

Seniors and People with Disabilities

Carolyn Ross

Authorized Signature

Number: SPD-IM-10-065
Issue Date: 8/16/2010

Topic: Other

Subject: SPD Central Office Transmittal Process

Applies to (check all that apply):

- | | |
|--|---|
| <input type="checkbox"/> All DHS employees
<input type="checkbox"/> Area Agencies on Aging
<input type="checkbox"/> Children, Adults and Families
<input type="checkbox"/> County DD Program Managers | <input type="checkbox"/> County Mental Health Directors
<input type="checkbox"/> Health Services
<input type="checkbox"/> Seniors and People with Disabilities
<input checked="" type="checkbox"/> Other (please specify): SPD Central Office Staff only |
|--|---|

Message:

Transmittals should be used, as outlined below, to convey information to employees, contractors or partners of DHS. Word or PDF versions of the form may be found on the DHS website: <http://www.dhs.state.or.us/admin/forms> and according to policy DO-010-001, DHS Communication Formats and Transmittal Forms Policy.

Attached are the instructions for IM,AR, and PT's to use for guidance in developing these transmittals.

If you have any questions about this information, contact:

Contact(s):	Donna Weaver		
Phone:	503.945.5977	Fax:	503.945.6296
E-mail:	donna.weaver@state.or.us		

SPD Transmittal Process

Policy Transmittal - Action Request - Information Memorandum Aging and People with Disabilities Developmental Disabilities

HOW TO COMPLETE THE TRANSMITTAL

These instructions are specific to employees of SPD.

Policy Transmittals and Action Requests must be signed by the SPD Assistant Director or Deputy Assistant Director in the “Authorized Signature” field.

Section Administrators may sign PT’s only when releasing manual updates or other information.

Information Memorandums can be signed by SPD Administrators, the SPD Assistant Director or Deputy Assistant Director in the “Authorized Signature” field.

County DD and County Mental Health Directors should be checked only when transmittal relates to DD services or programs only.

When a transmittal requires a change to SPD policy or procedure, the SPD worker guide and manual should be checked for needed updates. If an update is needed, the person releasing the transmittal is responsible for sending updated worker guide or manual materials to the “Manual Coordinator” for posting. Please send the link to the material being updated.

Samples of Transmittals follow these instructions.

Information Memorandum (IM) Form - [DHS0080](#)

IMs are used to distribute general information that **does not require any action** or involve policy.

IMs are distributed to **ALL** staff through the transmittal email process.

Action Request (AR) Form - [DHS0078](#)

ARs communicate actions to be taken within a specific timeframe.

ARs are distributed to **managers only** who disseminate to their staff through email and reviewed at unit meetings.

Policy Transmittal (PT) Form - [DHS0079](#)

PTs are used to disseminate amended or new federal, state, or DHS policies or administrative rules, policy clarifications, executive letters, and manual updates.

PTs are distributed to **ALL** staff through the transmittal email process.

PTs should **not** be used for the communication of procedural changes.

***TIPS for completing the transmittal:**

- Use bullets, numbers, etc. to emphasize the process on ANY action to be taken.
- Use an easy and concise format to get your information relayed to staff.
- The following are some websites to assist you in writing the transmittal:
http://www.dhs.state.or.us/admin/comm/style_manual.pdf
<http://www.dhs.state.or.us/policy/admin/execlist.htm>

TRANSMITTAL REVIEW PROCESS

These are the steps for submitting a transmittal:

1. For APD transmittals, send to SPD Policy group via GroupWise at: SPD Policy (all transmittals are reviewed by SPD policy staff) and any other group that you would like to review.
2. For DD transmittals, DD policy analysts (Supervisors, Regional Coordinators, area specialists, contract or financial unit staff) review transmittals depending on the subject.
3. For APD transmittals, send **ARs and PTs only** to **Field Services Unit**, who will review the document for clarity and determine if timeline is reasonable. They will determine whether the transmittal will be sent electronically or schedule a time on the agenda at the next Operations Committee meeting. If the transmittal is submitted electronically to **Operations Committee**, they will respond within five work days.

