



**Department of Developmental Services**

**REQUEST FOR INFORMATION  
RFI T6655**

**EXHIBIT 2**

**Consumer Electronic Records Management System (CERMS) Specifications**

May 10, 2023

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**1. FUTURE CASE MANAGEMENT PROCESSES**

The future Consumer Electronic Records Management System should be the integrated system-of-record for all Case Management information kept by the Department and all 21 Regional Centers. The purpose of a CERMS system is to streamline, integrate, and automate workflow across Regional Centers for internal and external users to complete essential business tasks. These tasks include core case management, Service Provider management, Service and service compliance management, and reporting. The ultimate resolution for DDS would be a cohesive case management business model based on a single case management technology solution to effectively manage and monitor case management administration.

The future state solution goals for the Department include a variety of process changes and new functionality. At the core of those goals is a desire for consolidated, accurate case management data with increased automation and reporting capabilities. Future state functionality should minimize the need for manual entry and external tracking, as well as allow for a complete end-to-end picture to allow for more streamlined case management administration.

**1.0 Case Management Business Capability Model (BCM)**

The table below includes the CERMS Business Capability Model and all major business processes related to the Department and Regional Center Case Management administration. These Level 3 Business Processes tie to the mid-level functional requirements. There are several mid-level functional requirements required for each Level 3 business process to be successfully completed.

**Table 1: CERMS BCM**

Level 1	Level 2	Level 3
<p><b>1.0 Consumer Management</b></p>	<ul style="list-style-type: none"> <li>• 1.1 Consumer Record Management</li> <li>• 1.2 Applicant Intake &amp; Assessment</li> <li>• 1.3 Individualized Plan Creation &amp; Maintenance</li> </ul>	<ul style="list-style-type: none"> <li>• 1.1.1 Maintain Consumer Record Information</li> <li>• 1.1.2 Manage Consumer Portal</li> <li>• 1.1.3 Process Self-Determination Program Enrollment</li> <li>• 1.1.4 Process Consumer Transfer</li> <li>• 1.2.1 Process Applicant Intake</li> <li>• 1.2.2 Process Applicant Assessment</li> <li>• 1.3.1 Manage Individualized Program Plans</li> </ul>
<p><b>2.0 Service Provider Management</b></p>	<ul style="list-style-type: none"> <li>• 2.1 Service Provider Record Management</li> <li>• 2.2 Service Provider Enrollment</li> </ul>	<ul style="list-style-type: none"> <li>• 2.1.1 Maintain Service Provider Record Information</li> <li>• 2.1.2 Manage Service Provider Portal</li> <li>• 2.2.1 Process Service Provider Enrollment</li> </ul>

Level 1	Level 2	Level 3
<b>3.0 Services Management</b>	<ul style="list-style-type: none"> <li>3.1 Service Requests &amp; Authorizations</li> <li>3.2 Service Monitoring</li> </ul>	<ul style="list-style-type: none"> <li>3.1.1 Process Service Requests</li> <li>3.2.1 Monitor Service Providers</li> <li>3.2.2 Process Special Incident Report (SIR)</li> <li>3.2.3 Process Corrective Action Plans (CAP)</li> </ul>
<b>4.0 Reporting</b>	<ul style="list-style-type: none"> <li>4.1 Manage Reports</li> <li>4.2 Waivers</li> </ul>	<ul style="list-style-type: none"> <li>4.1.1 Manage Reporting</li> <li>4.2.1 Process Waiver Enrollment</li> <li>4.2.2 Manage Waivers</li> </ul>

**2.0 Case Management To-Be Processes**

From January 2023 through April 2023, the DDS project team comprised of DDS management, subject matter experts (SMEs), Regional Center representatives, and business process consultants created process workflows and mid-level requirements reflective of desired future state. The team developed these process workflows and mid-level requirements by analyzing current state processes and hosting 16 group brainstorming and workshops with subject matter experts and Regional Center representatives to determine desired changes to the current state. These changes and desired future functionality are represented in all future state workflows and mid-level requirements.

The project team has developed 17 workflows with associated mid-level requirements to reflect future state process and functional needs. The processes are summarized in the table below and the process flows can be found in Section 4: To-Be Workflows.

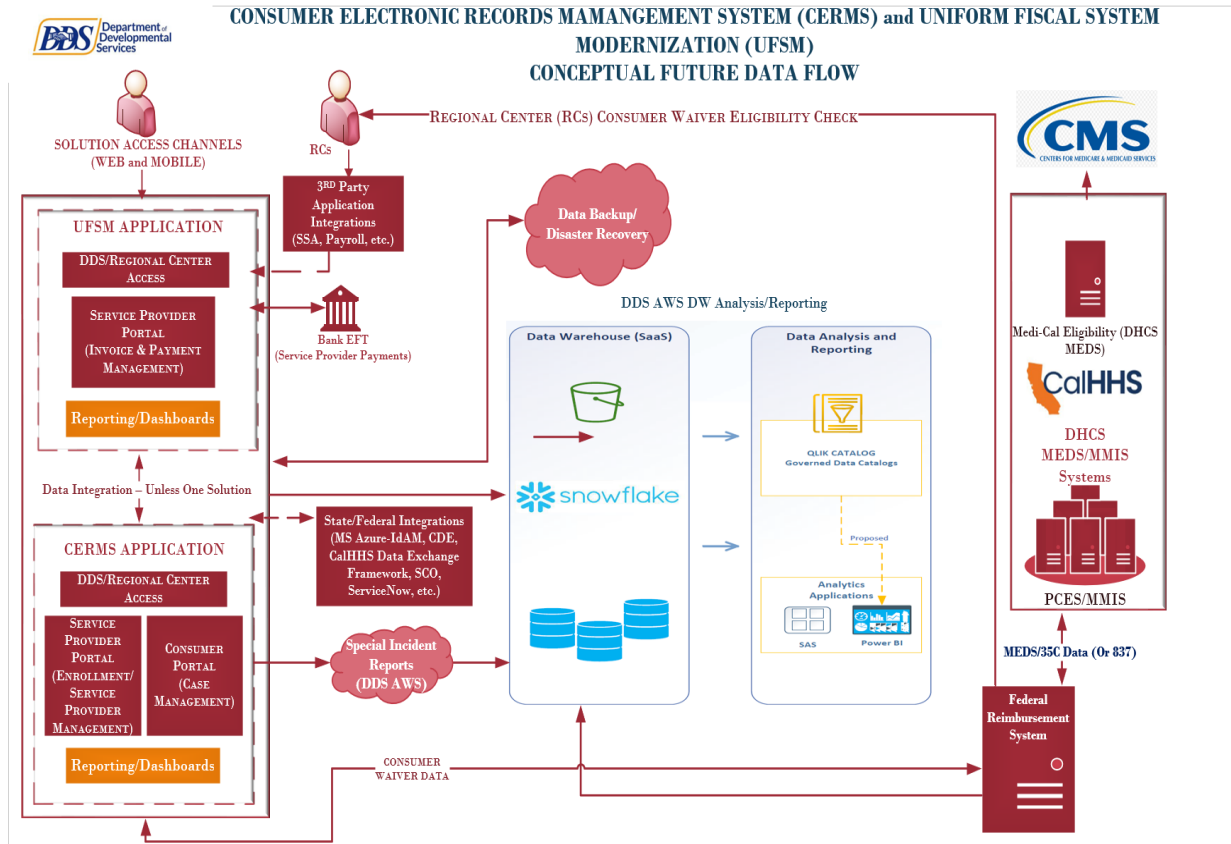
**Table 2: Case Management Processes**

Process	Process Summary
<b>1.0 Case Management</b>	<ul style="list-style-type: none"> <li>1.1 Consumer Records Management: Consumer Records Management processes which are directly related to the creation and maintenance of Consumer record data and status within the RC.</li> <li>1.2 Consumer Intake &amp; Assessment: The Consumer Intake &amp; Assessment processes cover the applicant's initial contact with the RC to the establishment of the applicant's eligibility, assessments, and assignment of a Service Coordinator for both Lanterman and Early Start Consumers. In these workflows, the entity requesting services is known as an 'applicant' as opposed to a 'Consumer,' because their eligibility determination is still in progress.</li> <li>1.3 Individualized Plan Creation &amp; Maintenance: The Individualized Plan Creation &amp; Maintenance workflows</li> </ul>

Process	Process Summary
	<p>cover the creation, development, and maintenance of Consumer individualized plans, also known as the Individual Program Plan (IPP) and Individual Family Services Plan (IFSP) for Early Start Consumer. The IPP and IFSP are records of the decisions made by the planning team over the course of several detailed, personalized planning sessions with the Consumer and their family. The objective of both the IPP and IFSP process is to identify a plan that will help the Consumer achieve their goals and outcomes while addressing their needs.</p>
<p><b>2.0 Service Provider Management</b></p>	<ul style="list-style-type: none"> <li>• 2.1 Service Provider Record Management: The future state processes under Service Provider Management cover a comprehensive, end-to-end range of the Service Provider lifecycle, starting from the creation of the Service Provider record.</li> <li>• 2.2 Service Provider Enrollment (Vendorization): The Service Provider Enrollment process, also known as 'Vendorization,' defines the proposed process by which a Service Provider can be contracted with a Regional Center in order to begin providing services for Consumers.</li> </ul>
<p><b>3.0 Service Management</b></p>	<ul style="list-style-type: none"> <li>• 3.1 Service Requests &amp; Authorizations; The future state Services Management business processes cover the activities that result in a service being initiated, and at what point they interact with the financial accounting processes.</li> <li>• 3.2 Service Monitoring: Service Monitoring efforts are needed when special incidents or substantial inadequacies are identified for any of the contracted Vendors. These activities can be initiated through Vendor Monitoring processes, self-identification from the vendors, Consumer planning visits (observation by SC) or anonymous referrals.</li> </ul>
<p><b>4.0 Reporting</b></p>	<ul style="list-style-type: none"> <li>• Reporting: Throughout the course of case management activities, the RCs are also responsible for reporting on Consumers and the services they receive, the amount of time and money spent on those services, the disparities within those administered services, and on various Service Provider information.</li> <li>• 4.2 Waiver Management: The Reporting functional area also covers the process of enrolling and managing Consumer's Waiver enrollment status (including re-enrollment, un-enrollment, and recertification).</li> </ul>

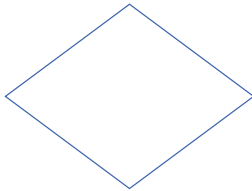

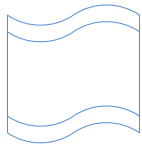
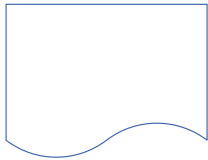

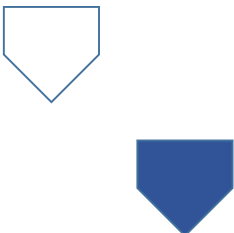
## 2. FUTURE CASE MANAGEMENT TECHNOLOGY AND SYSTEMS

The diagram below describes the future systems and conceptual data flows to support the To-Be vision for case management and financial management. The corresponding case management workflows are contained in Section 4 To-Be Workflows.










### 3. TO-BE WORKFLOW LEGEND

All the To-Be business process workflows that appear in the next section were created using Microsoft Visio. Each workflow shape is associated with a standard concept. These concepts are outlined below.

<b>Symbol</b>	<b>Name</b>	<b>Definition</b>
	Decision	A 'decision' shows a decision point, shown as yes/no or other types of decisions. Each path emerging from the decision is labeled with one of the possible answers.
	Event Start/End	An event that indicates where a particular process starts or ends. The start event starts the flow of the process and does not have any incoming sequence flow but can have a trigger. The end event ends the flow of the process, and thus will not have any outgoing sequence flows.
	Interface	The interface icon represents data communications going from one electronic system to another.
	Document	Any document used/created in the process. This includes forms and reports. If the document is a form – indicate form name and/or number.
	Connector (On Page)	This object is used to connect process steps within the same business process to avoid crossing sequence lines for readability.
	Connector (Off Page)	This object is used to connect process steps on different pages in order to demonstrate inter-process dependencies and downstream impact.  *Note: Blue off page connector icons are related to CERMS processes, while white off page connector symbols are related to UFSM processes.



<b>Symbol</b>	<b>Name</b>	<b>Definition</b>
	Sequence Flow	This connecting object shows the order in which activities are performed in a process. Sequence flows are represented with a solid graphical line.
	Association	An association is used to indicate associations between data objects, text, and other artifacts with flow objects.
	Manual Task	A manual task is work that is performed manually. A task is a type of activity.
	Sub-Process	The icon identifies when the process continues to a different, unrelated process.
	System Task	A system task is work that is performed by or with the assistance of a system. A task is a type of activity. The name of the system should be identified within the task. Note: Excel spreadsheets should use the system task symbols.
	Grey Symbols	A gray in symbol indicates when a system task, decision or activity is automated, and does not require manual interaction.
	Unshaded Symbols	An unshaded symbol indicates when a system task, decision or activity is a manual interaction.

## **4. TO-BE WORKFLOWS**

### **1.0 Consumer Management**

The future state Consumer Management workflows cover a wider range of functionality including the use of a standardized and consolidated Consumer record, a dedicated Consumer portal, and streamlined Intake and Assessment processes that cover both Early Start and Lanterman eligible Consumers. Consumer Management also entails the creation and maintenance of the Consumer's IPP or IFSP – the central document which keeps track of the Consumer's ongoing services, goals, outcomes, and other information.

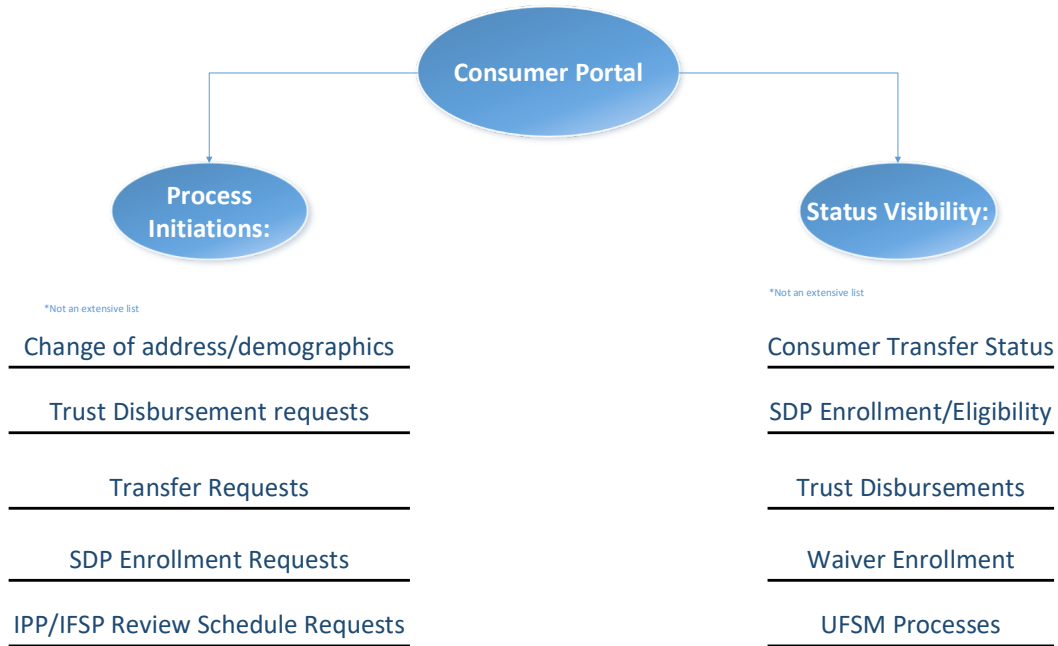
#### **1.1 Consumer Record Management: 1.1.1 Maintain Consumer Record Information**

This process Includes functionality related to the creation, maintenance, and storage of information entered in the Consumer portal of the solution.



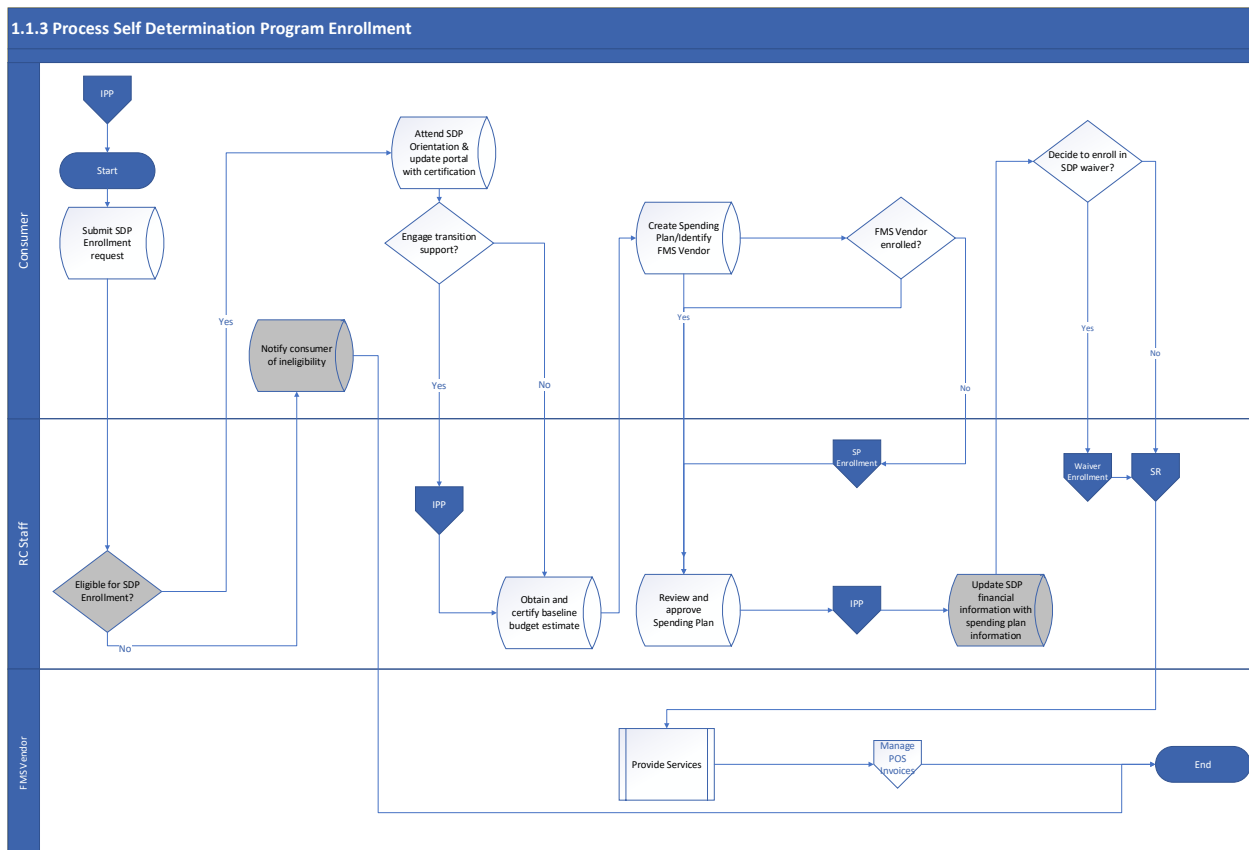
### 1.1 Consumer Record Management: 1.1.2 Manage Consumer Portal

This process includes functionality which allows Consumers to view pertinent information related to their record and make changes if desired or needed.



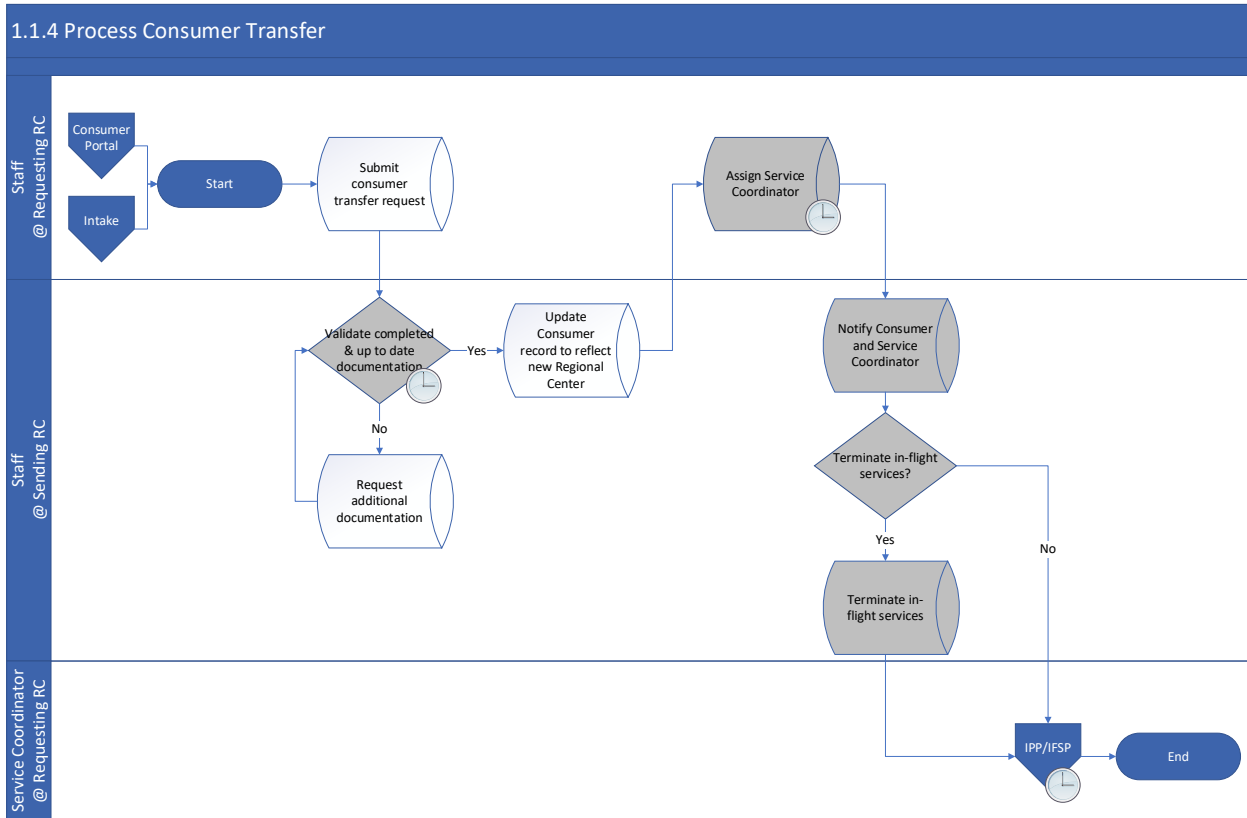
### 1.1 Consumer Record Management: 1.1.3 Process Self Determination Program Enrollment

This process includes functionality related to the process of enrolling a Consumer into the Self-Determination Program (SDP). SDP enrollment allows Consumers to create their own Person-Centered Plan (PCP) for services & supports using an approved budget and the creation of a spending plan using the budget.



