checkbox"/>
Environmental Accessibility Adaptations	<input type="checkbox"/>
Community Living Supports	<input type="checkbox"/>
Crisis Intervention and Support	<input type="checkbox"/>
Community Integration and Employment Supports	<input type="checkbox"/>
Optometric/Optician Services	<input type="checkbox"/>
Nutritional Consultation	<input type="checkbox"/>
Live-In Caregiver	<input type="checkbox"/>
Lenses and Frames	<input type="checkbox"/>
Integrative Therapies	<input type="checkbox"/>
Individual Training and Education	<input type="checkbox"/>
Housing Access Supports	<input type="checkbox"/>
Independent Facilitator	<input checked="" type="checkbox"/>
Speech, Hearing and Language Services	<input type="checkbox"/>
Homemaker	<input type="checkbox"/>
Specialized Therapeutic Services	<input type="checkbox"/>
Specialized Medical Equipment and Supplies	<input type="checkbox"/>
Skilled Nursing	<input type="checkbox"/>
Respite Services	<input type="checkbox"/>
Psychology Services	<input type="checkbox"/>
Personal Emergency Response Systems (PERS)	<input type="checkbox"/>

Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
Participant-Directed Goods and Services	<input type="checkbox"/>
Training and Counseling Services for Unpaid Caregivers	<input type="checkbox"/>
Technology	<input type="checkbox"/>
Transportation	<input type="checkbox"/>
Transition/Set Up Expenses: Other Service	<input type="checkbox"/>
Vehicle Modifications and Adaptations	<input type="checkbox"/>

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:

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 California’s protection & advocacy organization, Disability Rights California (DRC). This service is available through a contract funded by the California Department of Developmental Services. OCRA employs Clients Rights Advocates (CRA) who provide advocacy services to consumers and their families in each regional center catchment area. The CRAs have been trained to assist people with developmental disabilities in the protection of their rights. The CRA can consult with and help people with developmental disabilities and their families obtain services; directly represent people with developmental disabilities in administrative hearings; and provide training about rights to participants, their families, regional center service providers, and interested community groups. DRC does not provide other direct services or perform other waiver functions that have a direct impact to self-determination participants.

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:

A participant may voluntarily terminate participation in the SDP Waiver at any time. The participant shall notify the regional center case manager of his/her decision to no longer participate in the SDP Waiver and the case manager shall inform the participant of available alternatives.

When the participant expresses interest in receiving alternative services, the regional center case manager shall arrange to convene the IPP planning team to develop a new IPP and initiate actions necessary to transition the individual to the selected alternative. The case manager shall review the current IPP to determine the services that the participant is receiving and consult with the participant or parent, legal guardian or conservator, or authorized representative, to identify the services and supports that are vital to assuring the participant's health and welfare during the interim period until the new IPP is finalized and the participant selects providers vendored through the regional center.

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.

An individual will be involuntarily terminated from the SDP Waiver if the individual no longer meets eligibility criteria.

When the regional center determines that involuntary termination is necessary, the case manager shall inform the participant of available alternatives for obtaining services and supports. The case manager shall review the current IPP to determine the services that the participant is receiving and consult with the participant or parent, legal guardian or conservator, or authorized representative, to identify the services and supports that are vital to assuring the participant's health and welfare during the interim period until the new IPP is finalized and the participant selects providers vendored through the regional center. The regional center case manager shall assure that there will be no gaps in services during the transition.

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	<input type="text"/>	<input type="text" value="1000"/>
Year 2	<input type="text"/>	<input type="text" value="2500"/>
Year 3	<input type="text"/>	<input type="text" value="2500"/>

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:*

- 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 entities function as legal employers in collaboration with family members or participants, acting as Co-Employers. The FMS Co-Employer must possess the ability to collect and process employee time records, assist family members or participants, acting as 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.

- 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:*

- Recruit staff**
 Refer staff to agency for hiring (co-employer)
 Select staff from worker registry
 Hire staff common law employer
 Verify staff qualifications
 Obtain criminal history and/or background investigation of staff

Specify how the costs of such investigations are compensated:

The provider incurs the cost of criminal history and/or background investigations.

- 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.**
 Determine staff duties consistent with the service specifications in Appendix C-1/C-3.
 Determine staff wages and benefits subject to State limits
 Schedule staff
 Orient and instruct staff in duties
 Supervise staff
 Evaluate staff performance
 Verify time worked by staff and approve time sheets
 Discharge staff (common law employer)
 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:

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

- 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.