Operations Committee consists of central office and field staff representatives from SPD and AAA offices. The purpose of the committee is to resolve or make recommendations of operational problems within the SPD/AAA. The committee also identifies and suggests workload simplification processes.

4. Transmittals should have at least a 10 day turnaround time to complete the process.
5. Include a contact name and number for any questions related to the transmittal.
6. All signatures need to be provided before the transmittal is sent to the Transmittal Coordinator.

Transmittal and any attachments should not contain client specific information.

Final Central Office Process:

The forms are processed for release within five days as follows:

- Once the transmittal is completed, approved and signed, the signed transmittal is delivered to the Transmittal Coordinator (See [TAG Website](#) for current coordinator) as well as an electronic copy and all attachments.
- If there are attachments that are not available electronically, alert the Transmittal Coordinator so the documents can be scanned. Also, inform the Transmittal Coordinator of any web links that need to be activated within the document.
- After receipt of the signed originals and electronic copies, the Transmittal Coordinator proofreads for personal client information, logs and assigns the number. The Coordinator enters the number, date, and name of authorized signature on the electronic copy. The transmittal is sent to the indicated staff and various interested parties. The Coordinator keeps an electronic file of the signed copy.

When is it okay to use other forms of communication (Listserv, email etc.):

- To alert staff that the 723 system is down or functional again.
- Changes in contact names in central office
- National Information
- National Conference material
- Internships
- Save the Date Conference Information

This list is only meant to be a sample of the type of things that are appropriate for Listserv and email communications.

Authorized Signature

Number:

Issue Date: mm/dd/yyyy

Topic: Other

Subject: Updates to the SPD Support Staff Assistance Manual

Applies to (check all that apply):

- All DHS employees
- Area Agencies on Aging
- Children, Adults and Families
- County DD Program Managers
- County Mental Health Directors
- Health Services
- Seniors and People with Disabilities
- Other (please specify):

Message:

SPD Field Services is currently working on updates in the SPD Support Staff Assistance Manual. The following sections have been updated as of April 1, 2008.

Section II Financial

- A. Oregon Trail Card
- B. Monthly Assistance Checks and Medical Cards
- C. Special Cash Pay
- D. Canceling/Voiding Checks
- E. Redeterminations
- J. Security of Negotiables

Section III Provider Systems

- A. Criminal History Checks

Section IV. Case Records/Files

- A. Files/Filing
- B. Filing in the SPD Master Case Record (Six part hard file)
- C. On-Line Transfers

The cash out for FS benefits when a client has moved out of state has been updated to the current policy. One other noted change that branch offices want to be aware of was the change in the Revolving fund check Retention timeframe has changed to six years. Prior to this review RF checks were listed with a three-year retention.

If you have any questions about this information, contact:

Contact(s):	Carol S Mauser		
Phone:	503-947-2321	Fax:	503-373-7823
E-mail:	Carol.S.Mauser@state.or.us		

Authorized Signature

Number:
Issue Date: mm/dd/yyyy

Topic: Long Term Care

Due Date: mm/dd/yyyy

Subject: Exceptional Rate Requests -Revised Procedures and SDS 514

Applies to (check all that apply):

- | | |
|--|--|
| <input type="checkbox"/> All DHS employees | <input type="checkbox"/> County Mental Health Directors |
| <input checked="" type="checkbox"/> Area Agencies on Aging | <input type="checkbox"/> Health Services |
| <input type="checkbox"/> Children, Adults and Families | <input checked="" type="checkbox"/> Seniors and People with Disabilities |
| <input type="checkbox"/> County DD Program Managers | <input type="checkbox"/> Other (please specify): |

Reason for Action: Seniors and People with Disabilities is changing the current Exceptional Rate Request process to facilitate a quicker and more efficient response time to field requests. The Designated Field Services Contact will forward all Exceptional Rate requests to the appropriate program area. Policy Transmittal SPD-PT-06-046 outlines the current procedure of submitting the SDS 514 to Central Office and

Action Required: Effective Immediately all Exceptional Rate Requests will be email to the following address: The SDS 514 will be attached to the email requesting the Exceptional Rate. Once the email/514 is received in Central Office, the designated field services staff member will forward the Exception Rate Request to the designated program contact for follow up and review.