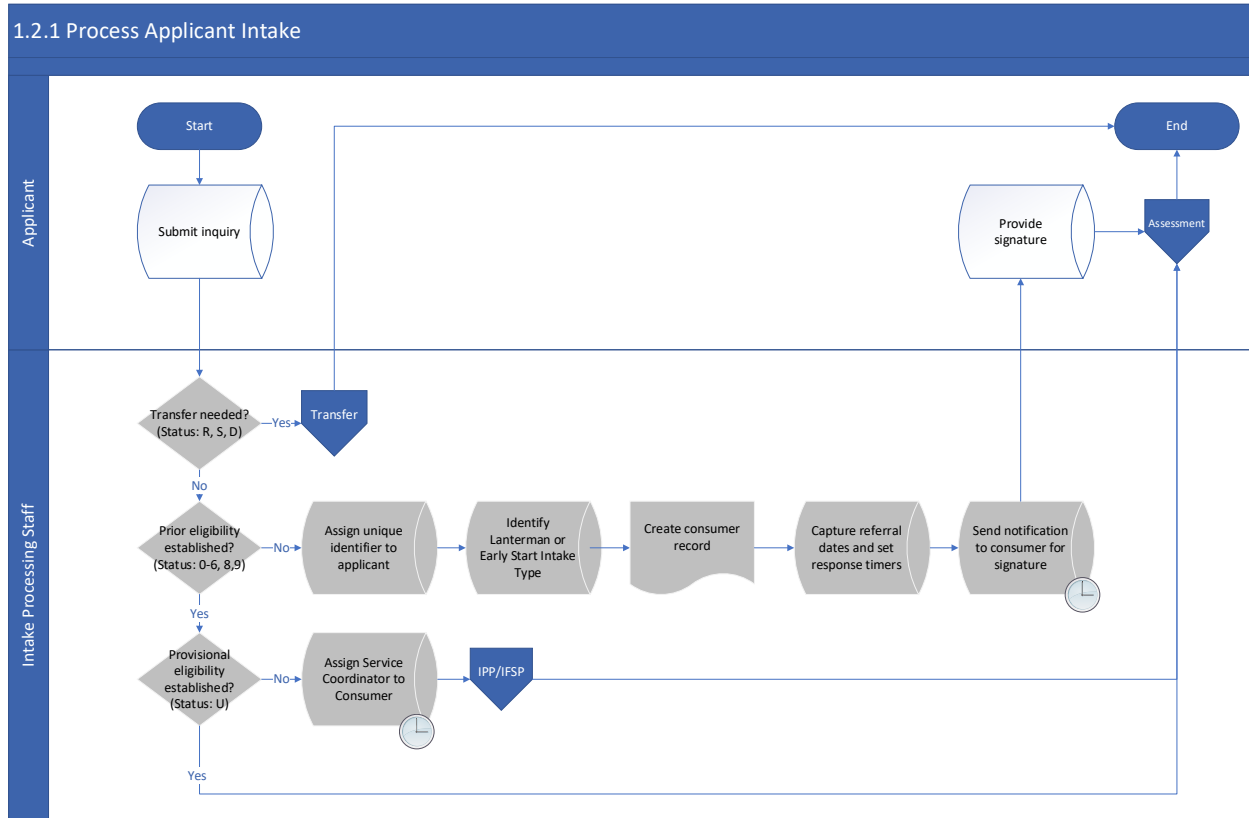
### 1.1 Consumer Record Management: 1.1.4 Process Consumer Transfer

This process includes functionality related to the process of transferring a Consumer from one Regional Center to another. This can include a full transfer, or a 'share' scenario, in which the Consumer is active at more than one Regional Center at a time.



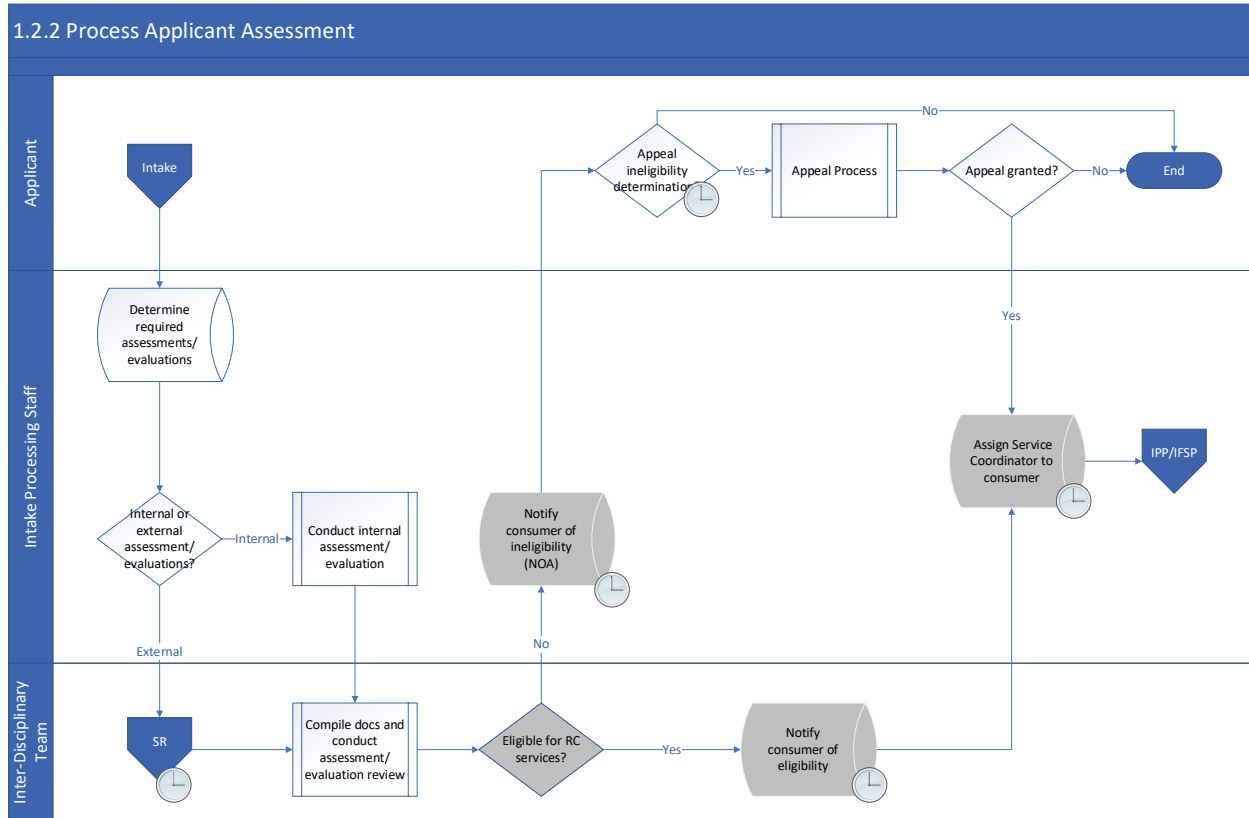
## 1.2 Applicant Intake & Assessment: 1.2.1 Process Applicant Intake

This process includes functionality related to the process of enrolling a Consumer with a Regional Center. This process initiates the Assessment process.



### 1.2 Applicant Intake & Assessment: 1.2.2 Process Applicant Assessment

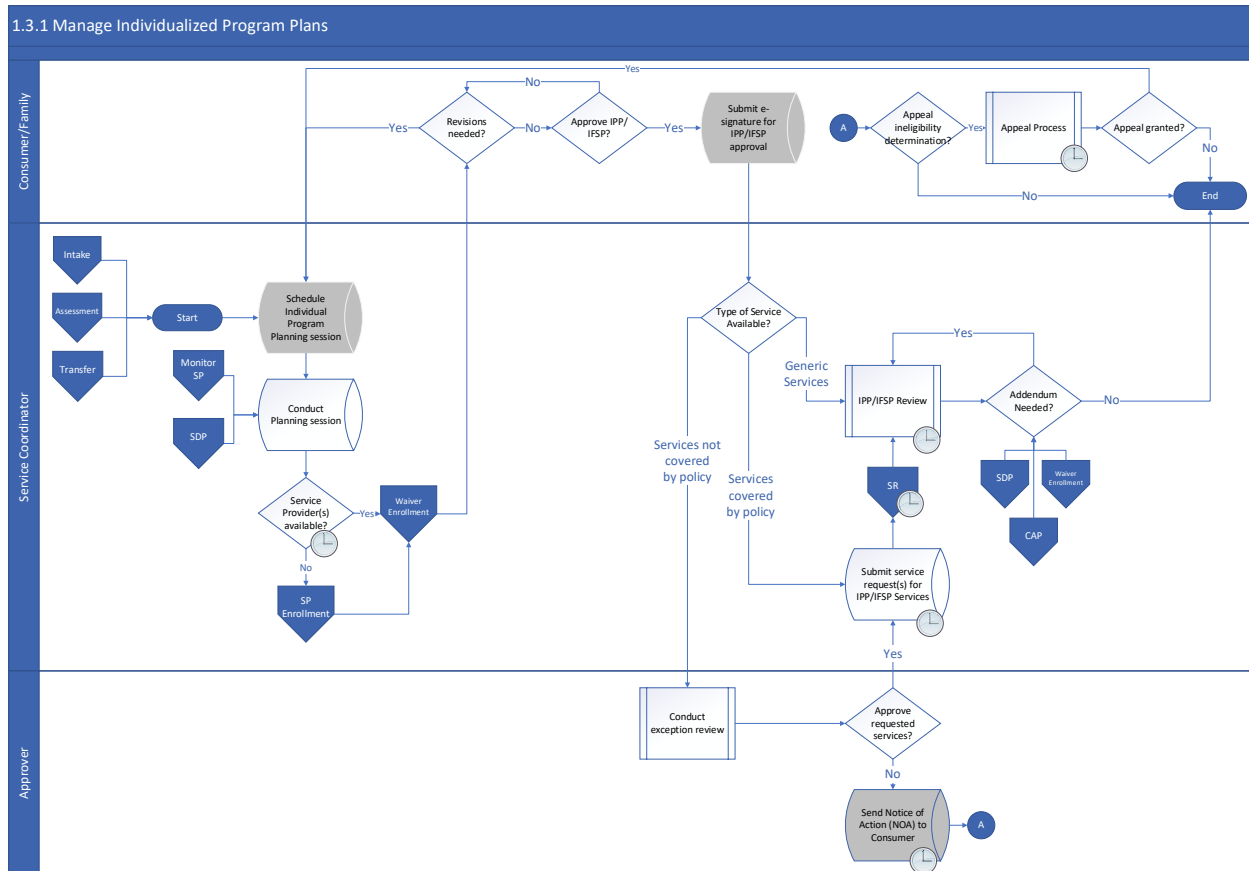
This process includes functionality related to the process of assessing incoming Consumers for eligibility for services as well as an analysis of appropriate service types.





### 1.3 Individualized Plan Creation & Maintenance: 1.3.1 Manage Individualized Program Plans

This process includes functionality related to the creation, maintenance, and storage of each Consumer's Individualized Program Plans (for standard/Lanterman Consumers, the IPP. For Early Start Consumers, the IFSP). Each plan details the Consumer's goals, desired outcomes, and specific needs to determine the most appropriate services and supports.

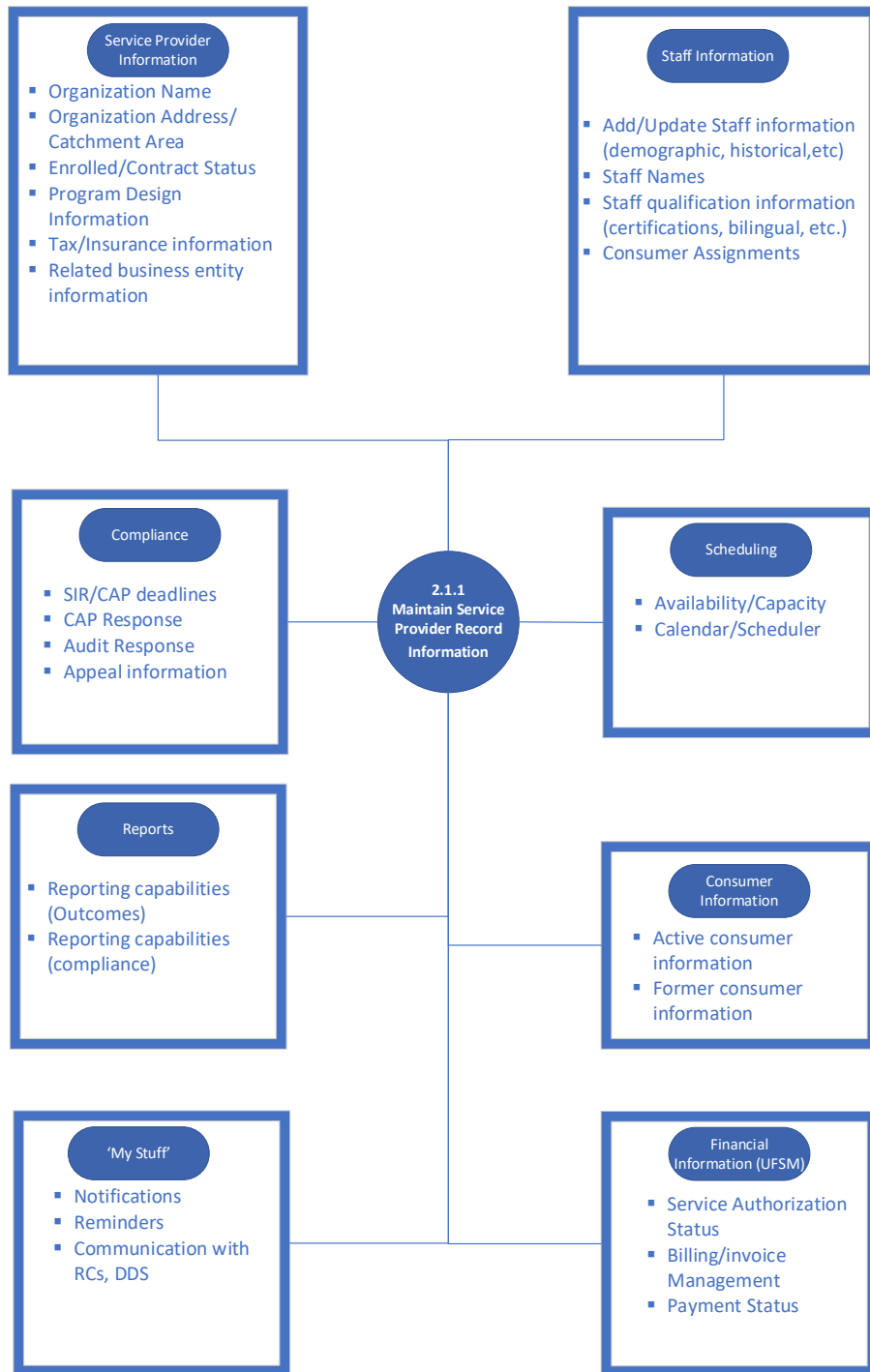


## **2.0 Service Provider Management**

The future state processes under Service Provider Management cover a comprehensive, end-to-end range of the Service Provider lifecycle, starting from the creation of the Service Provider record to the ongoing management of the Service Provider's billing and rate information.

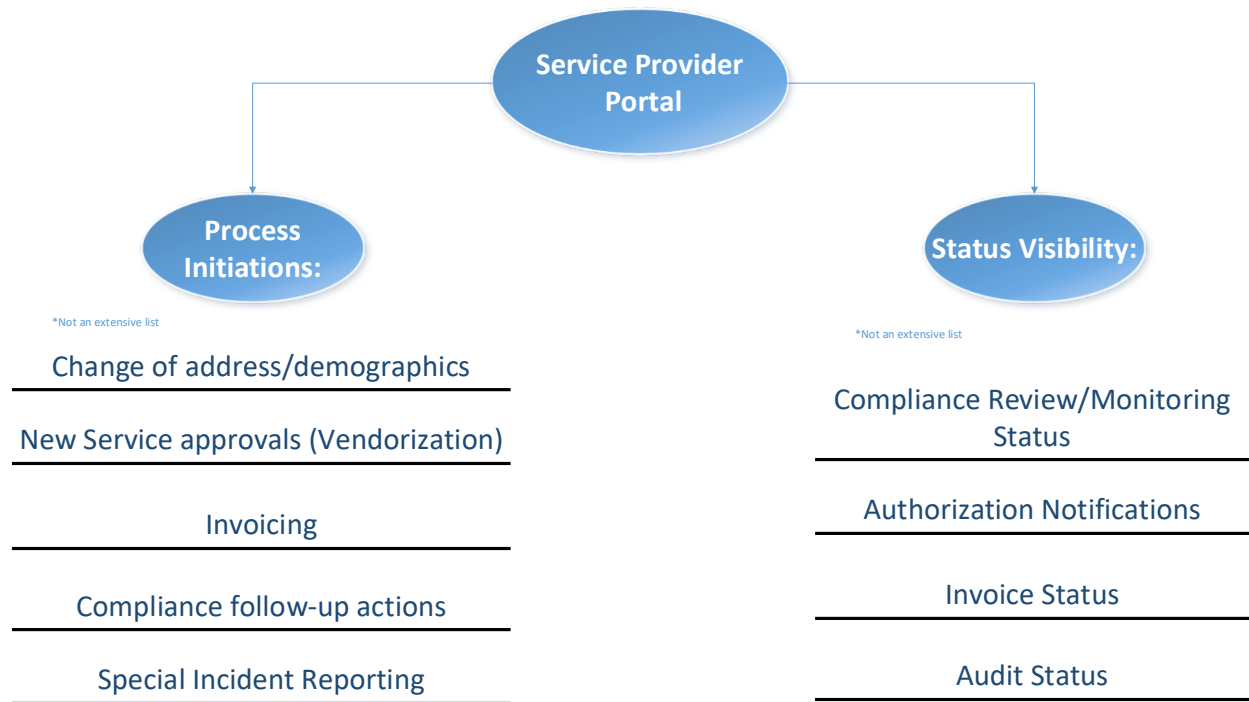
## 2.1 Service Provider Record Management: 2.1.1 Maintain Consumer Record Information

This process includes functionality related to the creation, maintenance, and storage of information entered in the service provider portal of the solution.



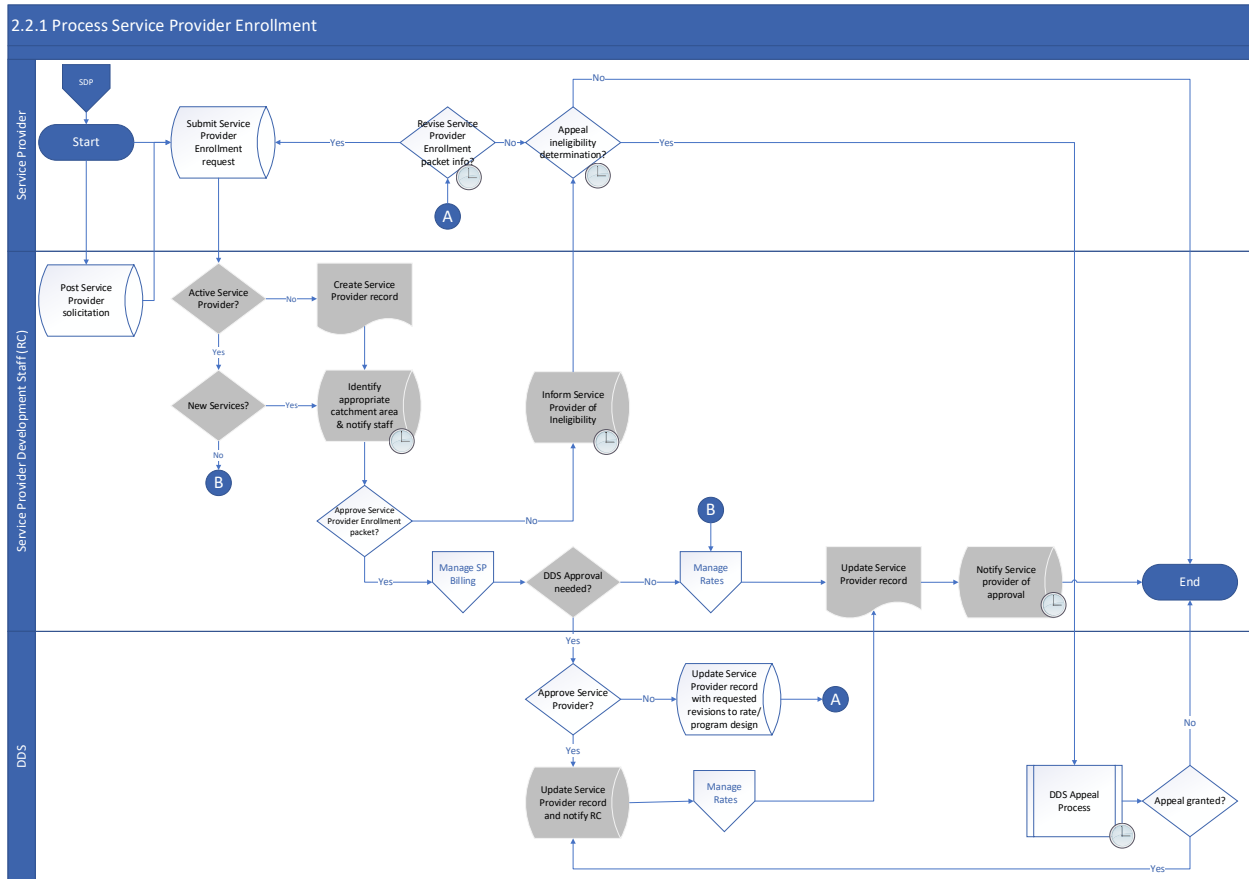
## 2.1 Service Provider Record Management: 2.1.2 Manage Service Provider Portal

This process includes functionality which allows Service Providers to view pertinent information related to their record and make changes if desired or needed.