The individual budget is determined by the IPP team, and is based upon the amount of purchase of service funds used by the participant in the most recent 12-months. This amount can be adjusted, up or down, if the IPP team determines that the participant's needs, circumstances, or resources has changed. Additionally, the IPP team may adjust the budget to support any prior needs or resources that were not addressed in the IPP. For a participant who is either newly eligible for regional center services or who does not have 12 months of purchase of service expenditures, the budget is based upon the average cost of services and supports paid by the regional center that are identified in the individual's IPP. The average cost may be adjusted, up or down, by the regional center, if needed to meet the individual's unique needs.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (4 of 6)

b. Participant - Budget Authority

- 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.

Prior to enrollment in the SDP Program, and based upon the methodology described above, the regional center provides the prospective SDP Waiver participant an initial individual budget amount. During the IPP development process, the consumer selects services and supports available in the SDP waiver to implement their IPP. Each year, the regional center shall determine whether there are any circumstances that require a

change in the amount of the budget. An adjustment may be made to the budget as the participant's circumstances, needs, and resources change. As described in Appendix F, participants are afforded the opportunity to request a fair hearing when the participant's request for a budget adjustment is denied or the amount of the budget is reduced.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (5 of 6)

b. Participant - Budget Authority

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:

The SDP Waiver participant has the authority and flexibility to modify and reallocate services and a support to achieve the desired outcomes described in the IPP and has the ability to reallocate funds within budget categories.

Annually, the participant may transfer up to 10 percent of the funds originally distributed to any budget category to another budget category or categories, without prior approval. Transfers in excess of 10 percent of the original amount allocated to any budget category may be made upon the approval of the regional center or the participant's IPP team.

Changes to the participant's budget are documented by the FMS and reflected in the participant's IPP.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (6 of 6)

b. Participant - Budget Authority

- 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:

The FMS provides the participant and the regional center service coordinator with a monthly individual budget statement that describes the amount of funds allocated by budget category, the amount spent in the previous 30-day period and the amount of funding that remains available under the participant's individual budget. These budget statements can be used to help identify potential issues that may require a review or modification to either the individual budget or individual program plan.

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, Self-Determination Program participants 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/complnt_fh.cfm. Additionally, this information is provided to every participant in a notice whenever any of the events described previously occur.

If a participant requests a fair hearing, a number of options are available to resolve the disagreement. The participant may request an informal meeting with the regional center, or mediation. Consistent with SMM §2902.1, these steps are optional and do not take the place of the State level fair hearing. The participant 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 participant 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 participant 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.) By State statute, and consistent with SMM §2903.5, the Director of DHCS, the State Medicaid Agency, has delegated his authority to adopt final decisions to the Director of OAH.

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:

The Department of Developmental Services

- 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 if the participant believes the regional center or service provider has violated any rights they are entitled to under the law. 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 representative. If the participant or representative is not satisfied with the proposed resolution, the participant or 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 (SIRs) requirements and define the incident types that require a SIR, including:

- The participant is missing and a missing persons report has been filed with a law enforcement agency
- 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 participant 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.

Service providers vendored by the regional centers 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.

- 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 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.

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 reviews 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 activities are completed and entered into the electronic reporting system. DDS has a well-established follow-up system to track "open" SIRs. The system includes regular contact with the regional center.

- 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 management program for persons with developmental disabilities, including those that are SD Waiver participants. DDS carries out this responsibility by:

1. Developing, implementing and maintaining a uniform, statewide automated SIR database system.
2. Reviewing daily all individual SIRs to identify issues or concerns requiring additional follow-up.
3. Revising regulations as needed related to SIR requirements to address new system requirements.
4. Conducting periodic, on-site monitoring visits to review regional center and provider compliance with SIR regulatory requirements, as well as ensuring consistent and accurate reporting.
5. Aggregating and analyzing SIR data by regional centers, risk indicators, client characteristics, programs, incident types, corrective actions, residence, and other relevant factors. Providing such data to the risk management contractor for further analyses and to regional centers for follow-up, as appropriate.
6. 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.
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.

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:

Restraints

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, Community Care Licensing (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. The facility must notify CCL.

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).

^
v

- 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:

^
v

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 SDP Waiver through:

- Daily of review of special incident reports by regional centers
- Quarterly monitoring visits conducted by the regional center service coordinator and the ongoing contact with the participant by the service coordinator.
- Annual or unannounced visits by CCL.

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:

Seclusion

California prohibits placing any person with a developmental disability in seclusion, pursuant to CCR, Title 17 §§50515 and 56089. 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. The facility must notify CCL.

Oversight Responsibility

A special incident report would be filed with the regional center and appropriate licensing/law enforcement agencies 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:

- The consumer's prescribing physician (ongoing)
- Person-centered planning team through their monitoring of the IPP (as needed, and annually at a minimum.)
- Regional centers' monitoring of provider compliance with assisting the consumer in receiving medical care and medication management follow-up pursuant to the IPP (as needed, and quarterly at a minimum.)