Field/Stakeholder review: Yes No

If yes, reviewed by: SPD Operations Committee

If you have any questions about this action request, contact:

Contact(s):	Sandy Hata Carolyn Ross Angela Munkers	Phone: 503-945-5659 503-945-6209 503-945-6985	Fax: 503-947-4245 503-945-6296 503-945-6296
Phone:	Listed Above	Fax:	Listed Above
E-mail:			

Authorized Signature
Number:
Issue Date: mm/dd/yyyy

Topic: Forms

Transmitting (check the box that best applies):

- New Policy
 Policy Change
 Policy Clarification
 Executive Letter
 Administrative Rule
 Manual Update
 Other: _____

Applies to (check all that apply):

- All DHS employees
 County Mental Health Directors
 Area Agencies on Aging
 Health Services
 Children, Adults and Families
 Seniors and People with Disabilities
 County DD Program Managers
 Other (please specify): _____

Policy/Rule Title:	Updated Forms and Brochures		
Policy/Rule Number(s):	N/A	Release No:	
Effective Date:	Upon Receipt	Expiration:	n/a
References:	See Exceptions Website for more information on the SDS 514		
Web Address:	http://www.dhs.state.or.us/spd/tools/cm/exceptions/index.htm		

Discussion/Interpretation: Seniors and People with Disabilities have updated the SDS 514 Exception Request form and the DHS 9836 Adult Foster Home Brochure.

SDS 514 EXCEPTION REQUEST FORM

The Request for Exception (514) form has been updated and is now available on the Forms Server and on Oregon ACCESS. The new 514 form has a system of drop down menus, text fields, and check boxes that should be used in filling out this form. The following is a list of some of the changes that you will encounter on the new 514 form:

- Under the “Services” section in the Provider Type field you will need to select whether this is an AFH classification level 1, level 2, or a level 3 home if you are submitting an exceptional rate request related to an adult foster home. Your AFH licensor will know the foster home level. For more information on AFH levels please refer to OAR 411-050-0443.
- When calculating rate information related to an exceptional rate request for a AFH/RCF setting you only need to enter the CAPS assessed rate and the requested exception amount for the individual. The new 514 form will calculate the exceptional rate request total and auto fill it into the form.
- The Exception Criteria sections for Facility Based and In-Home have been blended into one section on the new 514 under the section of “reasons for exceptions”.

- To submit an exceptional rate request for In-Home services you will need to supply information related to the difference in the assessed number of hours and requested exception hours. You do not need to include information related to rate amounts.
- The Comments section with summary and additional information has been combined and expanded into the “Summary” section.
- The “Authorization” section has been removed.

DHS 9836 ADULT FOSTER HOME BROCHURE

The new Adult Foster Home Brochure (DHS 9836) will be available to order using the FBOS order system effective 04/01/2010. Minimum quantities available are in fifty count shrink-wrapped units.

Implementation/Transition Instructions:

Local managers and staff need to begin using the new SDS 514 form. It is available through Oregon ACCESS web forms and also from the DHS forms server.

Training/Communication Plan:

Local managers need to ensure staff understand the changes to the 514 form and that the information being submitted is complete i when the exception request is approved at the local office level.

Local/Branch Action Required:

Begin using the updated forms and Brochures

Central Office Action Required:

Distribution of the transmittal

Field/Stakeholder review: Yes No

If yes, reviewed by: SPD Operations Committee

Filing Instructions:

Transmittal will be posted on Case Management Website-Staff Tools page for Exceptions

If you have any questions about this policy, contact:

Contact(s):	Sandy Hata, Transition Services Manager		
Phone:	503-945-5659	Fax:	503-945-6296
E-mail:	Sandy.K.Hata@state.or.us		