## 2.2 Service Provider Enrollment (Vendorization): 2.2.1 Process Service Provider Enrollment

This process includes functionality related to the process of enrolling a Service Provider in order to make them a contracted Service Provider for a particular Regional Center.

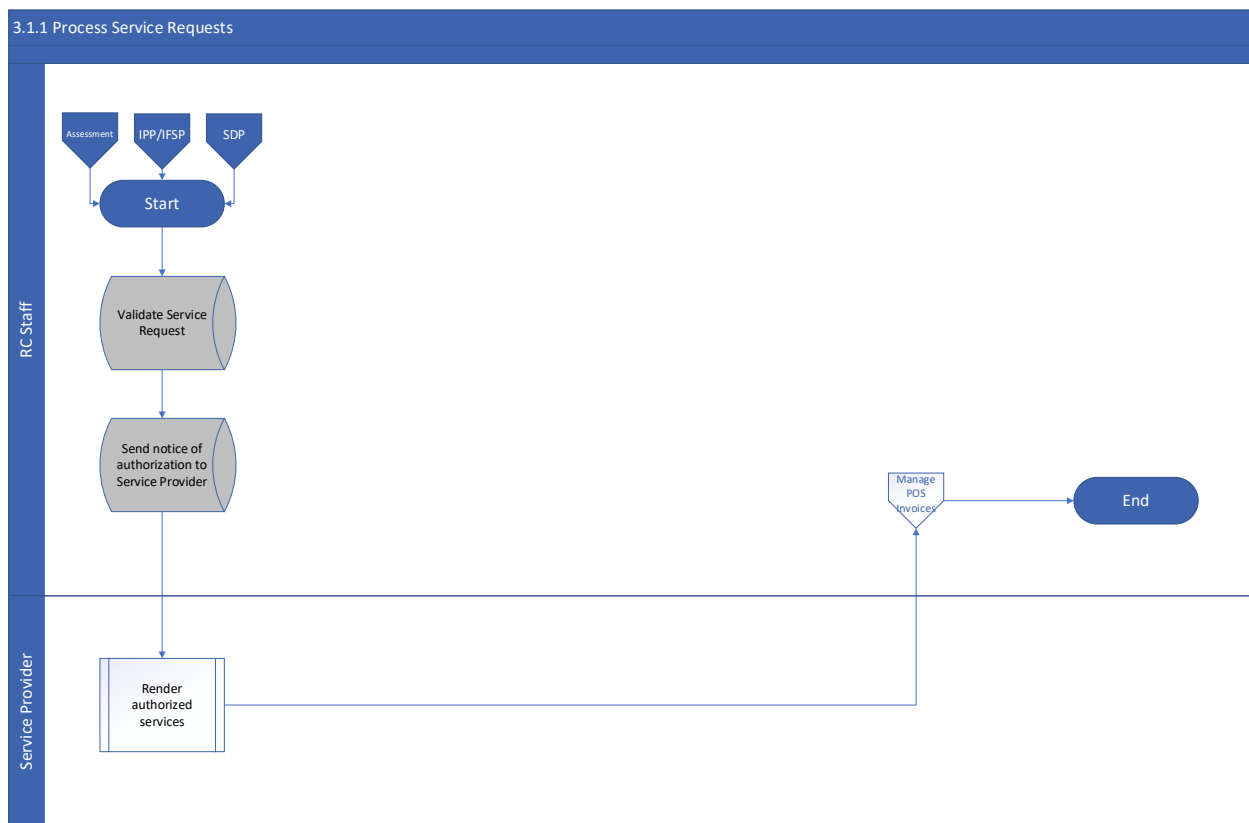


### 3.0 Services Management

The future state Services Management business processes cover the activities that result in a service being initiated and flow seamlessly through the financial accounting processes. These processes also cover the Service Monitoring efforts needed when special incidents or substantial inadequacies are identified for any of the contracted Vendors. These activities can be initiated through Vendor Monitoring processes, self-identification from the vendors, Consumer planning visits (observation by SC) or anonymous referrals.

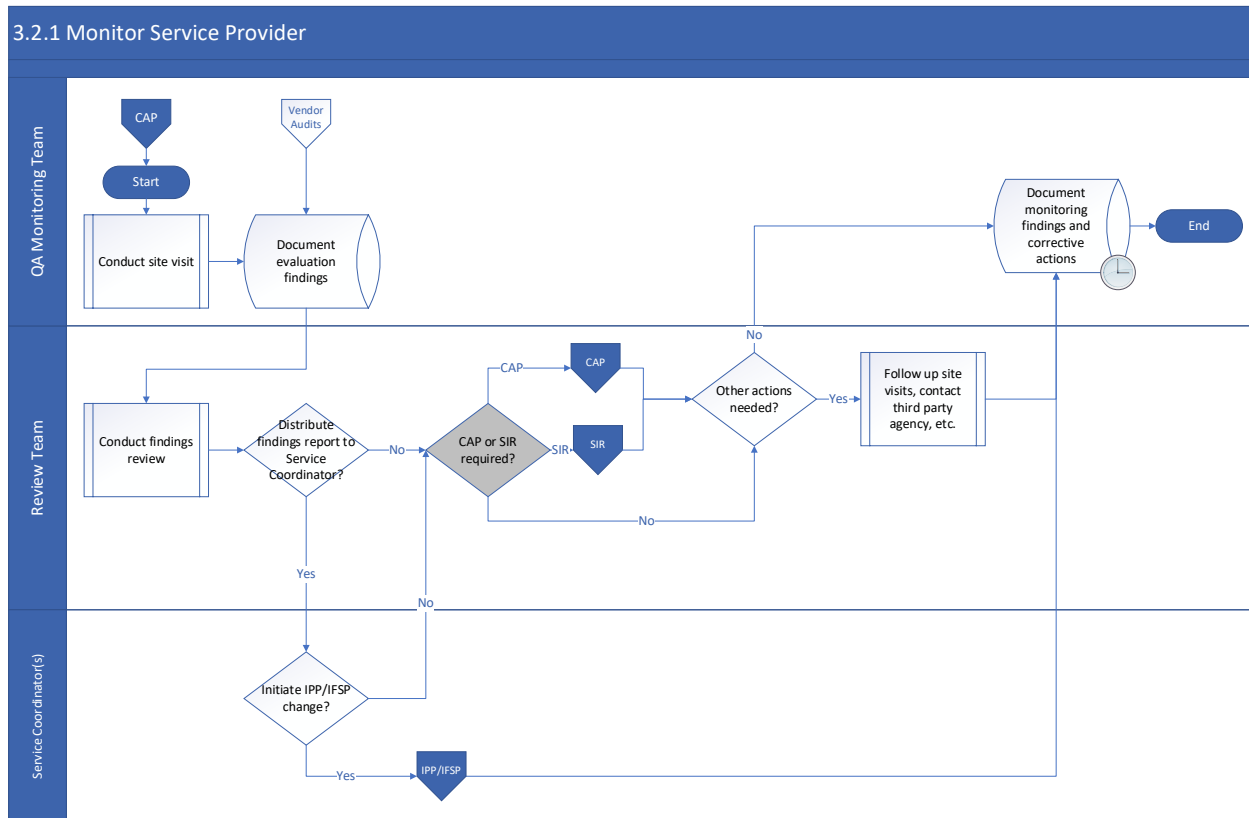
#### 3.1 Service Requests 3.1.1 Process Service Requests

This process includes functionality related to initiating and completing a request for services from an enrolled service provider for a particular Consumer.



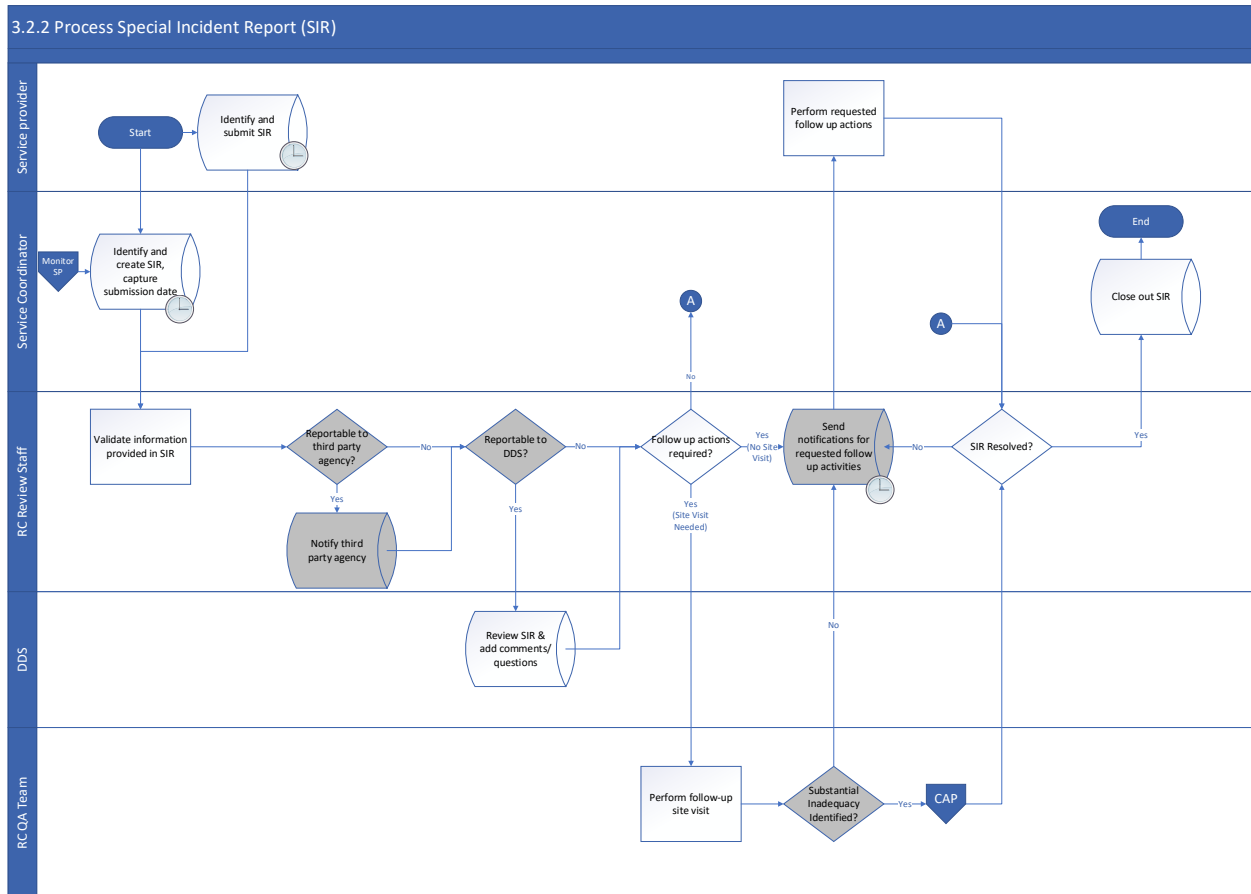
### 3.2 Service Monitoring: 3.2.1 Monitoring Service Providers

This process includes functionality related to the tracking and monitoring of service provider practices to ensure that they are in compliance with DDS and other governing policy.



### 3.2 Service Monitoring: 3.2.2 Process Special Incident Report (SIR)

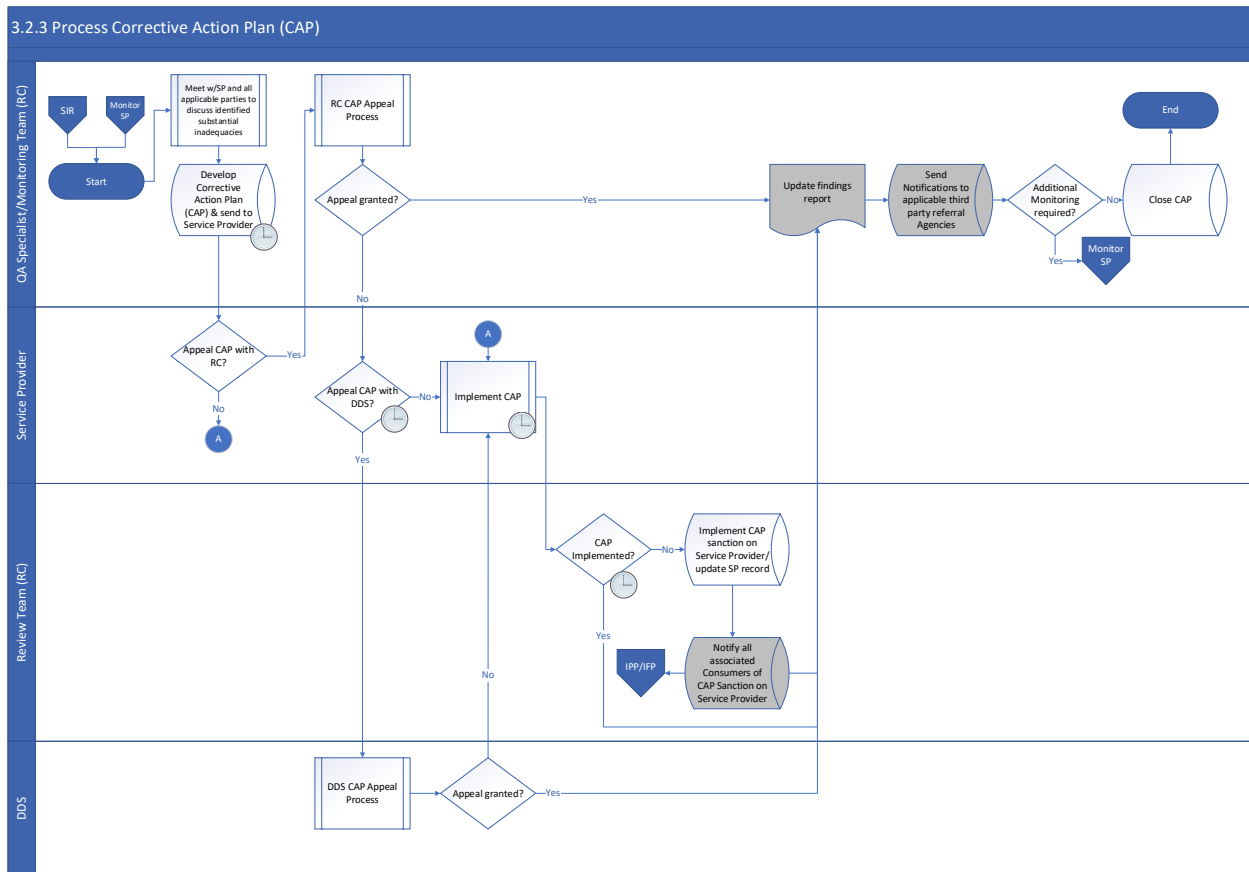
This process includes functionality related to creating, submitting, and resolving a Special Incident Report for a service provider. Special Incident Reports provide an opportunity for Consumers, service providers, or even third-party observers to submit concerning observations for follow up investigations.





### 3.2 Service Monitoring: 3.2.3 Process Corrective Action Plan (CAP)

This process includes functionality related to creating, submitting, and resolving a Corrective Action Plan (CAP). A CAP is initiated when a service provider has been identified as having a 'substantial inadequacy' which can result in a sanction applied to the Service Provider, meaning services are no longer suitable for Consumers.



## 4.0 Reporting

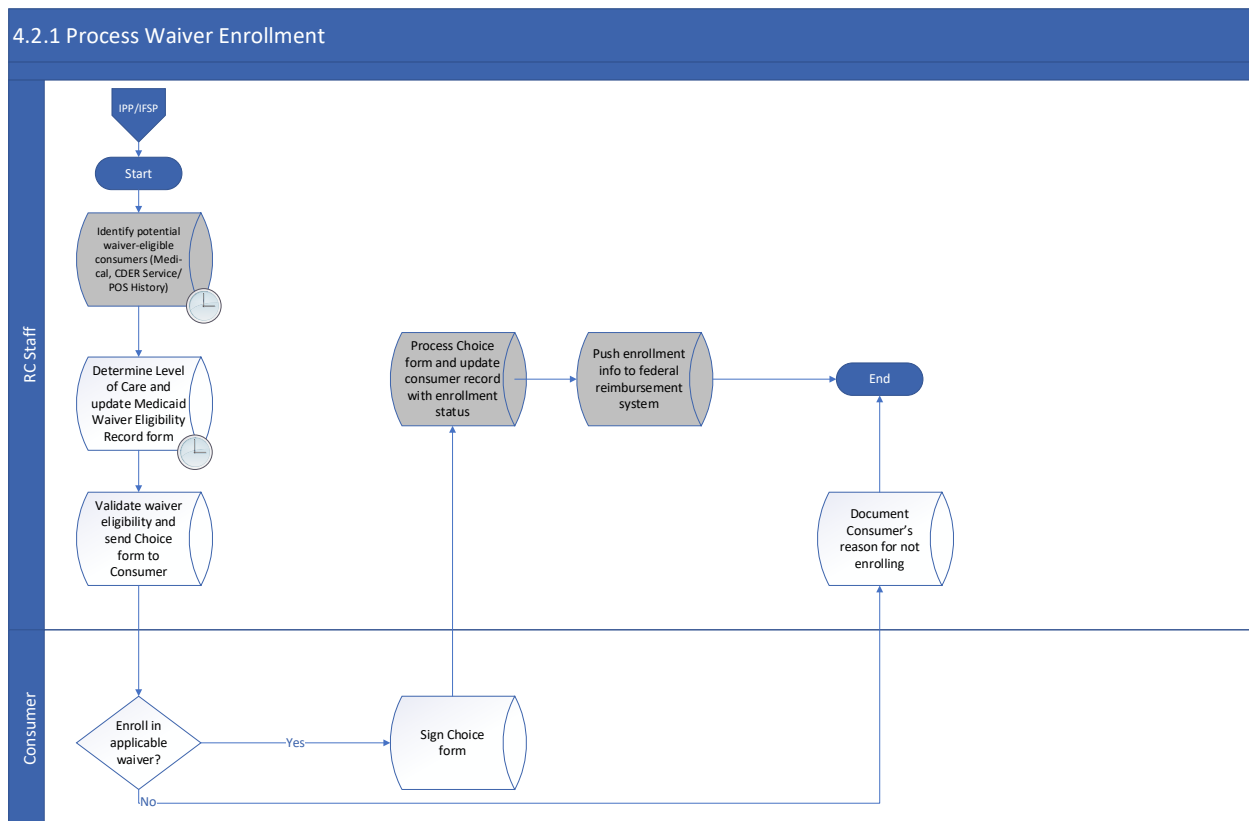
Throughout the course of case management activities, the RCs are also responsible for reporting on Consumers and the services they receive, the amount of time and money spent on those services, the disparities within those administered services, and on various Service Provider information. The Reporting functional area also covers the process of enrolling and managing Consumer's Waiver enrollment status (including re-enrollment, un-enrollment, and recertification).

### 4.1 Manage Reports: 4.1.1 Manage Reporting

Please see the Mid-Level requirements for 4.1.1 – Manage Reporting for an overview of reporting business needs.