Further, the State's mandated statewide competency-based training for direct support professionals employed in regional center vendored community care facilities has modules on medication management, including training on appropriate handling/dispensing of medications.

- 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 which include (but are not limited to), the State's overall risk mitigation and management system and Waiver Monitoring Reviews. 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 - Community Care Licensing (CCL), a review of medication policies/procedures is conducted. CCL 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).

For applicable providers, all of the State's licensing and certification comprehensive requirements (CCR, Title 22) are in effect, including, but not limited to §§80075 and/or 87575.

Additionally, the State's mandated statewide competency-based training for direct support professionals employed in regional center vendored community care facilities has modules on medication management, including training on appropriate handling/dispensing of medications.

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 State 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.

See Appendix G-3-i.

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 instances of 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 with 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: Regional Centers	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: Regional centers, independent risk management contractor	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

- 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	

		<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: Regional Centers, Special incident report (SIR) database	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: Regional centers, independent risk management contractor	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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 <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: regional centers	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: Regional centers, independent risk management contractor	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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 need 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):

Other

If 'Other' is selected, specify:

Record reviews conducted during State’s SDP 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval =

		5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

- 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 (e.g. appropriateness, timeliness, etc.) identified during the SDP Waiver Monitoring Reviews will be documented in monitoring reports which will be sent to the regional centers with the State’s recommendations for resolution. The regional centers plans for correction submitted in response to the

State’s recommendations will be evaluated and approved by DHCS and DDS before the final monitoring report is issued to the regional center.

ii. Remediation Data Aggregation

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

Responsible Party <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 200px; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 200px; margin-top: 5px;"></div>

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 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).

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 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; modification of the State’s required direct support professionals training for individuals employed in community care facilities; 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. DDS has also historically convened workgroups and/or held public forums to obtain input from stakeholders in developing proposals for system changes.

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 <i>(check each that applies):</i>	Frequency of Monitoring and Analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Quality Improvement Committee	<input type="checkbox"/> Annually
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<input checked="" type="checkbox"/> Other Specify: At least 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 SDP 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 Waiver personnel (i.e. qualified intellectual disability professionals). Participation in these committees affords DDS and regional center stakeholders' regular opportunities to review and communicate about system performance and SDP Waiver related policies. DDS' regular participation in these committees is a mechanism through which TA 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. 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 also conducts audits of service providers.

Additionally, specified providers pursuant to State law must obtain an independent audit or review of 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.

As described below, DDS coordinates its activities with DHCS A&I.

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 participate in vendor audit entrance/exit conferences as appropriate.
4. DHCS A&I review draft DDS vendor audit reports and audit working papers.
5. DHCS submits annual report of DHCS A&I's oversight activities to CMS.

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

State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver. (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 percentage of claims coded and paid in accordance with the reimbursement methodology in the approved waiver. Numerator = number of claims coded and paid in accordance with the reimbursement methodology in the approved waiver; denominator = total number of claims reviewed.

Data Source (Select one):

Other

If 'Other' is selected, specify:

DDS Biennial Regional Center audits

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> 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 Source (Select one):

Other

If 'Other' is selected, specify:

DDS audits of regional center vendors

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Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input checked="" type="checkbox"/> Other Specify: DDS fiscal vendor audits are conducted based on a random sample of vendors with annual expenditures over \$100,000 or upon referral.
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

Performance Measure:
Number and percent of claims paid in accordance with the participant’s individual program plan. Numerator = number of claims paid in accordance with the consumer’s individual program plan; denominator = total number of claims for participants reviewed.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Record reviews conducted during State’s SDP Waiver Monitoring Reviews

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	

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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input checked="" type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

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 SDP 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 5
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>

	<input checked="" type="checkbox"/> Other Specify: Reviews are conducted at each regional center (RC) every two years.	
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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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input checked="" type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>

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	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):

collection/generation <i>(check each that applies):</i>		
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input checked="" type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

- 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.

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v

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 <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; text-align: right; padding-right: 5px;"> ^ v </div>	<input checked="" type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; text-align: right; padding-right: 5px;"> ^ v </div>

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.

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v

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).

Rates for all services are negotiated between the waiver participant and each provider selected by the participant. When the participant is the sole employer of an individual who provides a service to the participant, the wage rates negotiated must comply with applicable federal, state and local minimum wages. Should there be any changes in the rate methodology the State will undergo public comment process.

- 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 the FMS entity selected by the participant. These claims are subsequently submitted to DDS, the Organized Health Care Delivery System (OHCD) 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.)

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 on the total costs of services provided to the participant. By using the methods described in items I-2-d and I-3-a, DDS ensures that only those costs are 1) provided to eligible individuals, and 2) 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:

The SDP Waiver employs a multi-tiered billing validation process. Claims submitted by participant-selected or participant-employed providers are reviewed by FMS providers to ensure the services are included in the participant's individual program plan.

Regional centers subsequently transmit all claims received from FMS providers to DDS through a system of main frame computers. At DDS the expenditures are processed 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.

- 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, consumer identification and eligibility information, claim amount, and claim date. Waiver services will not be paid unless the appropriate billing data are present. Regional centers transmit to DDS all billing data necessary to support the provider claims to provide a complete audit trail. Regional center 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 Organized Health Care Delivery System (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. SDP 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.
- (b) The DDS OHCDS is an open network. Regional centers evaluate and approve prospective FMS providers through a process referred to as "vendorization." The purpose of vendorization is to ensure that the provider meets DDS and SDP 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 FMS providers reimbursed for DDS services. Qualifications of providers other than FMS are verified by the participant and the FMS.
- (c) Consumers select their providers through the development and implementation of an individual program plan ("IPP"). A consumer is not limited to FMS providers already vendored by the regional center. If a consumer selects another FMS provider, that FMS 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 FMS providers. The regional centers, as agents of DDS, are

responsible for ensuring that FMS 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 FMS providers (through the vendor process) and require FMS providers to meet all applicable Medicaid requirements (e.g., the maintenance of necessary documentation).

(f) The regional centers pay enrolled FMS 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.

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.**

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:

In licensed residential settings, the waiver participant (or representative payee) pays the facility directly for the provision of room and board from his/her SSI/SSP income, retaining the Personal Needs Allowance. The facility submits claims to the FMS for the services received.

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:

The maximum payment for the rent and food expenses of a live-in personal caregiver is the sum of: (a) one-half of the most-recent published federal Housing and Urban Development (HUD) Fair Market Rent (FMR) for a two-bedroom living unit in the geographic area where the participant resides and (b) the current United States Department of Agriculture (USDA) maximum food stamp allowance for a single individual.

The payment for the caregiver will go through the provider but clearly provide for the reimbursement of the participant. The FMS shall pay these charges to the live-in caregiver who, in turn, will compensate the participant.

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	10041.56	6242.00	16283.56	32111.00	6485.00	38596.00	22312.44
2	14075.33	8739.00	22814.33	44955.00	9078.00	54033.00	31218.67
3	20107.69	13619.00	33726.69	70060.00	14148.00	84208.00	50481.31

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (1 of 7)

- 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	1000		1000
Year 2	2500		2500
Year 3	2500		2500

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (2 of 7)

- 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 estimated based on actual experience for services provided to persons enrolled on the Home and Community-Based Services Waiver for the Developmentally Disabled (HCBS DD Waiver).

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (3 of 7)

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 based on actual expenditures and unduplicated users for State fiscal year 2010-11 (July 1, 2010 to June 30, 2011) for services provided to persons enrolled on the HCBS DD Waiver. The per capita cost, by service, was trended forward to the number of persons who will be served during years 1 through 3. Utilization adjustments take into account the ALOS calculation above. The number of eligible recipients was estimated by starting in year one with 1,000, and increasing caseload to 2,500 in years 2 and 3. 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 for State fiscal year 2010-11.

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 actual costs from the CMS 372 for the period from March 29, 2011 to March 28, 2013.

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 ICF/MR care that would be incurred for individuals served in the Waiver, were the Waiver not granted. Factor G estimates for inpatient intermediate care facility LOC are based on actual costs from the CMS 372 for the period from March 29, 2011 to March 28, 2013.

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, level of care are derived from experience as reported in the CMS 372 report for the period from March 29, 2011 to March 28, 2013.

Other assumptions used for obtaining the aggregate Factor G' waiver are described below.

- The cost of all State Plan services furnished during an inpatient stay.
- Medicare Part D drug costs are not included in the Factor G' estimates.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (4 of 7)

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	
Home Health Aide	
Homemaker	
Live-In Caregiver	
Respite Services	
Advocacy Services	
Communication Support	
Community Integration and Employment Supports	

Waiver Services	
Community Living Supports	
Crisis Intervention and Support	
Dental Services	
Environmental Accessibility Adaptations	
Family Assistance and Supports	
Financial Management Service	
Housing Access Supports	
Independent Facilitator	
Individual Training and Education	
Integrative Therapies	
Lenses and Frames	
Nutritional Consultation	
Optometric/Optician Services	
Participant-Directed Goods and Services	
Personal Emergency Response Systems (PERS)	
Psychology Services	
Skilled Nursing	
Specialized Medical Equipment and Supplies	
Specialized Therapeutic Services	
Speech, Hearing and Language Services	
Technology	
Training and Counseling Services for Unpaid Caregivers	
Transition/Set Up Expenses: Other Service	
Transportation	
Vehicle Modifications and Adaptations	