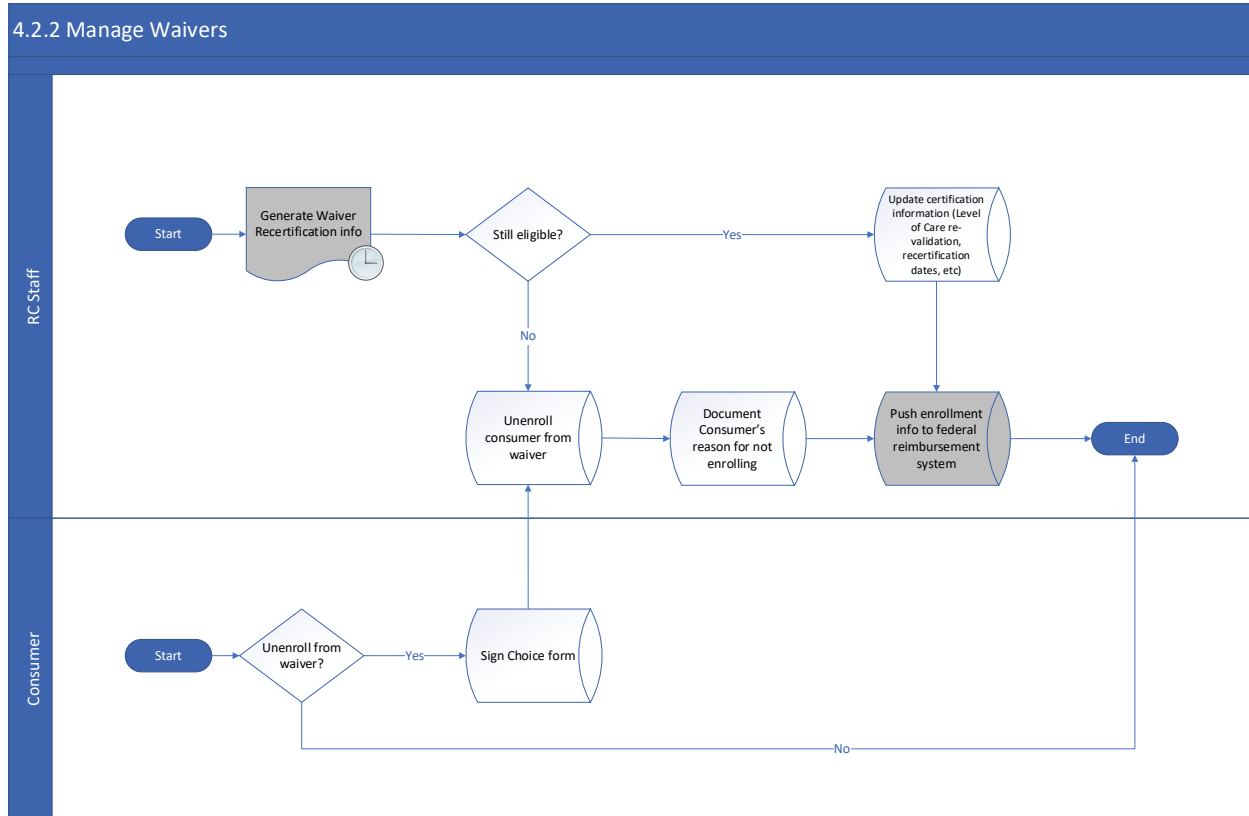
### 4.2 Waivers: 4.2.1 Process Waiver Enrollment

This process includes the functionality related to the enrollment of Consumers onto a Federal Waiver which allows their services and supports costs to be waived at a federal level. Each waiver's eligibility criteria is defined by the service type in the Consumer's purchase of service history.



### 4.2 Waivers: 4.2.2 Manage Waivers

This process includes functionality related to the management of the Consumer's enrollment status, including processing un-enrollments and re-certifications.



**5. CURRENT MANAGEMENT PROCESSES (Additional Info/Supplemental)**

From March 2022 through October 2022, the DDS project team comprised of DDS management, subject matter experts (SMEs), and business process consultants, documented and analyzed the current state, or “as-is “case management processes.

The project team performed individual research and information gathering, participated in over 20 team meetings, conducted facilitated sessions and interviews with three (3) levels of stakeholder groups including a group of internal DDS stakeholders, a stakeholder group from six (6) represented RCs and the Association of Regional Center Agencies (ARCA), and a stakeholder group from all twenty-one (21) RCs, participated in four (4) site visits for day in the life (DITL) sessions, modeled the required business processes, and identified process issues and existing challenges.

The project team developed 13 “as-is” case management processes and narrative descriptions. The processes are summarized in the table below. The process flows and narrative descriptions are specified in Section 7: As-Is Narratives and Workflows.



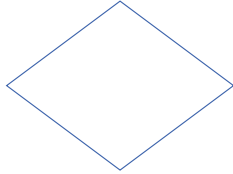

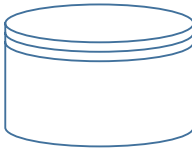
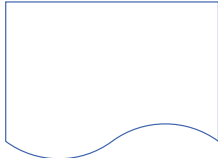
**Table 3: Case Management Processes**





Process	Process Summary
<p><b>1.0 Consumer Management</b></p>	<p>The management of Consumer information includes the ability to create and maintain a unique Consumer record, the applicant’s initial contact with the RC to the establishment of the applicant’s eligibility, assessments, and assignment of a Service Coordinator for both Lanterman and Early Start Consumers, and the creation, development, and maintenance of Consumer individualized plans, also known as the Individual Program Plan (IPP) and Individual Family Services Plan (IFSP) for Early Start Consumer. The IPP and IFSP are records of the decisions made by the planning team over the course of several detailed, personalized planning sessions with the Consumer and their family. The objective of both the IPP and IFSP process is to identify a plan that will help the Consumer achieve their goals and outcomes while addressing their needs.</p> <ul style="list-style-type: none"> <li>• 1.1 Consumer Records Management</li> <li>• 1.2 Consumer Intake &amp; Assessment</li> <li>• 1.3 Individualized Plan Creation &amp; Maintenance</li> </ul>

Process	Process Summary
<b>2.0 Vendor Management</b>	<p>Vendor Management includes the ability to create and maintain information related to the Vendor, including but not limited to the Service Provider's name and other standard information, program design specifications, tax and insurance information, and service information. This functional area also covers the ability to manage Vendor billing and rate information.</p> <ul style="list-style-type: none"> <li>• 2.1 Vendorization</li> <li>• 2.2 Vendor Monitoring</li> </ul>
<b>3.0 Service Management</b>	<p>The management of Services includes the creation and delivery of a request for service, through the implementation of services and quality assurance measures to be implemented on the Service Providers who administer services to the Department's Consumers.</p> <ul style="list-style-type: none"> <li>• 3.1 Service Requests (1 business process workflow)</li> <li>• 3.2 Service Monitoring (2 business process workflows)</li> </ul>
<b>4.0 Reporting</b>	<p>Reporting represents the functionality that allows users to compile data regarding the Consumers and/or the Service Providers. This area also represents the management of Consumer waiver data, which provides the ability to indicate which Consumers are eligible for available waiver program, or if they are currently enrolled in a waiver program.</p> <ul style="list-style-type: none"> <li>• 4.1 Compliance Reporting</li> </ul>

## 6. AS-IS WORKFLOW LEGEND (Additional Info/Supplemental)

All the As-Is business process workflows that appear in the next section were created using Microsoft Visio. Each workflow shape is associated with a standard concept. These concepts are outlined below.

<b>Symbol</b>	<b>Name</b>	<b>Definition</b>
	Start/End	An event that indicates where a particular process starts or ends. The start event starts the flow of the process and does not have any incoming sequence flow but can have a trigger. The end event ends the flow of the process, and thus will not have any outgoing sequence flows.
	Process or Task	A process or task is reflective of work that is performed to achieve and complete a business process.
	Decision	A 'decision' shows a decision point, shown as yes/no or other types of decisions. Each path emerging from the decision is labeled with one of the possible answers.
	Sequence	This connecting object shows the order in which activities are performed in a process. Sequence flows are represented with a solid graphical line. Each flow has only one source and only one target.
	Database/ System	Represents any system used to perform a process step or task.
	Document	Any document used/created in the process. This includes forms and reports. If the document is a form – indicate form name and/or number.

<b>Symbol</b>	<b>Name</b>	<b>Definition</b>
	Connectors (On Page)	This object is used to connect process steps within the same business process to avoid crossing sequence lines for readability.
	Connectors (Off Page)	This object is used to connect process steps on different pages in order to demonstrate inter-process dependencies and downstream impact.
	Message Flow	A message flow is used to indicate an associated communication or notification that goes along with a specific process step or task.
	Association	An association is used to indicate associations between data objects, text, and other artifacts with flow objects. Associations can be unidirectional or bidirectional and are used to show the inputs and outputs of activities.

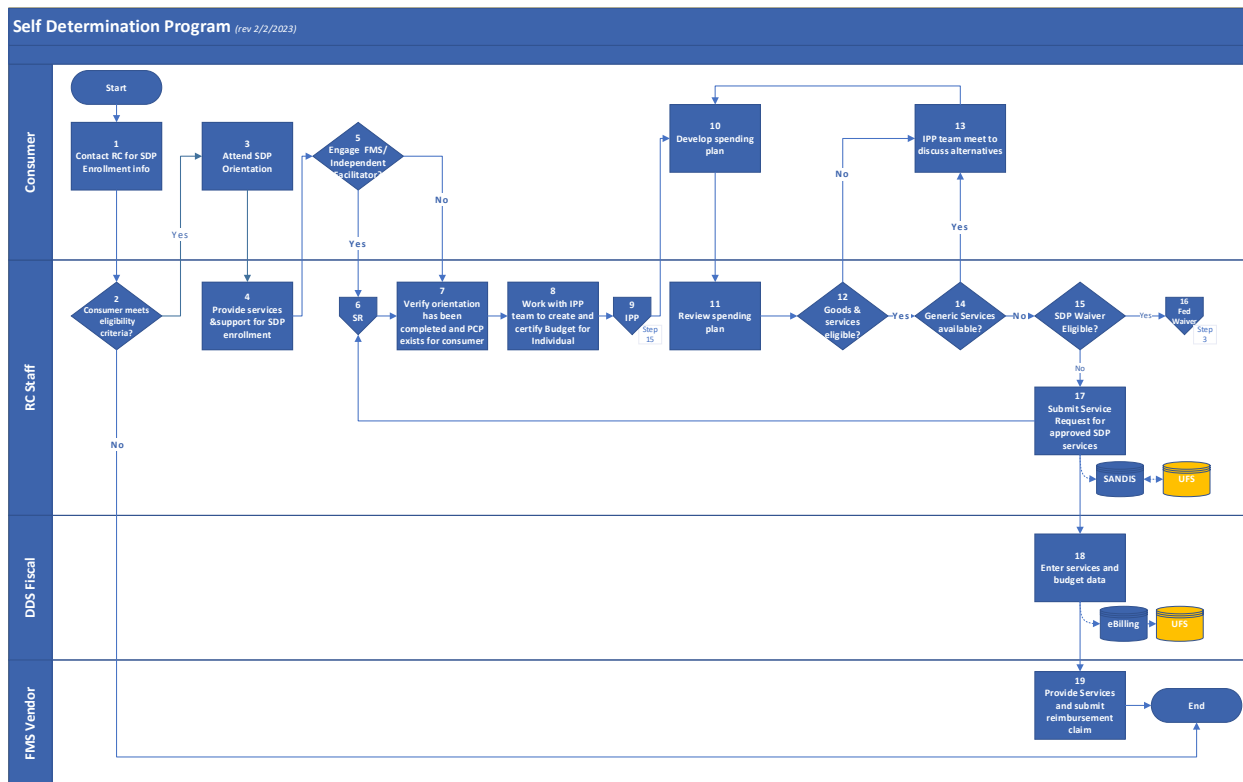
## 7. AS-IS NARRATIVE AND WORKFLOWS (Additional Info/Supplemental)

### 1.0 Case Management

Consumer Management is made up of the Consumer Records Management processes, which define the creation and maintenance of Consumer record data and status within the RC, the Consumer Intake & Assessment processes, which covers the applicant's initial contact with the RC to the establishment of the applicant's eligibility, assessments, and assignment of a Service Coordinator for both Lanterman and Early Start Consumers and Individualized Plan Creation & Maintenance workflows, which cover the creation, development, and maintenance of Consumer individualized plans, also known as the Individual Program Plan (IPP) and Individual Family Services Plan (IFSP) for Early Start Consumer. The IPP and IFSP are records of the decisions made by the planning team over the course of several detailed, personalized planning sessions with the Consumer and their family. The objective of both the IPP and IFSP process is to identify a plan that will help the Consumer achieve their goals and outcomes while addressing their needs.

#### 1.1 Consumer Records Management: 1.1.1 Self Determination Program (SDP)

The following workflow and narrative exhibits depict the current business processes for 1.1.1 Self Determination Program:





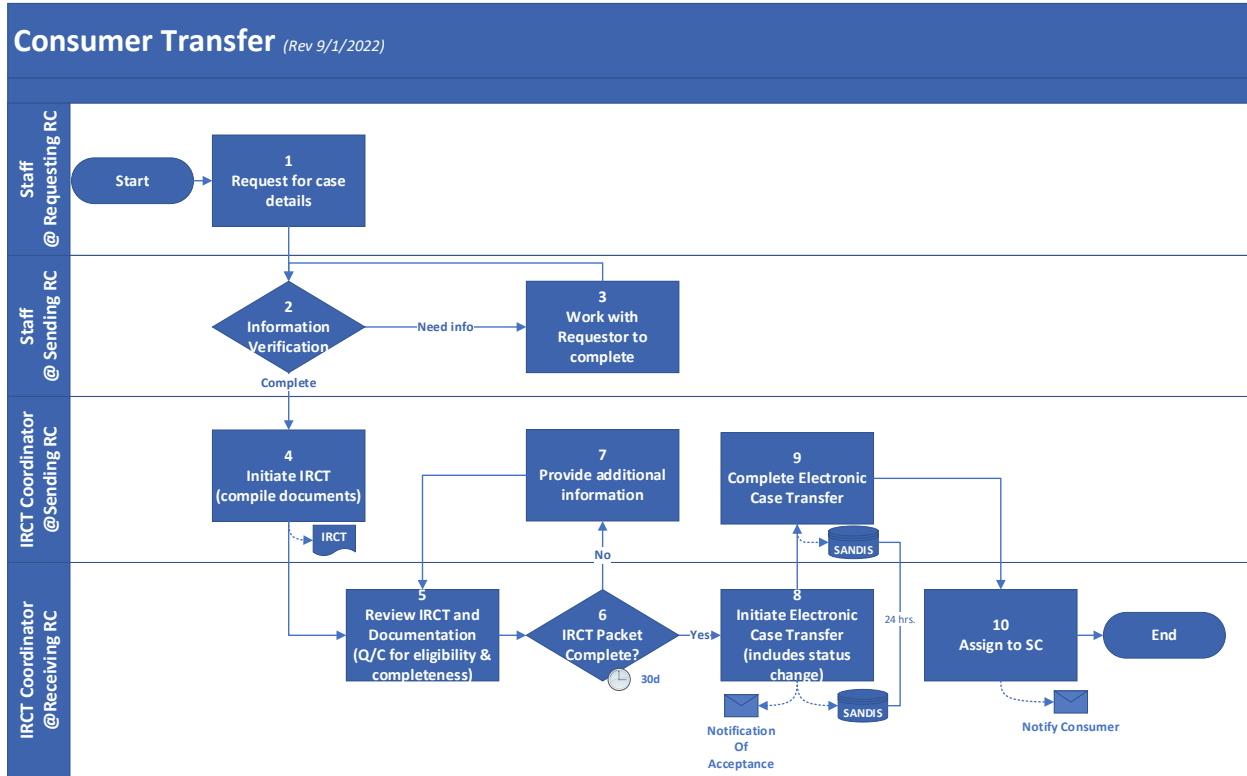
Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Contact RC for SDP Enrollment info	Consumer	The Consumer contacts the RC in order to acquire SDP enrollment information and support.	Consumer expresses an interest in SDP	
2	Determine if Consumer meets eligibility criteria?	RC Staff	The RC Staff member checks if the Consumer meets the criteria for enrolling in SDP.  If the Consumer is eligible for SDP enrollment, resume the process at step 3.  If the Consumer is not eligible to enroll at that time, end the process.	1	
3	Attend SDP Orientation	Consumer	The Consumer attends and completes the SDP Orientation.	2	
4	Provide services & support for SDP enrollment	RC Staff	The RC staff member offers any additional services and support needed to assist the Consumer to enroll in SDP.	3	
5	Determine whether to engage an independent facilitator or Financial Management Services (FMS) provider for enrollment supports	Consumer	The Consumer has the option to engage an independent facilitator or an FMS provider to assist them with the SDP enrollment process.  If the Consumer chooses to engage an independent facilitator or FMS provider, resume the process at step 6.  If the Consumer chooses to not engage an independent facilitator or an FMS provider, resume the process at step 7.	4	
6	Service Request (SR) Process	RC Staff	The Service Coordinator initiates the Service Request/Purchase of Service process.	5,17	SANDIS
7	Verify orientation has been completed and PCP exists for Consumer	RC Staff	The Service Coordinator verifies that the orientation has been completed by the Consumer and that a Person-Centered Plan (PCP) exists for the Consumer.	5, 6	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
8	Work with IPP team to create and certify Budget for Individual	RC Staff	The Service Coordinator works with the Consumer's IPP team to create and certify the Consumer's SDP budget based on the last 12 months of POS spent for services and the services documented in the IPP.	7	12-month expenditure report (SANDIS or UFS) Excel or word document
9	Initiate the Individual Program Plan (IPP) Process	RC Staff	The Service Coordinator initiates the IPP process at step 15 to complete an IPP review session and resumes the SDP process at step 10.	8	
10	Develop spending Plan	Consumer	The Consumer develops a spending plan based on their needs for services and within the certified budget amount.	9,13	Excel or word document
11	Review spending plan	RC Staff	The Service Coordinator conducts a review of the spending plan to ensure that the items specified by the Consumer are within the certified budget amount and align with the Consumer's goals and needs.	10	
12	Determine if goods & services are eligible	RC Staff	The Service Coordinator determines if the goods and services listed in the Consumer's spending plan are eligible.  If the goods and services are eligible, resume the process at step 14.  If the goods and services are not eligible, a reconvening of the IPP Team is held to discuss options to meet the needs of the Consumer with eligible goods and services, and the process resumes at step 13. <i>A Notice of Action (NOA) may be sent to the Consumer.</i>	11	
13	IPP team meet to discuss alternatives	Consumer	The Consumer meets with the IPP team to discuss and determine alternatives to ineligible services.  Resume the process at step 10.	12, 14	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
14	Determine if generic services are available	RC Staff	The Service Coordinator determines if generic services are available for any of the listed items on the Consumer's spending plan.  If generic services are not available, resume the process at step 15. If generic services are available, resume the process at step 13.	12	
15	Determine if the Consumer is eligible for SDP Federal Waiver	RC Staff	The RC staff determines if the Consumer is eligible for the SDP Federal Waiver.  If the Consumer is eligible, resume the process at step 16.  If the Consumer is not eligible for the SDP Federal Waiver, resume the process at step 17.	14	
16	Federal Waivers process	RC Staff	The RC Staff initiates the Federal Waiver Eligibility process at step 3.	15	
17	Submit Service Request for SDP services	RC Staff	The RC Staff submits service requests for all SDP services.	15	SANDIS, UFS
18	Enter services and budget data	DDS Fiscal	The DDS Fiscal team member enters the services and budget data into eBilling	17	eBilling, UFS
19	Provide Services and submit reimbursement claim	FMS Vendor	Vendors identified in the IPP provide the services. The FMS Vendor submits invoices to the RC for payment. The FMS Vendor pays the Vendors for services rendered.  (Note: Vendors may also bill directly to the RC for SDP services outside of the Consumer's spending plan – for example, Paid Internship Program funding).	18	

### 1.1 Consumer Records Management: 1.1.2 Consumer Transfer

The following workflow and narrative exhibits depict the current business processes for 1.1.2 Consumer Transfer:



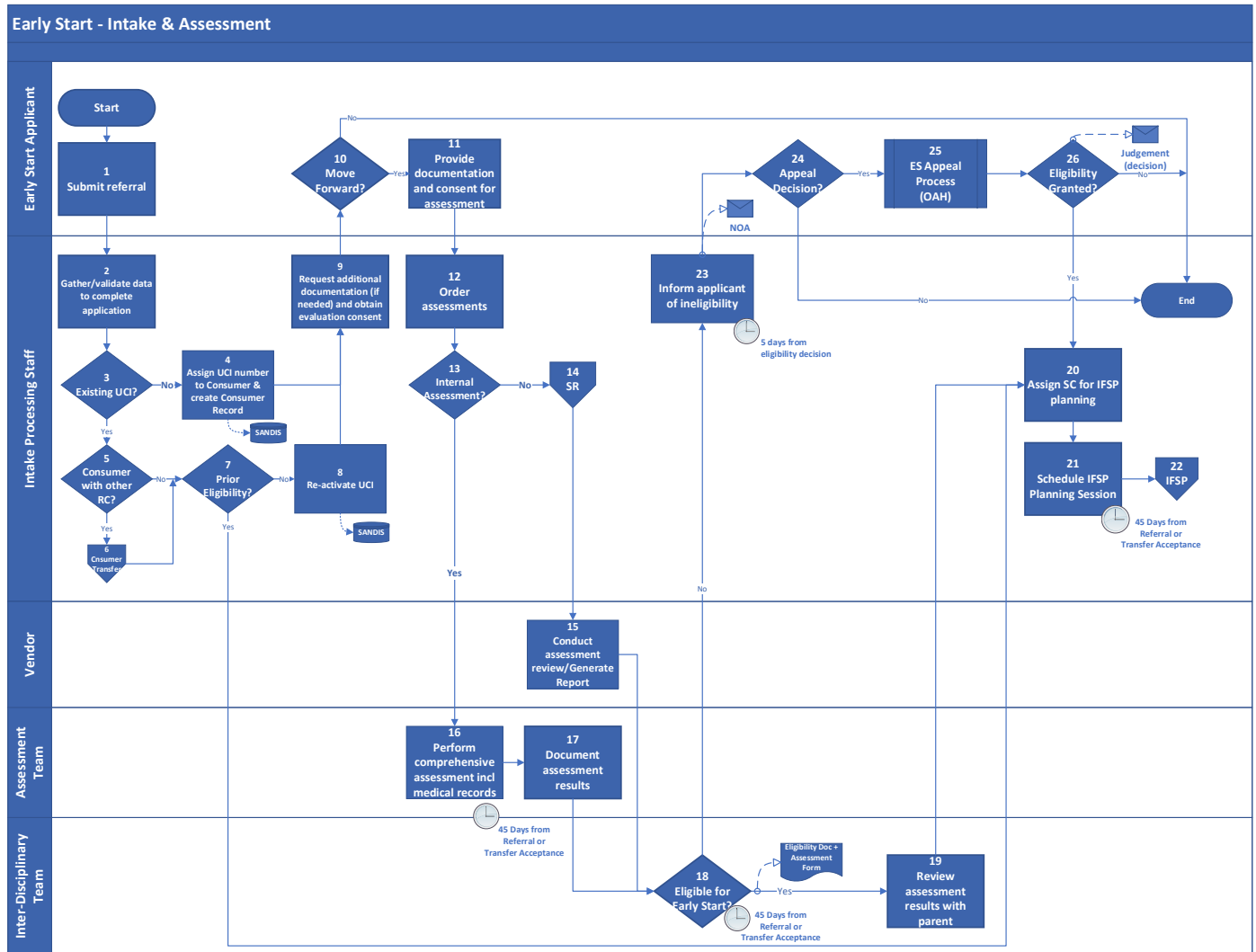
Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Request for case details	Staff @ Requesting RC	RC staff contacts the RC that has the Consumer record for case file/details for a potential Consumer transfer or share.	RC identifies individual as a Consumer with a different RC  1. A need for a transfer or sharing a Consumer between 2 RCs is identified.  2. Lanterman Intake & assessment – Step 6  3. Early Start Intake & Assessment Step 6	
2	Information Verification	Staff @ Sending RC	The staff member of the Sending RC performs a verification of the information available for the Consumer and determines if more information is needed to perform the transfer.  If more information is needed, resume the process at step 3.  If no further information is needed, resume the process at step 4.	1,3	
3	Work with Requestor to complete	Staff @ Sending RC	The Sending RC staff member works with the requestor to acquire any additional needed information to complete the Consumer transfer and will conduct an unannounced visit to the home to verify implementation of the planned actions.	2	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
4	Initiate Inter-Regional Center Transmittal (IRCT), (compile documents)	IRCT Coordinator @Sending RC	The IRCT Coordinator at the sending RC sends the IRCT form to the receiving RC with additional documentation. Some RCs place the documentation in an external solution. The transfer case is specified as a full transfer or a share at this step.	2	Drop Box/Therefore
5	Review IRCT and Documentation (Quality check for eligibility & completeness)	IRCT Coordinator @Receiving RC	The IRCT Coordinator at the receiving RC reviews the IRCT and documentation and confirms that the documentation is complete and confirms the Consumer is eligible. (Note this step is sometimes approved by a director of the RC).	4	
6	Determine if IRCT packet is complete	IRCT Coordinator @Receiving RC	The IRCT coordinator at the receiving RC determines if the IRCT packet is complete. The IRCT coordinator has 30 days to confirm this (completion times may vary between RCs).  If the packet is complete, resume the process at step 8. If the packet is not complete, resume the process at step 7.	5	
7	Provide additional information	IRCT Coordinator @Sending RC	The IRCT Coordinator at the Sending RC works with the IRCT coordinator at the receiving RC to provide the necessary information. Resume the process at step 5.	6	SANDIS
8	Initiate Electronic Case Transfer (ECT), (includes status change)	IRCT Coordinator @Receiving RC	The IRCT Coordinator at the receiving RC initiates the Electronic Case Transfer (ECT), updates the Consumer's status to reflect either a Shared Consumer or a new full-time Consumer, and sends a Letter of Acceptance to the sending RC.	6	SANDIS

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
9	Complete ECT	IRCT Coordinator @Sending RC	The IRCT Coordinator at the Sending RC completes the electronic case transfer.	8	SANDIS
10	Assign to Service Coordinator (SC)	IRCT Coordinator @Receiving RC	The IRTC coordinator at the Receiving RC assigns a Service Coordinator to the Consumer and notifies the Consumer of their successful transfer.	9	

### 1.2 Consumer Intake & Assessment: 1.2.1 Lanterman Intake & Assessment

The following workflow and narrative exhibits depict the current business processes for 1.2.1 Lanterman Intake & Assessment.





Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Contact regional center (RC) for services	Applicant	The applicant or applicant representative contacts the RC in order to request services.	1. The applicant or applicant's legal guardian has identified a potential need for RC services. 2. Individualized Family Service Planning (IFSP) Step 16 3. Referrals from third party community members	Phone, Email, In-Person Visit, Fax, Online Form
2	Gather/validate data to complete application	Intake Processing Staff	The Intake Processing staff member at the RC gathers necessary information from the applicant in order to process and complete an application.	1	Online Form (Not all RCS)
3	Check for existing Unique Consumer Identifier (UCI)	Intake Processing Staff	The Intake Processing staff member performs a statewide search to determine if there is an existing Consumer record associated with the applicant (UCI).  If the UCI exists, resume the process at step 5. If the UCI does not exist, resume the process at step 4.	2	SANDIS

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
4	Assign UCI to Consumer and create Consumer record	Intake Processing Staff	<p>The Intake Processing staff member creates a new Consumer record and assigns a UCI in SANDIS.</p> <p>(Note: some RCs have an Inquiry record in SANDIS while others track the applicant outside of SANDIS because at this stage it is not known if the applicant will be a Consumer or even evaluated for eligibility.)</p> <p>Resume process at step 9.</p>	3	SANDIS
5	Check if the UCI is with another RC	Intake Processing Staff	<p>The Intake Processing staff member checks if the applicant was previously with another RC.</p> <p>Intake Processing Staff also identify the Status Code with other RC as this would impact if reactivating or transferring.</p> <p>If yes, resume the process at step 6.</p> <p>If no, resume the process at step 7.</p>	3	
6	Consumer Transfer Process	Intake Processing Staff	<p>The Intake Processing staff member will initiate the Consumer transfer process for the Consumer.</p> <p>Resume the process at step 7.</p>	5	
7	Determine if Applicant has prior eligibility	Intake Processing Staff	<p>The Intake Processing staff member determines if the applicant has prior eligibility established.</p> <p>If yes, resume the process at step 24.</p> <p>If no, resume the process at step 8.</p>	5,6	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
8	Re-Activate UCI	Intake Processing Staff	The Intake Processing staff member re-activates (status change) the existing UCI for the Consumer in SANDIS  Resume the process at step 9.	7	SANDIS
9	Obtain Consent	Intake Processing Staff	The Intake Processing staff member obtains consent from the applicant or applicant's parent or legal guardian.	4,8	In person or email
10	Applicant determines if they want to move forward with the intake/assessment process.	Applicant	The applicant or applicant representative, determines if they want to continue with the intake process.  If the applicant moves forward, resume the process at step 11. If the applicant does not move forward, end the process.	9	In person or email
11	Determine if additional records review is needed.	Intake Processing Staff	The Intake processing staff member determines, based on the records obtained, if any additional documentation is needed to proceed.  (Note: The records provided could be from the applicant or from a different RC.)  If additional documentation is needed, resume the process at step 12.  If additional documentation is not needed, resume the process at step 14.	10	

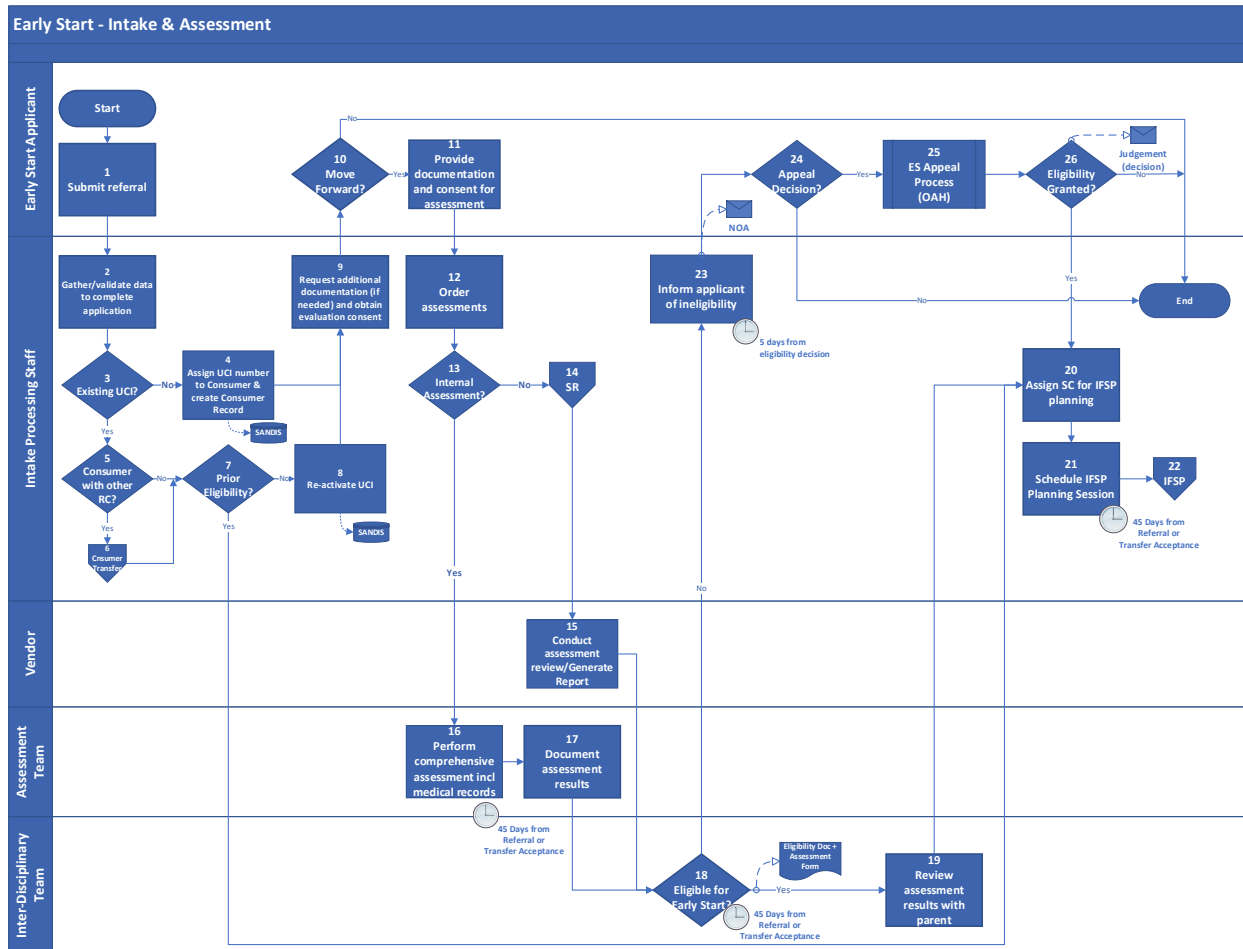
Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
12	Contact Consumer/ap plicant /guardian	Intake Processing Staff	The Intake Processing staff member contacts the applicant/guardian for additional documentation needed. Applicant must be contacted within 15 days of the RC receiving request for services.	11	Phone, Email, Paper Mail
13	Provide supplementary documentati on	Applicant	The applicant provides the additional requested documentation.	12	
14	Conduct social assessment	Intake Processing Staff	The RC conducts social assessments.	11, 13	
15	Determine assessments can be done internally, or if external assessments are needed	Intake Processing Staff	The intake processing staff determines whether the remaining assessments required can be conducted internally. (Note: if more than one assessment is required, the assessments for one Consumer may be determined to be both internal and external). For internal assessments, resume the process at step 17. For external assessments, resume the process at step 16.	14	
16	Service Request (SR) flow	Intake Processing Staff	The Intake processing staff submits a Request for Service for required external assessments. Refer to the Service Request Workflow for details. Once the SR Workflow is completed, resume the process at step 18.	15	SANDIS

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
17	Conduct assessment internally	Intake Processing Staff	The Intake processing staff orders internal assessments and documents the assessment reports provided by the entities performing the assessments.	15	
18	Conduct Assessment review	Multi-Disciplinary Team	The multi-disciplinary team reviews the assessment findings to determine eligibility	16, 17 and IFSP Step 16	
19	Determine if applicant is eligible for RC services	Multi-Disciplinary Team	<p>The multi-disciplinary team determines if the applicant is eligible for Lanterman services and is documented in the "Eligibility Document."</p> <p>If the applicant is eligible,</p> <ul style="list-style-type: none"> <li>- status is changed to "2" for Lanterman or</li> <li>- status "U" for Provisional eligibility</li> <li>- Client Development Evaluation Report (CDER) is created and resume the process at step 24.</li> </ul> <p>If the applicant is not eligible, resume the process at step 20.</p> <p>Eligibility determination must be made within 120 days from referral.</p> <p>If Consumer is at risk, determination must be made 60 days from referral.</p>	18	
20	Inform Consumer of Ineligibility via paper mail/ email	Intake Processing Staff	The intake processing staff informs the applicant that they are not eligible for services via a Notice of Action letter.	19	Paper mail

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
21	Appeal Decision?	Applicant	The applicant receives the NOA and determines if they will appeal the decision.  If applicant decides to appeal, resume the process at step 22 If not, process ends.	20	
22	Appeal Process (external process)	Applicant	The applicant initiates/ participates in the appeal process.	21	
23	Determine if Appeal is granted to applicant	Office of Administrative Hearings (OAH)	The appeal authority (this can vary by RC) determines if eligibility can be granted to the applicant.  If yes, resume the process at step 24.  If no, a notification of decision is sent and end process.	22	Paper mail
24	Assign Service Coordinator to Consumer	Intake Processing Staff	A member of the intake processing staff (this can vary among RC's but is typically a manager role) assigns the applicant (now a Consumer) to a Service Coordinator to begin the Individualized Program Plan (IPP) process.	7, 19, 23	
25	Initiate IPP Process	Intake Processing Staff	The Intake Processing staff member (or other RC staff) initiates the IPP Workflow by scheduling an IPP planning session with the Consumer and the Consumer's newly assigned Service Coordinator.	24	

## 1.2 Consumer Intake & Assessment: 1.2.2 Early Start Intake & Assessment

The following workflow and narrative exhibits depict the current business processes for 1.2.2 Early Start Intake & Assessment for applicants aged 0-3.



Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Submit referral	Applicant	A referral is submitted to the applicable RC on behalf of the applicant by a parent, legal guardian, doctor, or any other acquaintance.  (Note: the applicant is a child between the ages of 0-3 that may need Early Start services.)	1. A need for DDS services has been identified in a child between the ages of 0-3. This need can be identified by any party.	Email or phone, in person, paper form, Fax, (e.g., SARC) QR codes, Weblink, online application

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
2	Gather/validate data to complete application	Intake Processing Staff	The Intake Processing staff member at the RC gathers and validates the provided information (including noting the Referral Date) from the applicant/referrer in order to complete and submit an application.	1	
3	Check for existing UCI (Unique Consumer Identifier)	Intake Processing Staff	The Intake Processing staff member performs a statewide search in SANDIS to check if there is an existing Consumer record. If the UCI exists, resume the process at step 5. If the UCI does not exist, resume the process at step 4.	2	SANDIS
4	Assign UCI number to Consumer & create Consumer Record	Intake Processing Staff	The Intake Processing staff member assigns a UCI to the Consumer in SANDIS if they do not have an existing UCI. (Note: some RCs have an Inquiry record in SANDIS while others track the applicant outside of SANDIS because at this stage it is not known if the applicant will be a Consumer or even evaluated for eligibility.) Resume the process at step 9.	3	SANDIS
5	Check if the Consumer is with another RC	Intake Processing Staff	The Intake Processing staff member checks if the applicant was previously with another RC. If yes, resume the process at step 6. If no, resume the process at step 7.	3	SANDIS
6	Consumer Transfer Process	Intake Processing Staff	The Intake Processing staff member initiates and completes the Consumer transfer process.	5	



Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
7	Determine if Applicant has prior eligibility	Intake Processing Staff	The Intake Processing staff member determines if the applicant had prior eligibility. If yes, resume the process at step 20. If no, resume the process at step 8.	5, 6	
8	Re-Activate UCI	Intake Processing Staff	The Intake Processing staff member re-activates the existing UCI for the Consumer in SANDIS Resume the process at step 9.	7	SANDIS
9	Request additional documentation (if needed) and obtain evaluation consent	Intake Processing Staff	The Intake Processing staff member contacts the applicant's parents or legal guardian to obtain written consent for evaluation and additional documentation required for intake/assessment.	4,8	
10	Applicant determines if they would like to move forward with the intake/assessment process	Applicant	The applicant's parent or legal guardian determines if they will move forward with the intake process. If they decide to move forward, resume the process at step 11. If they decide not to move forward, the process ends.	9	Paper Mail
11	Provide documentation and consent for assessment	Applicant	The applicant's parent or legal guardian will provide the documentation requested and a written signature confirming their consent for assessment.	10	
12	Order Assessments	Intake Processing Staff	The Intake Processing staff member orders/schedules the appropriate assessments to determine eligibility.	11	3 <sup>rd</sup> party scheduling tool

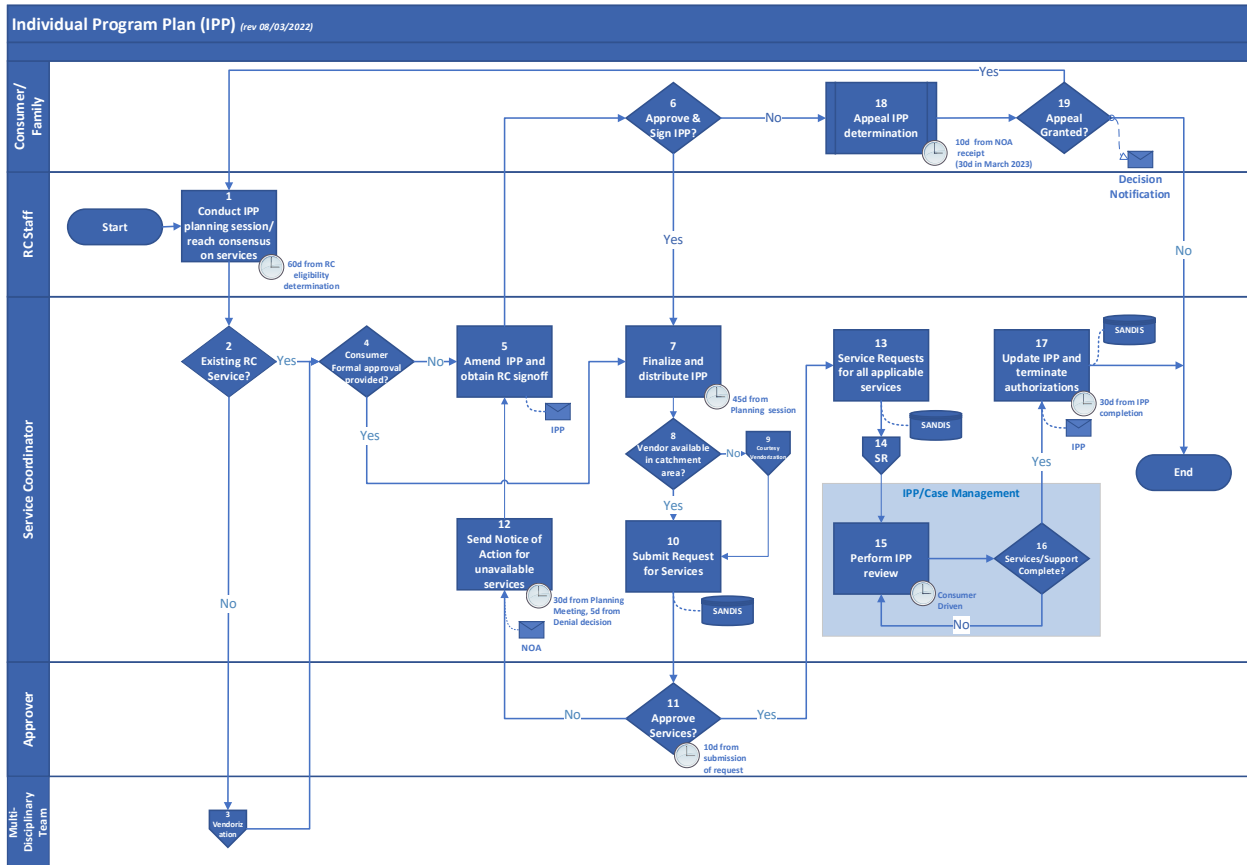
Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
13	Determine if Internal Assessment or external assessment is needed	Intake Processing Staff	The Intake Processing staff member determines if assessments for all (6) development areas can be done internally, or if any external assessments are required.  For internal assessments, resume the process at step 16.  For external assessments, resume the process at step 14.	12	
14	Service Request process	Intake Processing Staff	The Intake Processing staff member initiates the Service Request/Purchase of Service (POS) process to order the necessary external assessments.	13	SANDIS
15	Conduct Assessment Review/ Generate Assessment Report	Vendor	The Vendor conducts the assessment review and generates an assessment report.  Resume the process at step 18.	14	
16	Perform comprehensive assessment incl medical records	Assessment Team	The Internal Assessment Team performs a comprehensive review of all assessment reports and medical records. The Assessment team has 45 days from receipt of the referral (or transfer acceptance date) to complete this process step.  (Note: if an applicant is found eligible, the IFSP must be done within 45d and if not eligible, they must be notified within 45d).	13	
17	Document assessment results	Assessment Team	The Assessment team documents the results and findings of the assessment review.	16	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
18	Determine if applicant is eligible for Early Start	Inter-Disciplinary Team	The Inter-Disciplinary Team determines if the applicant is eligible for Early Start based on the assessment results.  If the applicant is eligible, the eligibility document and the assessment form are provided to the applicant's parent(s)/legal guardian(s), then resume the process at step 19.  If the applicant is not eligible, resume the process at step 23.	15,17	
19	Review assessment results with parent	Inter-Disciplinary Team	The Inter-Disciplinary Team meets with the applicant and parent/legal guardian to discuss the assessment results.	18	
20	Assign Service Coordinator for IFSP Planning	Intake Processing Staff	The Intake processing staff assigns a Service Coordinator (SC) to the applicant.	7, 19	
21	Schedule IFSP Planning Session	Intake Processing Staff	The Intake Processing staff or other RC staff member schedules the IFSP planning session.  This must be done within <b>45 days</b> of the initial referral (or transfer acceptance date) and early enough before the meeting date to ensure that parents/other attendees will be able to attend.	20	
22	IFSP Process	Intake Processing Staff	The Intake Processing staff member initiates the IFSP process.	21	
23	Inform applicant of ineligibility	Intake Processing Staff	The Intake Processing staff member will send the Notice of Action to the applicant's parents or legal guardians, informing them that they are not eligible for Early Start Services. The staff member has <b>5 days from the eligibility determination</b> to complete this step.	18	Paper Mail

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
24	Determine whether to appeal ineligibility determination	Applicant	The applicant's parents or legal guardians determines whether they want to appeal the determination of ineligibility via the Appeal process.  If yes, resume the process at step 25.  If no, the process ends.	23	
25	Appeal Process (External process)	Applicant	The applicant's parents or legal guardians initiate the Appeal process for eligibility determination.	24	
26	Determine if appeal is granted to applicant	OAH	The appeal process determines if the applicant is granted eligibility.  If they are granted eligibility, resume the process at step 20.  If they are not granted eligibility, the process ends.	25	Paper Mail

### 1.3 Individualized Plan Creation & Maintenance: 1.3.1 Case Management – Individual Program Plan (IPP)

The following workflow and narrative exhibits depict the current business processes for 1.3.1 Case Management – Individualized Program Plan (IPP).



Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Conduct Individualized Program Plan (IPP) planning session/reach consensus on services	RC Staff	<p>The RC Staff schedules and conducts an initial planning session with the Consumer and their Planning Team (including their conservator(s) or legal guardian(s), circle of support).</p> <p>Initial IPP session must occur within <b>60 days</b> of eligibility determination.</p> <p>The RC Staff member will discuss the Consumer's needs and goals to identify the appropriate (generic or vendored RC) services that will help the Consumer achieve those goals and outcomes.</p>	<ol style="list-style-type: none"> <li>1. Applicant has been determined to be eligible for RC services and has a scheduled planning session.</li> <li>2. Step 19</li> <li>3. Lanterman Intake &amp; Assessment - Step 25</li> <li>4. Vendor Monitoring Step 7</li> </ol>	
2	Determine if the services indicated are existing vendored services at that RC	Service Coordinator or	<p>The Service Coordinator determines if services indicated in the IPP are accessible via the RC. (Whether within their catchment area or via a courtesy vendorization)</p> <p>If yes, resume the process at step 4.</p> <p>If no, resume the process at step 3.</p>	1	
3	Vendorization Process	Inter-Disciplinary Team (IDT)	<p>If no Vendor exists in the RCs catchment area to provide a service indicated in the IPP, the IDT can initiate the Vendorization process to explore if there is a Vendor for the identified service.</p>	2	
4	Determine if Consumer has formally approved the IPP	Service Coordinator or	<p>The RC confirms that the Consumer has granted formal approval for the IPP.</p> <p>If yes, resume the process at step 7.</p> <p>If no, resume the process at step 5.</p>	2,3	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
5	Amend IPP and obtain RC signoff	Service Coordinator	The Service coordinator makes any changes necessary to the IPP, signs off on the IPP, and sends the IPP to the Consumer for sign off.	4,12	Paper Mail
6	Approve IPP?	Consumer	The Consumer determines whether they approve the IPP. If there is a disagreement between the Consumer and the RC regarding whether the services are required, the Consumer can appeal the decision.  If approved, resume the process at step 7.  If denied, resume the process at step 18.	5	Paper Mail, Email
7	Finalize and Distribute IPP	Service Coordinator	The Service Coordinator finalizes the signed IPP and distributes it to the appropriate parties.  The Service Coordinator has <b>45 days</b> from the planning session (step 1) to complete this process step.	4, 6	SANDIS, Paper Mail, email
8	Determine if Vendor is available in the catchment area	Service Coordinator	The Service Coordinator determines if a Vendor is available in the RC's catchment area for services identified in the IPP.  If a vendor is available for the given service, resume the process at step 10.  If vendor is not available, resume the process at step 9 for the given service.  (Note: for the purposes of this process, more than 1 request could result in a series of approvals and denials.)	7	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
9	Courtesy Vendorization Process	Service Coordinator	The Service Coordinator initiates the Courtesy Vendorization process if they have identified an available Vendor from a different catchment area for one or more of the approved IPP services.	8	
10	Submit Service Authorization Request	Service Coordinator	The service coordinator submits a service authorization request for all available IPP services.	8, 9	SANDIS
11	Approve or Deny services	Approver	<p>The designated Approver(s) (i.e., case management Supervisors, Program Managers) determine whether to approve services identified by the Service Coordinator.</p> <p>The Approver has <b>10 days</b> from submission of the authorization request (step 10) to complete this process step.</p> <p>If approved, resume the process at step 13.</p> <p>If not approved, resume the process at step 12.</p>	10	SANDIS
12	Send Notice of Action (NOA) for unavailable services	Service Coordinator	<p>The Service Coordinator sends a Notice of Action to the Consumer indicating the denial of the services.</p> <p>The Service coordinator has <b>30 days</b> from the planning session (Step 1) and <b>5 days</b> from the approval determination (Step 11) to send the NOA.</p> <p>Resume the process at step process step 5.</p>	11	Paper Mail
13	Service Requests for all applicable services	Service Coordinator	The Service Coordinator submits Service Requests to initiate the Purchase of Service (POS) for all approved services.	11	SANDIS

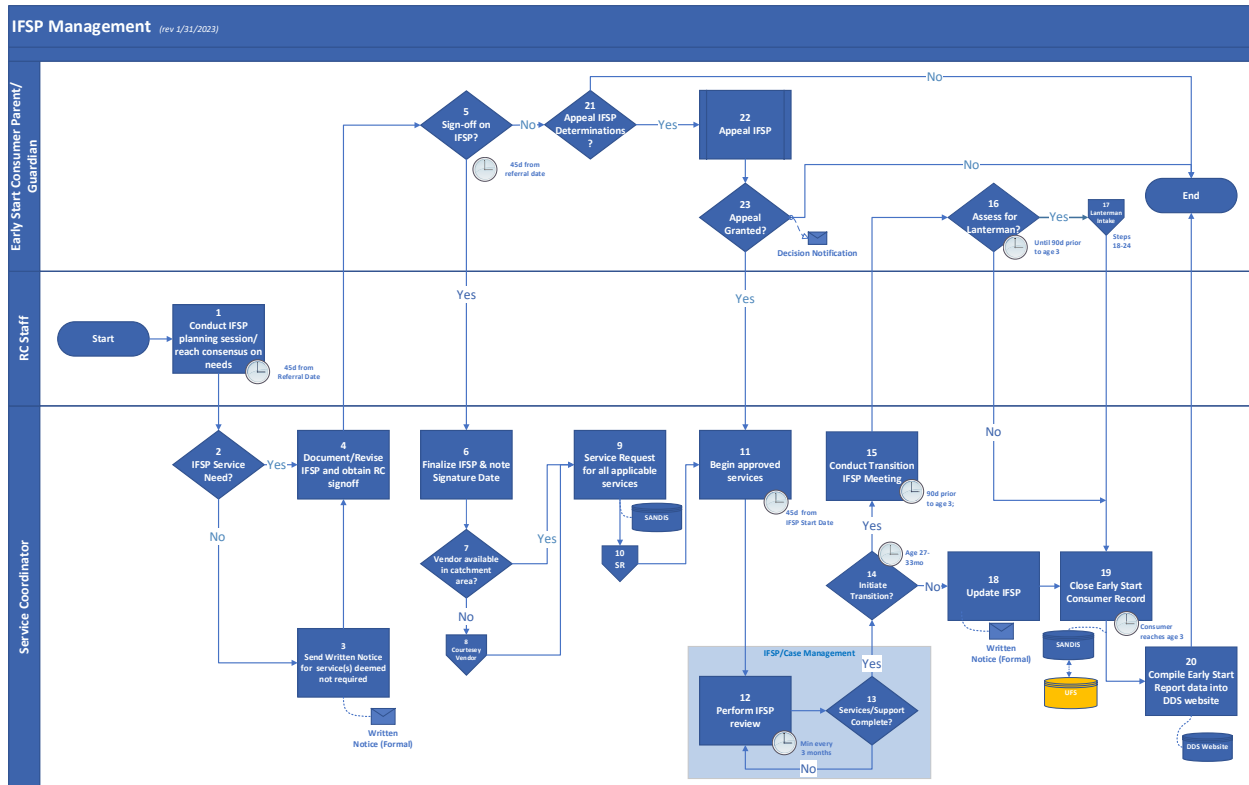


Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
14	Service Request Process	Service Coordinator	The Service Coordinator initiates the Service Request process.	13, Service Request step 16	SANDIS
15	Perform IPP review	Service Coordinator	On a recurring basis, the Consumer meets with the Service Coordinator in order to perform an IPP review. During this review, the Consumer can indicate which services are still needed and which are not. The review must happen at least once every 3 years (circumstances may vary depending on the Consumer's needs), but the Consumer can request an IPP review at any time.	<ol style="list-style-type: none"> <li>1. Step 14</li> <li>2. Step 16</li> <li>3. Upon Consumer Request</li> <li>4. Self Determination Program – step 9</li> <li>5. Vendor Monitoring - step 7</li> <li>6. Service Request – step 16</li> </ol>	
16	Determine if Services and supports are complete	Service Coordinator	<p>The Service coordinator determines, during the review, which services are still applicable for the Consumer, and which are not.</p> <p>If services are still required, resume the process at step 15 and repeat the process.</p> <p>If services are no longer required, resume the process at step 17.</p>	15	
17	Update IPP and terminate authorizations	Service Coordinator	<p>The Service Coordinator updates the IPP and submits a termination for the service authorizations.</p> <p>Related authorizations must be terminated within <b>30 days</b> of IPP completion.</p>	16	SANDIS
18	Appeal IPP determinations	Consumer	<p>The Consumer initiates the IPP Appeal process. The Consumer has <b>10 days from the receipt of the NOA</b> to initiate the appeal.</p> <p>(Note: Starting March 1, 2023, this will change to 30 days).</p>	6	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
19	Determine if appeal has been granted	Consumer	If the IPP Appeal is granted, resume the process at step 1. If not, the Consumer is notified of the appeal decision and end the process.	18	Paper Mail

### 1.3 Individualized Plan Creation & Maintenance: 1.3.2 Case Management – Individual Family Services Plan (IFSP)

The following workflow and narrative exhibits depict the current business processes for 1.3.2 Case Management – Individual Family Services Plan (IFSP).



Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Conduct Individual Family Services Planning (IFSP) session/reach consensus on needs	RC Staff	The RC Staff conducts an IFSP planning session with the Service Coordinator, the Consumer, and the Consumer's parent/legal guardians. The Representative has <b>45 days from the referral date</b> to complete this step.	1. The Consumer has been determined to be eligible for Early Start services, assigned a Service Coordinator and an IFSP session has been scheduled. 2. Early Start Intake & Assessment Step 22 3. Vendor Monitoring Step 7	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
2	Determine if IFSP services discussed are required	Service Coordinator	The Service Coordinator Determines if all of the services discussed in the IFSP planning session are required for the Consumer or if any are not available.  If services are all required and available, resume the process at step 4.  If not, all services are required or available, resume the process at step 3.	1	
3	Send Written Notice for service(s) deemed not required	Service Coordinator	The Service Coordinator sends a written notice to the Consumer's parents/legal guardians informing them of the services that have been deemed not required from the IFSP planning session.	2	Paper Mail
4	Document/Revise IFSP and obtain RC signoff	Service Coordinator	The Service Coordinator documents any revisions in the IFSP, signs off on the plan on behalf of the RC, and sends the IFSP to the Consumer's parent(s) or the person/entity having educational rights over the child for signature.	2,3	
5	Determine if sign off on IFSP is obtained	Early Start Consumer Parent/Guardian	The Consumer's parents/legal guardians determine if they agree to the IFSP submitted by the Service Coordinator.  If yes, resume the process at step 6.  If no, resume the process at step 21.	4	
6	Finalize IFSP	Service Coordinator	The Service Coordinator finalizes the information and services detailed in the IFSP and the information from the IFSP is entered into the DDS ESR Website for the ESR report.	5	DDS ESR Website

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
7	Vendor Available in catchment area for services?	Service Coordinator	The Service Coordinator confirms that there is an available Vendor available for each of the listed services documented in the IFSP.  If the Vendor is not available in the catchment area, resume the process at step 8.  If a Vendor is available in the catchment area, resume the process at step 9.	6	
8	Courtesy Vendor process	Service Coordinator	The Service Coordinator initiates and completes the Courtesy Vendor process in order to locate a Vendor for the Consumer's specified unavailable services.	7	
9	Service Request for all applicable services	Service Coordinator	The Service Coordinator submits a service request for all applicable services.	7, 8	SANDIS
10	Service Request (SR) Process	Service Coordinator	The Service Coordinator initiates and completes the Service Request/Purchase of Service process for all approved services.	9	SANDIS
11	Begin approved services	Service Coordinator	The Service Coordinator confirms that the services are administered. The services must begin within <b>45 days</b> of post IFSP Planning Session (step 6).	10,21	
12	Perform IFSP review	Service Coordinator	The Service Coordinator meets with the Consumer and their parent or guardian for the quarterly IFSP review. (Note: An IFSP review can be initiated at any time by the Consumer's parents/legal guardians. The IFSP review must be done on a quarterly basis at a minimum).	11,13 Vendor Monitoring, step 7	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
13	Determine if Services & support is complete	Service Coordinator	<p>The Service Coordinator determines if any additional services are needed or if the services and supports have been completed or if the Consumer has reached transition age.</p> <p>If services and support are complete, resume the process at step 14.</p> <p>If the services and support are not complete, resume the process at step 12.</p>	12	
14	Initiate Transition?	Service Coordinator	<p>The Service Coordinator determines if the transition process should be initiated (the transition process must be initiated when the child is between the ages of 27 and 33 months old). The Service Coordinator also sends a formal referral to the Local Education Agency.</p> <p>If the child will be continuing services beyond age 3, resume the process at step 15.</p> <p>If the child will not be continuing services (e.g., moving out of catchment area), resume the process at step 18.</p>	13	
15	Conduct Transition IFSP Meeting	Service Coordinator	<p>The Service Coordinator conducts the Transition IFSP meeting with the parents/legal guardians, the Local Educational Agency, and any other applicable parties to initiate the transition process.</p>	14	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
16	Assess for Lanterman?	Early Start Consumer Parent/Guardian	The Early Start Consumer parent/guardian determines if they would like to continue with assessment for Lanterman eligibility or provisional eligibility for the Consumer (at least 90 days before their 3 <sup>rd</sup> birthday) to determine if the Consumer is eligible for provisional or Lanterman eligibility.  If an assessment is requested, resume the process at step 17.  If the assessment is not requested, resume the process at step 18.	15	
17	Lanterman Intake process	Service Coordinator	The Service Coordinator initiates the Lanterman Eligibility process at step 17. After completion of Lanterman workflow, step 24, resume IFSP at step 19.	16	
18	Update IFSP	Service Coordinator	The Service Coordinator updates the IFSP to reflect Consumer will not be transitioning and submits terminations for service authorizations for any services that are no longer needed.	14	SANDIS, Paper Mail
19	Close Early Start Consumer Record	Service Coordinator	The Service Coordinator closes the Early Start record and updates the status accordingly. – This occurs at the latest by age 3.  <i>*The DDS ESR Website record is also closed.</i>	16, 17	SANDIS
20	Compile Early Start Report data into DDS website	Service Coordinator	The Service Coordinator compiles and enters complete Early Start reporting (ESR) data directly into the DDS ESR Website.	19	DDS ESR Website

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
21	Appeal IFSP determinations	Early Start Consumer Parent/Guardian	The Consumer's parents or legal guardians determine if they want to initiate the Appeal process for the IFSP determinations.  If Consumer's parents or legal guardians decide to appeal, resume the process at step 22 If not, end process	5	
22	IFSP Appeal Process (External process)	Consumer Representative	The appeal process is initiated and completed.	21	
23	Determine if appeal is granted to applicant	Early Start Consumer Parent/Guardian	The appeal process determines if the Consumer's parents or legal guardian's appeal is granted.  If the appeal is granted, resume the process at step 11.  If the appeal is not granted, end the process.	22	

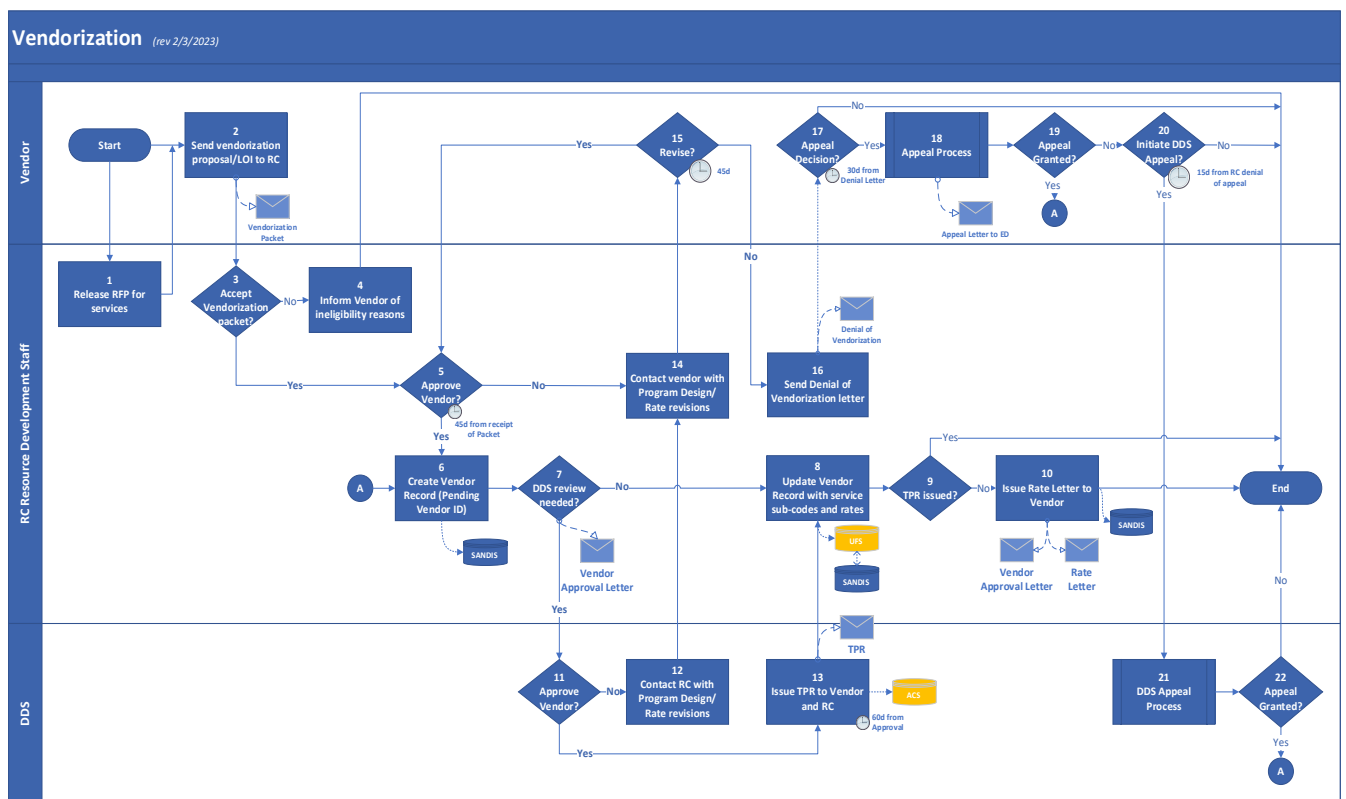


## 2.0 Vendor Management

Vendor Management covers the processes by which a Vendor applies or responds to a request from the RC to enroll as a contracted Vendor, and the quality assurance (QA) and monitoring activities performed on Vendors for compliance purposes, during which RC staff conduct visits, compile reports, and perform investigations (if necessary) in order to ensure adherence to compliance standards for enrolled Vendors.