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (5 of 7)

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:						173841.82
Behavioral Intervention Services	Hour	52	82.10	40.72	173841.82	
Home Health Aide Total:						27762.59
Home Health Aide	Hour				27762.59	
GRAND TOTAL:						10041561.75
Total Estimated Unduplicated Participants:						1000
Factor D (Divide total by number of participants):						10041.56
Average Length of Stay on the Waiver:						<input type="text" value="6"/>

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
		6	244.82	18.90		
Homemaker Total:						12273.00
Homemaker	Hour	3	244.97	16.70	12273.00	
Live-In Caregiver Total:						625350.00
Live-In Caregiver	Month	150	5.50	758.00	625350.00	
Respite Services Total:						699906.60
In Home Respite Care	Hour	335	109.73	15.04	552863.63	
Family Support Respite	Hour	32	359.20	9.50	109196.80	
Out-of-Home Respite Care	Day	23	23.14	71.11	37846.16	
Advocacy Services Total:						4500.00
Advocacy Services	Hour	30	2.00	75.00	4500.00	
Communication Support Total:						1582.57
Communication Support	Hour	3	12.92	40.83	1582.57	
Community Integration and Employment Supports Total:						3837738.08
Community-Based Day Services (Day)	Day	395	115.50	61.76	2817645.60	
Community-Based Day Services (Hour)	Hour	136	229.86	18.91	591144.75	
Therapeutic/Activity-Based Day Services (Month)	Month	2	5.50	50.00	550.00	
Therapeutic/Activity-Based Day Services (Hour)	Hour	2	46.36	40.45	3750.52	
Mobility Related Day Services	Hour	2	11.83	36.06	853.18	
Prevocational Services	Day	66	115.50	35.29	269015.67	
Supported Employment	Hour	37	135.73	30.82	154778.35	
Community Living Supports Total:						2599865.24
Licensed/Certified Residential Services	Month	31	5.50	2596.94	442778.27	
Supported Living Services	Hour	104	902.97	22.97	2157086.97	
GRAND TOTAL:						10041561.75
Total Estimated Unduplicated Participants:						1000
Factor D (Divide total by number of participants):						10041.56
Average Length of Stay on the Waiver:						6

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Crisis Intervention and Support Total:						5631.23
Crisis Intervention and Support	Day	6	22.88	41.02	5631.23	
Dental Services Total:						11520.00
Dental Services	Visit	18	2.00	320.00	11520.00	
Environmental Accessibility Adaptations Total:						4250.00
Environmental Accessibility Adaptations	Adaptation	2	0.50	4250.00	4250.00	
Family Assistance and Supports Total:						18086.33
Family Assistance and Supports	Hour	13	34.42	40.42	18086.33	
Financial Management Service Total:						266200.00
Financial Management Service	Month	1000	5.50	48.40	266200.00	
Housing Access Supports Total:						11475.58
Housing Access Supports	Month	9	5.50	231.83	11475.58	
Independent Facilitator Total:						723520.00
Independent Facilitator	Hour	700	8.00	129.20	723520.00	
Individual Training and Education Total:						18086.33
Individual Training and Education	Hour	13	34.42	40.42	18086.33	
Integrative Therapies Total:						38945.28
Acupuncture	Hour	9	11.00	65.00	6435.00	
Chiropractic	Hour	2	11.00	67.74	1490.28	
Massage	Hour	47	11.00	60.00	31020.00	
Lenses and Frames Total:						387.48
Lenses and Frames	Piece	8	0.50	96.87	387.48	
Nutritional Consultation Total:						327.25
Nutritional Consultation	Hour	2	3.85	42.50	327.25	
Optometric/Optician Services Total:						42.35
GRAND TOTAL:						10041561.75
Total Estimated Unduplicated Participants:						1000
Factor D (Divide total by number of participants):						10041.56
Average Length of Stay on the Waiver:						6