### 2.1 Vendorization: 2.1.1 Vendorization

The following workflow and narrative exhibits depict the current business processes for 2.1.1 Vendorization:



Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Release Request for Proposal (RFP) for services	RC Resource Development Staff	The RC Resource Development staff releases an RFP for required services to the Vendor community.	A service need is identified for which there is no Vendor at the given RC (Early Start or Lanterman intake)	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
2	Send Vendorization application/ Letter of Intent (LOI)/proposal package to RC	Vendor	The Vendor submits Vendor Application/Letter of Intent (LOI)/proposal to the RC.	<ol style="list-style-type: none"> <li>Step 1</li> <li>A stakeholder has identified a Vendor need, for example, through the use of a public survey.</li> </ol>	
3	Accept Vendorization packet?	RC Resource Development Staff	<p>The RC Resource Development staff determines if the application package will be accepted (reasons for not accepting the packet include: the Vendor being outside of the RC's catchment area, the Vendor having Secretary of State (SOS) or Franchise Tax Board (FTB) fines levied against them, etc.).</p> <p>If the packet is accepted and complete, resume the process at step 5.</p> <p>If the packet is not accepted, resume the process at step 4.</p>	2	
4	Inform Vendor of ineligibility reasons	RC Resource Development Staff	The RC Resource Development staff informs the Vendor of ineligibility reasons, and the process ends.	3	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
5	Approve Vendorization Packet and Program Design?	RC Resource Development Staff	<p>The RC Resource Development staff works with the Vendor to determine if the program design detailed in the application package meets the acceptance criteria and follows regulations.</p> <p>The staff member has 45 days from receipt of the <u>complete</u> application to make a determination.</p> <p>If the program design is approved, resume the process at step 6.</p> <p>If the program design is not approved, resume the process at step 14.</p>	3,15	
6	Create Vendor Record (Pending Vendor ID)	RC Resource Development Staff	<p>The RC Resource Development staff creates the pending Vendor Record.</p> <p>(Note: The Vendor ID at this stage is pending, which means Service Requests cannot be sent out or ordered for the Vendor.)</p>	5	SANDIS, Paper Mail, Data Query Systems (New Generation System, NGS, Qport) MicroEdge GIFTS
7	Determine if DDS review is needed	RC Resource Development Staff	<p>The RC Resource development staff determines if rate approval from DDS is required based on the type of service.</p> <p>If DDS review is required, the Vendor approval letter is sent to DDS and resume the process at step 11.</p> <p>If DDS review is not required, resume the process at step 8.</p>	6	

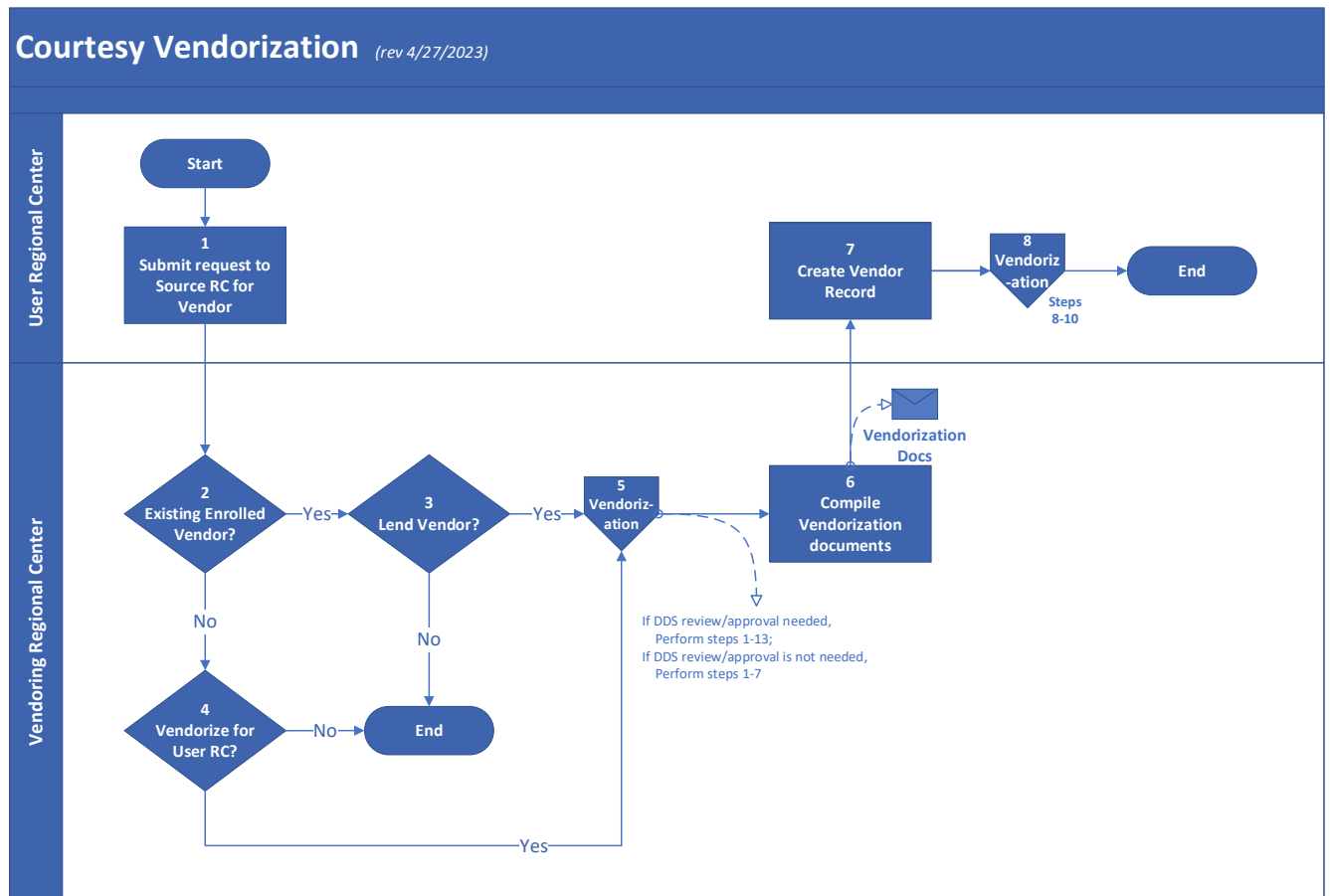
Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
8	Update Vendor Record with service sub-codes and rates	RC Resource Development Staff	The RC resource development staff updates the Vendor record with complete information, including service rates, codes, and sub-codes. Vendor data is sent daily via a bridge between SANDIS and UFS and the Vendor is enrolled into eBilling and EFT.	7,13	SANDIS, UFS/EFT/eBilling
9	Determine if Temporary Payment Rate (TPR) has been issued	RC Resource Development Staff	The RC resource development staff determine if a TPR has been issued (by DDS) to the Vendor.  If a TPR has already been issued, end the flow. If a TPR has not been issued, resume the process at step 10.	8	
10	Issue Rate Letter to Vendor	RC Resource Development Staff	The RC Resource development staff issues a rate letter to the Vendor informing them of their program design approval and rate information, and the Vendor Coordinator will generate a Vendor Status Notification (VSN) from SANDIS, which will be filed, and a copy sent to the Vendor and the process ends.	9	SANDIS, Paper Mail
11	Approve RC to continue Vendorization Process?	DDS	DDS receives the information from the RC (including the vendor approval letter) and determines if the program design is approved.  If DDS approves the program design, resume the process at step 13.  If DDS does not approve the program design, resume the process at step 12.	7	Certified Mail, Email, FileBound

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
12	Contact RC with Program Design/Rate revisions	DDS	DDS informs the appropriate RC of the revisions needed in order to approve the Vendor. Skip to step 14.	11	
13	Issue Temporary Payment Letter (TPR) to RC	DDS	DDS issues a Temporary Payment Letter (TPR) to the Vendor and the RC. DDS has 60 days from the approval determination to complete this process step. Resume the process at step 8.	11	ACS
14	Contact Vendor with Program Design/Rate revisions	RC Resource Development Staff	The RC contacts the Vendor with the appropriate revisions needed.	5, 12	
15	Revise?	Vendor	The Vendor determines whether to implement the specified changes requested by the RC. The Vendor has 45 days to complete the revisions (if the revisions are not complete within 45 days, the timer resets). If the Vendor revises the package, resume the process at step 5. If the Vendor chooses not to revise the design, resume the process at step 16.	14	
16	Send Denial of Vendorization letter	RC Resource Development Staff	The RC Resource Development Staff sends the Denial of Vendorization letter to the Vendor to inform them of their ineligibility.	15	Paper Mail

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
17	Appeal Decision?	Vendor	The Vendor determines if they want to appeal the ineligibility determination. They have 30 days from receipt of notification to file the appeal.  If yes, resume the process at step 18.  If no, end the process.	16	Certified Mail
18	Appeal Process (External process)	Vendor	The Vendor initiates the (RC) Appeal process for eligibility determination, submitting an Appeal Letter to the Executive Director (ED).	17	
19	Appeal Granted?	Vendor	If the appeal is granted, resume the process at step 6.  If the appeal is not granted, resume the process at step 20.	18	
20	Initiate DDS Appeal?	Vendor	The Vendor can appeal with DDS if the RC appeal is denied. They have 15 days from receipt of written notice  If the Vendor chooses to appeal with DDS, resume the process at step 21.  If the Vendor chooses not to appeal with DDS, the process ends.	19	
21	DDS Appeal Process	DDS	DDS initiates and completes the appeal process for the Vendor.	20	
22	Appeal granted?	DDS	DDS Determines if the appeal is granted to the Vendor.  If DDS grants the appeal to the Vendor, resume the process at step 6.  If the appeal is not granted, the process ends.	21	

## 2.1 Vendorization: 2.1.2 Courtesy Vendorization

The following workflow and narrative exhibits depict the current business processes for 2.1.2 Courtesy Vendorization:



Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Submit request to Source RC for Vendor	User RC Vendor Coordinator	The requesting RC Vendor coordinator submits a request to the source RC for a Vendor in the source RC's catchment area.	1. A need for a Vendor that exists in a different catchment area is identified. 2. IPP Step 9 3. IFSP Step 8	Phone, email

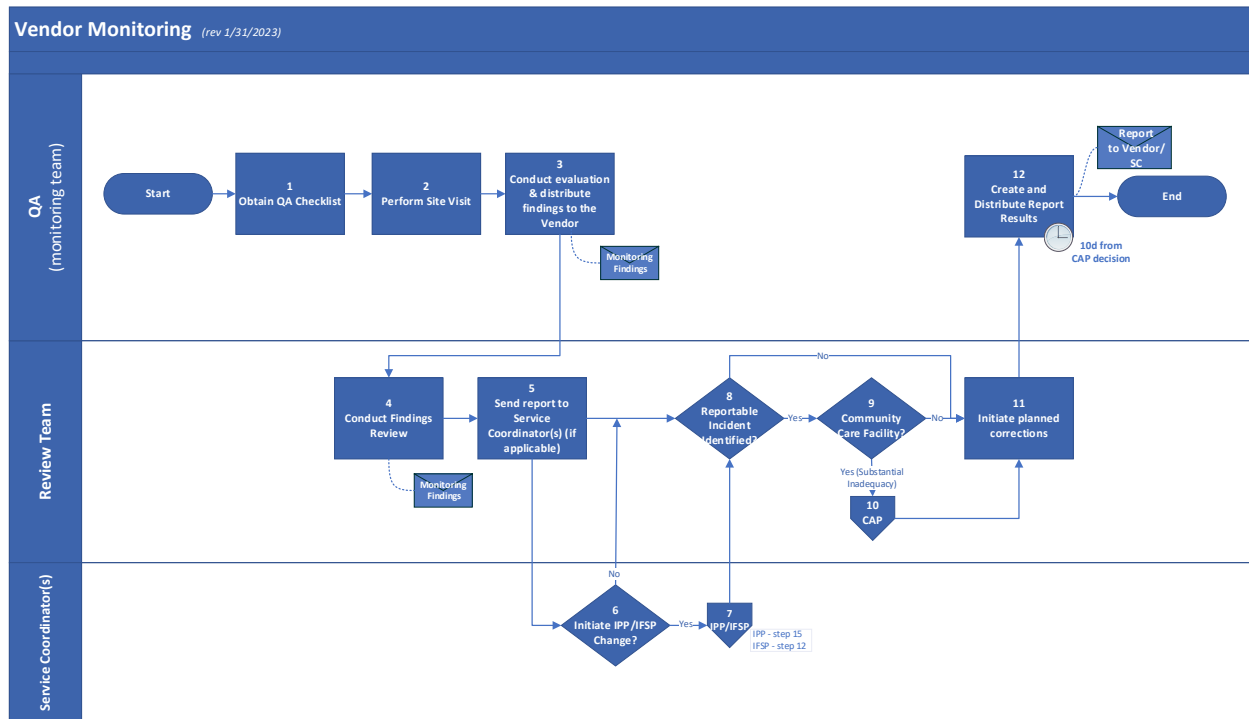
Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
2	Determine if an enrolled Vendor already exists	Vendoring RC Vendor Coordinator	<p>The source RC Vendor Coordinator confirms if the Vendor exists in their catchment area which fulfills the need of the requesting RC.</p> <p>If yes, resume the process at step 3.</p> <p>If no, resume the process at step 4.</p>	1	
3	Determine if vendor will be lent	Vendoring RC Vendor Coordinator	<p>The source RC Vendor Coordinator confirms if the Vendor exists in their catchment area which fulfills the need of the requesting RC.</p> <p>(Note: For some RCs, the term 'utilization' is used for instances in which a Vendor is already enrolled.)</p> <p>If yes, resume the process at step 3.</p> <p>If no, resume the process at step 4.</p>	2	
4	Determine if Vendorization for Requesting RC	Vendoring RC Vendor Coordinator	<p>The source RC Vendor Coordinator determines if they will enroll a new Vendor on behalf of the requesting RC.</p> <p>If yes, resume the process at step 5</p> <p>If no, end the process.</p>	2	



Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
5	Go to Vendorization flow	Source RC Vendor Coordinator	The Source RC Vendor Coordinator initiates and completes the Vendorization workflow for the requesting RC.  If coming from step 3 or 4 and if DDS approval is needed, initiate Vendorization workflow – steps 1-13; If DDS approval is not needed, initiate Vendorization workflow – steps 1-7;	3, 4	
6	Compile Vendorization Documents	Source RC Vendor Coordinator	The Source RC Vendor Coordinator compiles the Vendor's documentation to send to the Requesting RC.	5	
7	Create Vendor Record	Requesting RC Vendor Coordinator	The Requesting RC Vendor Coordinator creates the new Vendor record.	6	SANDIS
8	Go to Vendorization Flow		Perform Vendorization flow – steps 8-10 (includes setting rates based on location of provided services).	7	

## 2.2 Vendor Monitoring: 2.2.1 Vendor Monitoring

The following workflow and narrative exhibits depict the current business processes for 2.2.1 Vendor Monitoring.



Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Obtain QA Checklist	QA Monitoring Staff	The QA Monitoring staff obtains the appropriate QA checklist for the specific type of monitoring activity required. This can be a scheduled or unplanned session.	1. Timing – Based on the type of QA Monitoring (as seen in the next section) 2. Site visit requested (e.g., related to a SIR or IPP visit)	
2	Perform Site Visit	QA Monitoring Staff	The QA Monitoring staff performs a site visit to the Vendor for which the monitoring activity is required.	1	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
3	Conduct evaluation & distribute initial findings	QA Monitoring Staff	The QA Monitoring staff conducts an evaluation (based on the type of monitoring required) of the site and distributes a copy of the initial findings to the Review Team.	2	Paper mail, email
4	Conduct Findings Report Review	Review Team	The Review team performs an assessment of the findings report to determine what, if any, further action needs to be taken, and provides a copy to the Vendor.  (Note: At some RCs, the QA Monitoring team and the Review Team are the same.)	3	Paper mail, email
5	Share report with Service Coordinator(s) (if applicable)	Review Team	The Review team sends the report to the Service Coordinator(s) of the Consumers who are currently receiving services from the Vendor in question if the report is Consumer specific.  If not, resume the process at step 6.	4	
6	Determine if IPP/IFSP change should be initiated	Service Coordinator(s)	The Service Coordinator reviews the report and determines if an IPP or IFSP change is needed.  If an IPP/IFSP change is needed, resume the process at step 7.  If no change is needed, resume the process at step 8.	5	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
7	IPP/IFSP process	Service Coordinator(s)	The Service Coordinator initiates the IPP/IFSP Review process.  If Lanterman Consumer, go to IPP process step 15. If Early Start Consumer, go to IFSP process step 12.	6	
8	Reportable incident?	Review Team	The Review team determines if the incident identified during the monitoring activities is a reportable incident.  If reportable, resume the process at step 9. If not reportable, resume the process at step 11.	5,6, 7	
9	Community Care Facility?	Review Team	The Review Team determines if the incident occurred at a Community Care facility.  If the reportable incident occurred at a community care facility (substantial inadequacy), resume the process at step 10.  If the reportable incident did not occur at a community care facility, resume the process at step 11.	8	
10	Corrective Action Plan process	Review Team	The Review Team initiates and completes the CAP process.	9	
11	Initiate Planned Corrections	Review Team	The Review team initiates action plans as a result of any identified noncompliance.	8, 9, 10	

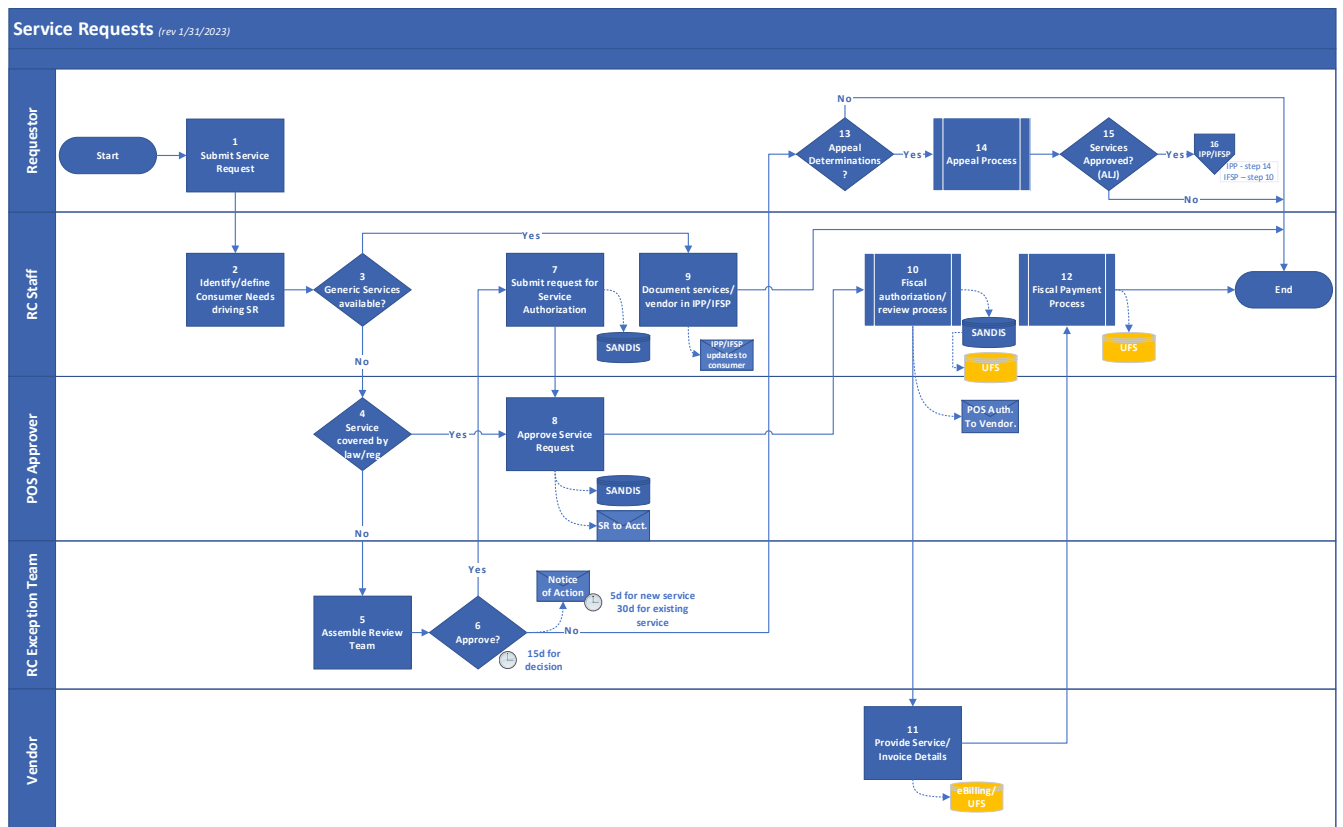
Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
12	Create and Distribute Report Results	QA Monitoring Staff	The QA Monitoring staff creates and distributes the final report results to the Vendor and the Service Coordinator(s) affected. The QA monitoring team has 10 days starting from the date of the substantial inadequacy <u>decision</u> to complete this process step.	11	

### 3.0 Services Management

The Services Management business processes cover the activities that result in a service being initiated and processed through the financial accounting processes. This section also covers the Service Monitoring processes needed when special incidents or substantial inadequacies are identified for any of the contracted Vendors. These activities can be initiated through Vendor Monitoring processes, self-identification from the vendors, Consumer planning visits (observation by SC) or anonymous referrals.

#### 3.1 Service Requests: 3.1.1 Service Request

The following workflow and narrative exhibits depict the current business processes for 3.1.1 Service Request:



Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Submit Service Request (SR)	Requestor	The Consumer/Service Coordinator requests a service as part of the IPP or IFSP review or at any time a new service need for the Consumer is identified.	1. Consumer wants/needs a service 2. Lanterman Intake & Assessment – Step 16 3. Early Start Intake & Assessment Step 14 4. IPP Step 14 5. IFSP Step 10 6. SDP Step 6	Varies by RC
2	Identify/define Consumer Needs driving SR	RC Staff	The RC Staff member meets with the Consumer/family to review/discuss the needs, goals, or outcomes they are looking to achieve with the requested service.  The RC Staff member identifies the services that will address the need or how to provide the services requested. For some RCs, the RC staff member may also create a preliminary/draft request in SANDIS.	1	
3	Generic Services available?	RC Staff	RC staff evaluates if generic services are available to meet the needs of the Consumer.  If the need can be met via generic or natural support services, resume the process at step 9.  If the need cannot be met by utilizing generic services, resume the process at step 4.	2	SANDIS

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
4	Determine if service covered by law/ regulation	POS Approver	<p>The POS approver determines if the services requested are guaranteed in regulations.</p> <p>(For example, it may be the case for this Consumer that the number of hours requested are not funded).</p> <p>For varying RCs, different services are categorized and approved at different levels; some POS are authorized by the Client Services Manager (SC's Manager), some go to the Department Director, some can only be authorized through the exceptions committee, and some can only be authorized by the Executive Director.</p> <p>If the service is covered, resume the process at step 8.</p> <p>If the service is not covered, resume the process at step 5.</p>	3	
5	Assemble Review Team	RC Exception Team	RC Exception Team reviews the SR to determine if an exception will be made to cover the requested services that are not covered under law.	4	

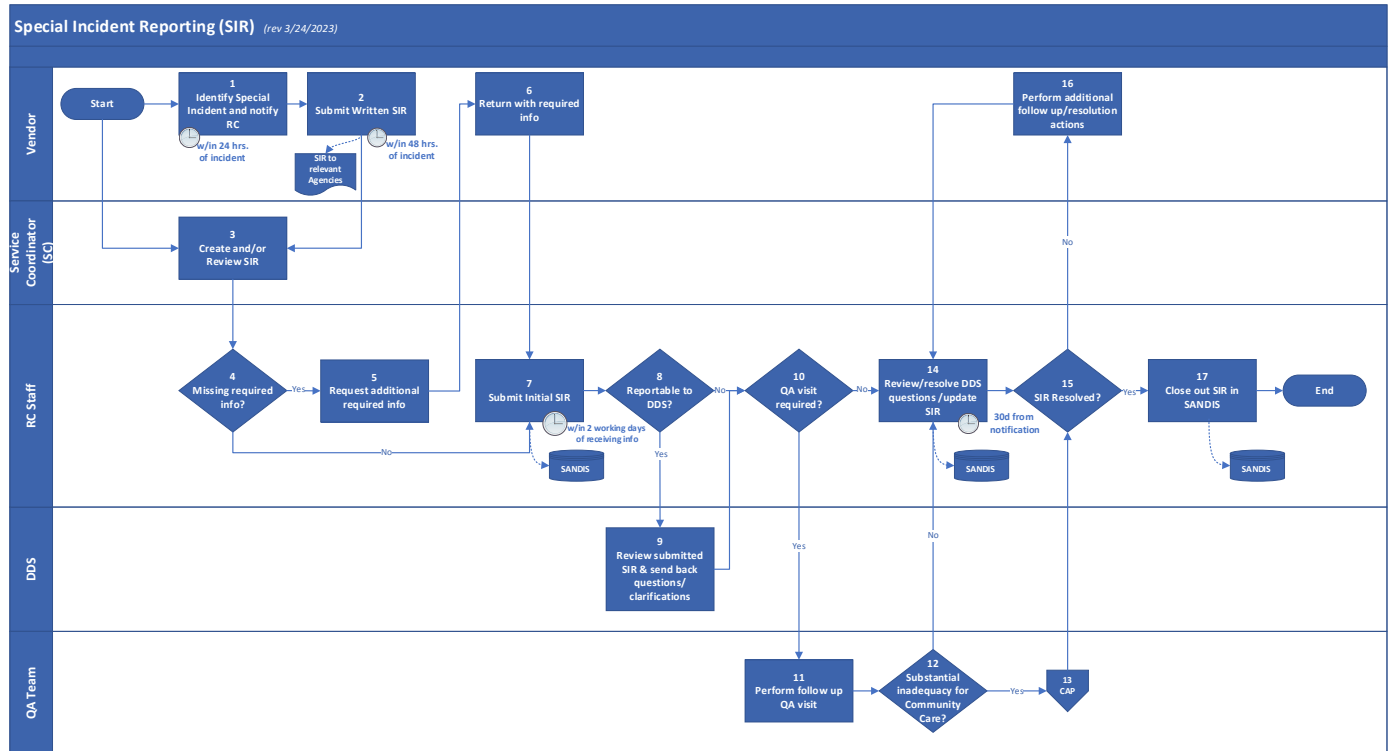


Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
6	Approve?	RC Exception Team	<p>The RC Exception team determines if the listed services will be covered by the RC.</p> <p>This decision must be made within 15 days.</p> <p>If approved, the RC will fund the services, resume the process at step 7.</p> <p>If the RC does not fund the services, the team will send a NOA to the Consumer and resume the process at step 13. For a new service, the NOA must be sent within 5 days of the decision.</p> <p>For an existing service, the NOA must be sent within 30 days of the decision.</p>	5	
7	Submit request for Service Authorization	RC Staff	The RC Staff submits a request for Service Authorization in SANDIS.	6	SANDIS
8	Approve Service Request	POS Approver	<p>The POS approver approves the Service Request and sends a copy to the accounting team.</p> <p>Resume the process at step 10.</p>	7	SANDIS
9	Document services/ provider in IPP/IFSP	RC Staff	<p>The RC Staff documents the generic services and associated Vendors in the IPP/IFSP and a copy is sent to the Consumer.</p> <p>(Note: Any updates to an IPP/IFSP require Consumer/ parent signatures.)</p> <p>This ends the process.</p>	3	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
10	Fiscal authorization process	RC Staff	The RC Staff initiates the Fiscal authorization process in UFS. During this process, an authorization number is created, and POS staff will pull data from UFS and generate a POS Authorization notice, which is then sent to the Vendor.	8	SANDIS, UFS, third party document management systems (Laserforms, eDocs, etc.)
11	Provide Service/Invoice Details	Vendor	The Vendor enters service and invoice details in eBilling for services rendered.	10	eBilling, eAttendance, UFS
12	Fiscal Payment Process	RC Staff	The RC Staff member initiates the Fiscal Payment process in UFS. This ends the process.	11	UFS
13	Appeal Determination ?	Requestor	The Consumer determines if they will appeal the denial of services. If they decide to appeal, resume the process at step 14. If the Consumer does not appeal, end the process.	6	
14	Appeal Process (External process)	Requestor	The Consumer initiates the Appeal Process.	13	
15	Services Approved? (ALJ)	ALJ	The Administrative Law Judge (ALJ) determines if the requestor appeal is granted for the requested services. If the appeal is granted, resume the process at step 16. If the appeal is denied, end the process.	14	
16	Go to IPP/IFSP	Requestor	Initiate the IPP process at step 15 or IFSP process at step 12 for the Service Coordinator to conduct a plan review.	15	

### 3.2 Services Monitoring: 3.2.1 Special Incident Report (SIR)

The following workflow and narrative exhibits depict the current business processes for 3.2.1 Special Incident Report (SIR).



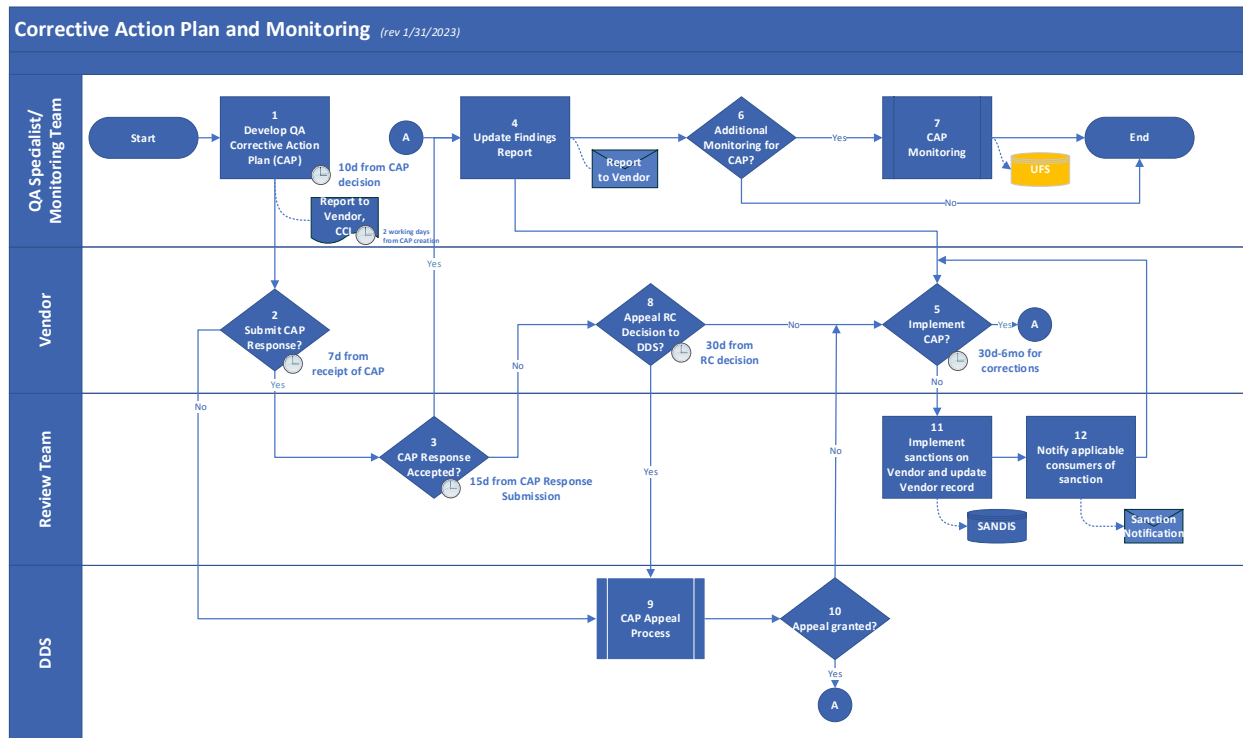
Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Identify Special Incident and notify SC	Vendor	The Vendor identifies a special incident which requires further investigation and notifies the applicable service coordinator(s). The Vendor must notify the RC within 24 hours of learning of the incident.	A 'Special Incident' occurs at a Vendor facility which is communicated to the RC by any party (can be done via whistle blower policy, family, outside sources).	Phone, email
2	Submit written SIR	Vendor	The Vendor sends a written SIR to the RC and to the appropriate agencies. Notification to the RC must be provided within 48 hours of the incident.	1	Paper or Vendor Portal (SANDIS/ Profound Logic solution)

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
3	Create and/or Review SIR	Service Coordinator (SC) or designated RC staff	The Service coordinator either initiates or reviews the SIR and sends it for review to another RC Staff member.	1. Step 2 2. SC is notified of a special incident from other than the SP	
4	Determine if required info is missing	RC Staff	The RC Staff determines if any required information is missing or incomplete in the submitted SIR.  If more information is required, resume the process at step 5.  If no further information is required, resume the process at step 7.	3	
5	Request additional required info	RC Staff	The RC Staff requests additional required information from the Vendor to complete the SIR.	4	
6	Return with required info	Vendor	The Vendor provides the required information to complete the submission of the SIR.	5	
7	Submit Initial SIR	RC Staff	The RC Staff submits the initial SIR in SANDIS. The staff member has 2 working days to complete this step from the receipt of the complete information.	4, 6	SANDIS
8	Determine if SIR is reportable	RC Staff	The RC determines if the incident indicated in the SIR must be reported to DDS.  If the SIR is reportable, resume the process at step 9.  If the SIR is not reportable, resume the process at step 10.	7	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
9	Review submitted SIR & send back questions/clarifications	DDS	The DDS staff member reviews the submitted SIR and submits questions and/or comments if applicable to the RC. (There is communication between the RC and DDS until DDS has all the required information)	8	

### 3.2 Services Monitoring: 3.2.2 Corrective Action Plan (CAP)

The following workflow and narrative exhibits depict the current business processes for 3.2.2 Corrective Action Plan.



Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Develop QA Corrective Action Plan (CAP)	QA Specialist /Monitoring Team	The QA Specialist develops the CAP based on the substantial inadequacy identified and sends the CAP to the Vendor. The QA Specialist has 10 days from the identification of the substantial inadequacy to create the CAP.  The CAP must be sent to the Vendor, CCL within 2 working days of creation.	1. Vendor Monitoring - step 9 2. Special Incident Report - step 13	Paper mail, email, phone, SANDIS

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
2	Submit CAP Response	Vendor	<p>The Vendor reviews the CAP, then develops and delivers a response which outlines the steps that will be taken to address the identified substantial inadequacies.</p> <p>The Vendor has <b>7 days</b> from receipt of the CAP to complete this process step.</p> <p>If the vendor chooses to respond, resume the process at step 3.</p> <p>If the vendor chooses to appeal the CAP, resume the process at step 9.</p>	1	
3	Determine if CAP Response is accepted	Review Team	<p>The review team determines if the CAP response is accepted. The Review Team has <b>15 days</b> from the CAP Response Submission to complete this step.</p> <p>If the CAP response is accepted, resume the process at step 4.</p> <p>If the CAP response is not accepted, resume the process at step 8.</p>	2	
4	Update Findings Report and CAP	QA Specialist /Monitoring Team	<p>The QA Specialist updates the findings report and sends a copy of the report to the Vendor.</p> <p>Resume process at step 6.</p>	3, 5, 10	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
5	Implement CAP?	Vendor	<p>The Vendor determines if they will implement all items detailed in the CAP.</p> <p>If the vendor does not implement the CAP, resume process at step 11.</p> <p>If the CAP is implemented, resume the process at step 4.</p> <p>The Vendor has between <b>30 days to 6 months</b> to complete the implementation of all CAP items.</p>	4, 8, 10, 12	
6	Additional Monitoring for CAP?	QA Specialist /Monitoring Team	<p>The QA specialist determines if additional monitoring is required to ensure the complete implementation of the CAP.</p> <p>If additional monitoring is required, resume the process at step 7.</p> <p>If additional monitoring is not required, end the flow.</p>	4	
7	CAP Monitoring	QA Specialist /Monitoring Team	<p>The QA specialist initiates any CAP monitoring required (the frequency and type of monitoring required varies depending on the specific substantial inadequacies) and updates the Vendor File accordingly.</p> <p>End process</p>	6	UFS
8	Appeal RC Decision?	Vendor	<p>The Vendor determines if they want to appeal the (RC) CAP response decision. The Vendor has 20 days from the RC decision to appeal to DDS.</p> <p>If yes, resume the process at step 9.</p> <p>If no, resume the process at step 5.</p>	3	



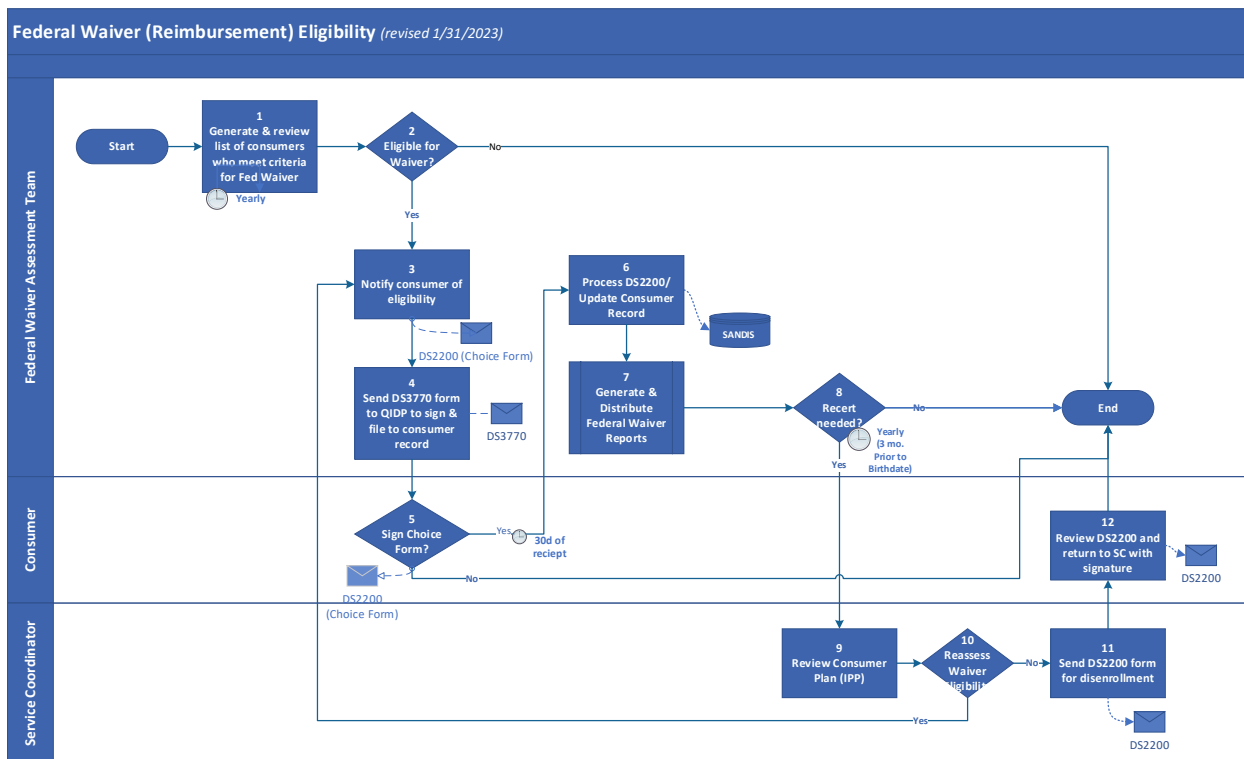
Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
9	DDS CAP Appeal Process	DDS	The Vendor initiates the appeal process for the CAP determination.	8	
10	Determine if CAP Appeal is granted to Vendor	DDS	If the appeal is granted to the Vendor, resume the process at step 4. If the appeal is not granted, resume the process at step 5.	9	
11	Implement sanctions on Vendor and update Vendor record	Review Team	The review team implements a sanction on the Vendor for non-compliance and updates SANDIS to reflect in the Vendor record.	5	SANDIS
12	Notify applicable Consumers of sanction	Review Team	Once the sanction has been implemented, the Review Team notifies any other Consumers who are currently receiving services from the sanctioned Vendor.  Resume the process at step 5.	11	Certified Mail

### 4.0 Reporting

Throughout the course of case management activities, the RCs are also responsible for reporting on Consumers who are part of various Federal Waiver programs and various elements of administered services.

#### 4.1 Compliance Reporting: 4.1.1 – Federal Waiver Eligibility & Reimbursement

The following workflow and narrative exhibits depict the current business processes for 4.1.1 Federal Waiver Eligibility & Reimbursement.



Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
1	Generate & review list of Consumers eligible for Fed Waiver	Federal Waiver Assessment Team	The assessment team generates and reviews a full listing of Consumers who meet the criteria for any of the Federal Waiver programs. A list is received from DDS in addition to individual RC created queries.	Yearly query or DDS List received	SANDIS

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
2	Determine if each Consumer is eligible for Federal Waivers	Federal Waiver Assessment Team	<p>The assessment team determines which of the listed Consumers are eligible for the waivers.</p> <p>(For example, checking for disqualifying waivers, Medical eligibility, level of care criteria requirements, POSs in the last 6 months for the given waiver type, etc.).</p> <p>If the Consumer is currently on a Federal Waiver with a department other than DDS, the RC helps the Consumer determine which Federal Waiver they want to be on (Consumers can only be on one Federal Waiver at a time).</p> <p>If the Consumer is not eligible for any Federal Waivers, end the process.</p> <p>If the Consumer is eligible for one or more Federal Waivers, resume the process at step 3.</p>	1, 10	
3	Notify Consumer of eligibility	Federal Waiver Assessment Team	The assessment team notifies the service coordinators and sends the DS2200 Choice Form to eligible Consumers.	<ol style="list-style-type: none"> <li>1. Step 2</li> <li>2. Step 10</li> <li>3. SDP-step 15</li> </ol>	Paper Mail

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
4	Send DS3770 form to QIDP to sign & file to Consumer record	Federal Waiver Assessment Team	The DS3770 is sent to a Qualified Intellectual Disability Professional (QIDP). This document is housed internally and states that the Federal Waiver team has reviewed the info in the client file, determined they are eligible for the waiver, and retained the form for audit purposes. The information in the CDER and IPP is used to complete the DS3770 and determine eligibility.	3	
5	Sign Choice Form?	Consumer	The Consumer reviews the notification and determines if they want to proceed.  If yes, the Consumer must sign and return the DS2200 Choice form within <b>30 days</b> of receipt of the choice form.  Resume the process at step 6.  If no, the process ends.	4	
6	Process DS2200/ Update Consumer Profile	Federal Waiver Assessment Team	The assessment team processes the returned DS2200 and updates the Consumer record in SANDIS to reflect waiver enrollment choice.	5	SANDIS
7	Generate & Distribute Federal Waiver Reports	Federal Waiver Assessment Team	The assessment team generates and distributes the Federal Waiver Reports to the appropriate agencies based on the waiver type.	6	

Step #	Activity	Role	Activity Description	Trigger	Systems/Tools
8	Determine if recertification is needed	Federal Waiver Assessment Team	The assessment team determines if recertifications are required. Recertifications are required on an annual basis, 3 months prior to the Consumer's birthdate or initial waiver enrollment date. If a recertification is needed, resume the process at step 9. If the recertification is not needed, end the process.	7	
9	Review Consumer Individualized Plan (IPP)	Service Coordinator or	The Service Coordinator reviews the IPP plan	8	
10	Reassess Waiver Eligibility	Service Coordinator or	The Service Coordinator performs an assessment to determine if the Consumer is eligible for the Federal Waiver.  If the Consumer is eligible, resume the process at step 3.  If the Consumer is not eligible, resume the process at step 11.	9	
11	Send DS2200 form for disenrollment	Service Coordinator or	The service coordinator sends the DS2200 for disenrollment to the Consumer.	10	
12	Review DS2200 and return to SC with signature	Consumer	The Consumer returns the signed DS2200 Choice form to confirm disenrollment in the Federal Waiver program.	11	