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Optometric/Optician Services	Hour	2	0.57	37.15	42.35	
Participant-Directed Goods and Services Total:						12000.00
Participant-Directed Goods and Services	Month	40	3.00	100.00	12000.00	
Personal Emergency Response Systems (PERS) Total:						351.01
Personal Emergency Response Systems (PERS)	Month	2	5.50	31.91	351.01	
Psychology Services Total:						1291.31
Psychology Services	Hour	5	6.18	41.79	1291.31	
Skilled Nursing Total:						11773.09
Skilled Nursing	Hour	7	54.50	30.86	11773.09	
Specialized Medical Equipment and Supplies Total:						3480.00
Specialized Medical Equipment and Supplies	Piece	5	0.58	1200.00	3480.00	
Specialized Therapeutic Services Total:						16110.98
Oral Health	Visit	12	0.71	640.00	5452.80	
Behavioral Emotional Health	Hour	5	9.35	122.13	5709.58	
Physical Health	Hour	13	7.09	53.69	4948.61	
Speech, Hearing and Language Services Total:						1800.92
Speech, Hearing and Language Services	Hour	2	11.58	77.76	1800.92	
Technology Total:						60000.00
Technology	Item	100	0.50	1200.00	60000.00	
Training and Counseling Services for Unpaid Caregivers Total:						18189.00
Training and Counseling Services for Unpaid Caregivers	Hour	300	1.50	40.42	18189.00	
Transition/Set Up Expenses: Other Service Total:						3875.00
Transition/Set Up Expenses: Other Service	Transition	2	0.50	3875.00	3875.00	
Transportation Total:						825898.70
					28571.40	
GRAND TOTAL:					10041561.75	
Total Estimated Unduplicated Participants:					1000	
Factor D (Divide total by number of participants):					10041.56	
Average Length of Stay on the Waiver:						6

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Individual Transportation Providers	Miles	37	1404.00	0.55		
Transportation Companies	Day	326	115.50	20.47	770756.91	
Public/Transit/Rental/Taxi	Month	77	5.50	62.74	26570.39	
Vehicle Modifications and Adaptations Total:						5500.00
Vehicle Modifications and Adaptations	Modification	2	0.55	5000.00	5500.00	
GRAND TOTAL:						10041561.75
Total Estimated Unduplicated Participants:						1000
Factor D (Divide total by number of participants):						10041.56
Average Length of Stay on the Waiver:						6

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (6 of 7)

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:						608446.38
Behavioral Intervention Services	Hour	130	114.94	40.72	608446.38	
Home Health Aide Total:						103647.60
Home Health Aide	Hour	16	342.75	18.90	103647.60	
Homemaker Total:						51546.89
Homemaker	Hour	9	342.96	16.70	51546.89	
Live-In Caregiver Total:						2188725.00
Live-In Caregiver	Month	375	7.70	758.00	2188725.00	
Respite Services Total:						2452134.41
In Home Respite Care	Hour	837	153.62	15.04	1933842.30	
Family Support Respite					386966.16	
GRAND TOTAL:						35188333.08
Total Estimated Unduplicated Participants:						2500
Factor D (Divide total by number of participants):						14075.33
Average Length of Stay on the Waiver:						8

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	Hour	81	502.88	9.50		
Out-of-Home Respite Care	Day	57	32.40	71.11	131325.95	
Advocacy Services Total:						15750.00
Advocacy Services	Hour	75	2.80	75.00	15750.00	
Communication Support Total:						6647.53
Communication Support	Hour	9	18.09	40.83	6647.53	
Community Integration and Employment Supports Total:						13439972.18
Community-Based Day Services (Day)	Day	988	161.70	61.76	9866752.90	
Community-Based Day Services (Hour)	Hour	340	321.80	18.91	2068980.92	
Therapeutic/Activity-Based Day Services (Month)	Month	5	7.70	50.00	1925.00	
Therapeutic/Activity-Based Day Services (Hour)	Hour	5	64.90	40.45	13126.02	
Mobility Related Day Services	Hour	5	16.56	36.06	2985.77	
Prevocational Services	Day	165	161.70	35.29	941554.84	
Supported Employment	Hour	93	190.02	30.82	544646.73	
Community Living Supports Total:						9109538.52
Licensed/Certified Residential Services	Month	78	7.70	2596.94	1559722.16	
Supported Living Services	Hour	260	1264.16	22.97	7549816.35	
Crisis Intervention and Support Total:						18394.19
Crisis Intervention and Support	Day	14	32.03	41.02	18394.19	
Dental Services Total:						41216.00
Dental Services	Visit	46	2.80	320.00	41216.00	
Environmental Accessibility Adaptations Total:						14875.00
Environmental Accessibility Adaptations	Adaptation	5	0.70	4250.00	14875.00	
Family Assistance and Supports Total:						64278.71
					64278.71	
GRAND TOTAL:					35188333.08	
Total Estimated Unduplicated Participants:					2500	
Factor D (Divide total by number of participants):					14075.33	
Average Length of Stay on the Waiver:						8

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Family Assistance and Supports	Hour	33	48.19	40.42		
Financial Management Service Total:						931700.00
Financial Management Service	Month	2500	7.70	48.40	931700.00	
Housing Access Supports Total:						39272.00
Housing Access Supports	Month	22	7.70	231.83	39272.00	
Independent Facilitator Total:						2532320.00
Independent Facilitator	Hour	1750	11.20	129.20	2532320.00	
Individual Training and Education Total:						64278.71
Individual Training and Education	Hour	33	48.19	40.42	64278.71	
Integrative Therapies Total:						137270.98
Acupuncture	Hour	23	15.40	65.00	23023.00	
Chiropractic	Hour	5	15.40	67.74	5215.98	
Massage	Hour	118	15.40	60.00	109032.00	
Lenses and Frames Total:						1423.99
Lenses and Frames	Piece	21	0.70	96.87	1423.99	
Nutritional Consultation Total:						1145.38
Nutritional Consultation	Hour	5	5.39	42.50	1145.38	
Optometric/Optician Services Total:						148.60
Optometric/Optician Services	Hour	5	0.80	37.15	148.60	
Participant-Directed Goods and Services Total:						42000.00
Participant-Directed Goods and Services	Month	100	4.20	100.00	42000.00	
Personal Emergency Response Systems (PERS) Total:						1228.54
Personal Emergency Response Systems (PERS)	Month	5	7.70	31.91	1228.54	
Psychology Services Total:						4699.29
Psychology Services					4699.29	
GRAND TOTAL:						3518833.08
Total Estimated Unduplicated Participants:						2500
Factor D (Divide total by number of participants):						14075.33
Average Length of Stay on the Waiver:						8

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	Hour	13	8.65	41.79		
Skilled Nursing Total:						42383.12
Skilled Nursing	Hour	18	76.30	30.86	42383.12	
Specialized Medical Equipment and Supplies Total:						12636.00
Specialized Medical Equipment and Supplies	Piece	13	0.81	1200.00	12636.00	
Specialized Therapeutic Services Total:						58450.08
Oral Health	Visit	30	0.99	640.00	19008.00	
Behavioral Emotional Health	Hour	14	13.09	122.13	22381.54	
Physical Health	Hour	32	9.93	53.69	17060.53	
Speech, Hearing and Language Services Total:						6302.45
Speech, Hearing and Language Services	Hour	5	16.21	77.76	6302.45	
Technology Total:						210000.00
Technology	Item	250	0.70	1200.00	210000.00	
Training and Counseling Services for Unpaid Caregivers Total:						63661.50
Training and Counseling Services for Unpaid Caregivers	Hour	750	2.10	40.42	63661.50	
Transition/Set Up Expenses: Other Service Total:						13562.50
Transition/Set Up Expenses: Other Service	Transition	5	0.70	3875.00	13562.50	
Transportation Total:						2891427.54
Individual Transportation Providers	Miles	93	1965.60	0.55	100540.44	
Transportation Companies	Day	815	161.70	20.47	2697649.18	
Public/Transit/Rental/Taxi	Month	193	7.70	62.74	93237.91	
Vehicle Modifications and Adaptations Total:						19250.00
Vehicle Modifications and Adaptations	Modification	5	0.77	5000.00	19250.00	
GRAND TOTAL:					35188333.08	
Total Estimated Unduplicated Participants:					2500	
Factor D (Divide total by number of participants):					14075.33	
Average Length of Stay on the Waiver:						8

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (7 of 7)

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:						869209.12
Behavioral Intervention Services	Hour	130	164.20	40.72	869209.12	
Home Health Aide Total:						148067.14
Home Health Aide	Hour	16	489.64	18.90	148067.14	
Homemaker Total:						73637.98
Homemaker	Hour	9	489.94	16.70	73637.98	
Live-In Caregiver Total:						3126750.00
Live-In Caregiver	Month	375	11.00	758.00	3126750.00	
Respite Services Total:						3503061.96
In Home Respite Care	Hour	837	219.46	15.04	2762667.82	
Family Support Respite	Hour	81	718.40	9.50	552808.80	
Out-of-Home Respite Care	Day	57	46.28	71.11	187585.34	
Advocacy Services Total:						22500.00
Advocacy Services	Hour	75	4.00	75.00	22500.00	
Communication Support Total:						9495.42
Communication Support	Hour	9	25.84	40.83	9495.42	
Community Integration and Employment Supports Total:						19200006.86
Community-Based Day Services (Day)	Day	988	231.00	61.76	14095361.28	
Community-Based Day Services (Hour)	Hour	340	459.72	18.91	2955723.77	
GRAND TOTAL:						50269227.87
Total Estimated Unduplicated Participants:						2500
Factor D (Divide total by number of participants):						20107.69
Average Length of Stay on the Waiver:						11

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Therapeutic/Activity-Based Day Services (Month)	Month	5	11.00	50.00	2750.00	
Therapeutic/Activity-Based Day Services (Hour)	Hour	5	92.72	40.45	18752.62	
Mobility Related Day Services	Hour	5	23.66	36.06	4265.90	
Prevocational Services	Day	165	231.00	35.29	1345078.35	
Supported Employment	Hour	93	271.46	30.82	778074.94	
Community Living Supports Total:						13013609.39
Licensed/Certified Residential Services	Month	78	11.00	2596.94	2228174.52	
Supported Living Services	Hour	260	1805.94	22.97	10785434.87	
Crisis Intervention and Support Total:						26279.05
Crisis Intervention and Support	Day	14	45.76	41.02	26279.05	
Dental Services Total:						58880.00
Dental Services	Visit	46	4.00	320.00	58880.00	
Environmental Accessibility Adaptations Total:						21250.00
Environmental Accessibility Adaptations	Adaptation	5	1.00	4250.00	21250.00	
Family Assistance and Supports Total:						91822.92
Family Assistance and Supports	Hour	33	68.84	40.42	91822.92	
Financial Management Service Total:						1331000.00
Financial Management Service	Month	2500	11.00	48.40	1331000.00	
Housing Access Supports Total:						56102.86
Housing Access Supports	Month	22	11.00	231.83	56102.86	
Independent Facilitator Total:						3617600.00
Independent Facilitator	Hour	1750	16.00	129.20	3617600.00	
Individual Training and Education Total:						91822.92
Individual Training and Education	Hour	33	68.84	40.42	91822.92	
Integrative Therapies Total:						
GRAND TOTAL:					50269227.87	
Total Estimated Unduplicated Participants:					2500	
Factor D (Divide total by number of participants):					20107.69	
Average Length of Stay on the Waiver:						11

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
						196101.40
Acupuncture	Hour	23	22.00	65.00	32890.00	
Chiropractic	Hour	5	22.00	67.74	7451.40	
Massage	Hour	118	22.00	60.00	155760.00	
Lenses and Frames Total:						2034.27
Lenses and Frames	Piece	21	1.00	96.87	2034.27	
Nutritional Consultation Total:						1636.25
Nutritional Consultation	Hour	5	7.70	42.50	1636.25	
Optometric/Optician Services Total:						211.75
Optometric/Optician Services	Hour	5	1.14	37.15	211.76	
Participant-Directed Goods and Services Total:						60000.00
Participant-Directed Goods and Services	Month	100	6.00	100.00	60000.00	
Personal Emergency Response Systems (PERS) Total:						1755.05
Personal Emergency Response Systems (PERS)	Month	5	11.00	31.91	1755.05	
Psychology Services Total:						6714.82
Psychology Services	Hour	13	12.36	41.79	6714.82	
Skilled Nursing Total:						60547.32
Skilled Nursing	Hour	18	109.00	30.86	60547.32	
Specialized Medical Equipment and Supplies Total:						18096.00
Specialized Medical Equipment and Supplies	Piece	13	1.16	1200.00	18096.00	
Specialized Therapeutic Services Total:						83600.01
Oral Health	Visit	30	1.42	640.00	27264.00	
Behavioral Emotional Health	Hour	14	18.70	122.13	31973.63	
Physical Health	Hour	32	14.18	53.69	24362.37	
GRAND TOTAL:						50269227.87
Total Estimated Unduplicated Participants:						2500
Factor D (Divide total by number of participants):						20107.69
Average Length of Stay on the Waiver:						11

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Speech, Hearing and Language Services Total:						9004.61
Speech, Hearing and Language Services	Hour	5	23.16	77.76	9004.61	
Technology Total:						300000.00
Technology	Item	250	1.00	1200.00	300000.00	
Training and Counseling Services for Unpaid Caregivers Total:						90945.00
Training and Counseling Services for Unpaid Caregivers	Hour	750	3.00	40.42	90945.00	
Transition/Set Up Expenses: Other Service Total:						19375.00
Transition/Set Up Expenses: Other Service	Transition	5	1.00	3875.00	19375.00	
Transportation Total:						4130610.77
Individual Transportation Providers	Miles	93	2808.00	0.55	143629.20	
Transportation Companies	Day	815	231.00	20.47	3853784.55	
Public/Transit/Rental/Taxi	Month	193	11.00	62.74	133197.02	
Vehicle Modifications and Adaptations Total:						27500.00
Vehicle Modifications and Adaptations	Modification	5	1.10	5000.00	27500.00	
GRAND TOTAL:						50269227.87
Total Estimated Unduplicated Participants:						2500
Factor D (Divide total by number of participants):						20107.69
Average Length of Stay on the Waiver:						11