

Lilia Teninty  
Authorized Signature

**Number:** APD-PT-14-040  
**Issue Date:** 12/12/2014

**Topic:** Developmental Disabilities

**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):**

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

Policy/rule title:	Requirements for DD 53 Non-Medical Transportation, DD 50 Residential Services and DD 51 Supported Living Client Prior Authorizations		
Policy/rule number(s):	411 Chapter 330 and 305	Release no:	V1
Effective date:	Issue date of this transmittal	Expiration:	
References:	Intergovernmental Agreement for the Finance of Community Developmental Disability Programs		
Web Address:			

**Purpose:**

This policy outlines the process for DD 53 Non-Medical Transportation (DD 53), DD 50 Residential Services (DD 50) and DD 51 Supported Living (DD 51) services.

**Policy:**

Effective the date of this transmittal a Community Developmental Disability Program (CDDP) may start services for DD 50, 51 and DD 53 prior to submitting a request for services to your Fund Allocation Coordinator (FAC) or having an accepted Client Prior Authorization (CPA) in eXPRS.

## Process:

Services for individuals who are eligible for Intellectual/Developmental Disability (I/DD) services per Oregon Administrative Rule (OAR) 411-320-0080 and who have a completed Level of Care Assessment (LOC), Functional Needs Assessment (SIS, SNAP, or ANA) and Service Plan, may begin on or after the date the budget or required documentation is signed. The CDDP must complete all service budgets and required documentation (see Budgets and Documentation Required by Service Element) prior to services beginning.

- The Office of Developmental Disability Services (ODDS) will accept a CPA for services for individuals who are eligible for Intellectual/Developmental Disability (I/DD) services per Oregon Administrative Rule (OAR) 411-320-0080 and who have a completed Level of Care Assessment (LOC), Functional Needs Assessment (SIS, SNAP, or ANA) and Service Plan and have submitted the required documentation and/or budget with signatures (as described in this transmittal).

ODDS will not accept a CPA for services that begin prior to the signature date on the budget or required documentation.

- If the individual requires general funds to pay for the service requested, the CDDP is required to follow APD-IM-14-025 to submit a request for prior approval from ODDS for services. No services which require this approval may begin until ODDS approval is received.
- If the individual's service(s) requires an exception from ODDS, the CDDP must obtain ODDS approval from the ODDS Funding Review Committee prior to starting the service. Any service that does not require an exception from ODDS can start while awaiting ODDS approval on the service needing the exception. *For example if you are requesting Services & Supplies higher than \$75.00 for DD 51 services, you can begin DD 51 services immediately including Services & Supplies for \$75.00 or less while you await notification of your request for an exception for Services & Supplies over \$75.00.* In this case a budget matching the initial request and a budget with the rate approved by ODDS will need to be submitted to the FAC.
- CDDP must email the budget and required documentation to your FAC and create a pending CPA in eXPRS within 2 weeks of the individual starting service(s) (on or after the day the CDDP signs the plan). If the CPA will not move to pending status due to an error notification from eXPRS, then the CDDP would leave the CPA in draft status but still submit the budget and required documentation to the FAC. When the issue causing the error notification on the draft CPA is resolved, the CDDP is responsible to move the CPA to pending status in a timely manner.

- The FAC will review budgets, required documentation and the pending (or draft) CPA within two (2) weeks from the date a request for services is received from the CDDP. If everything is accurate and complete, the FAC will accept the pending CPA. If the CPA is in draft, as described above, the FAC cannot accept the CPA until it is moved to pending status by the CDDP.
- For actions that only require a pending CPA to be approved (example DD 50 due to tier 1-6 rates), the date the CPA is submitted to pending status for the service requested is the date a request for services is made.
- For all actions that require budgets, required documentation and a pending CPA, the date services are requested is the date the FAC has received the budgets and required documentation **AND** there is a pending (or draft when applicable) CPA in eXPRS for the service requested.
- If the FAC finds any errors/issues/problems with the request submitted or the documentation is incomplete, the FAC will notify the CDDP by email. This email will be sent out within two weeks from the date the FAC received the request. The pending CPA will remain in pending status until the errors/issues/problems are resolved. The provider will not be paid for services until there is an accepted CPA in eXPRS.
- The CDDP has 2 weeks from the date of the email from the FAC to correct the error, to work with the FAC and to submit corrected documentation to the FAC, if needed.
- If the FAC and the CDDP determine an administrative error occurred (i.e. rate calculations incorrect, transposing numbers, wrong effective dates, etc), then the CDDP will submit the corrected budget and/or required documentation to the FAC. The FAC will end date the initial pending CPA to end within 10 business days from the date the FAC and CDDP agreed an administrative error occurred. If the CPA is still in draft status, then the CDDP will need to edit the end date. The CDDP will then create a new pending CPA with the correct information to begin after the initial CPA ends.
- With services starting prior to the budget and required documentation being submitted to the FAC, the CPA accepted or the error being identified, the provider will need to be paid for the services rendered at the rate initially approved by the CDDP.
- If the FAC and the CDDP have determined an error on the budget and/or required documentation caused an increase or decrease in services, then the

CDDP will need to issue a Notice of Planned Action per OAR 411-318-0020 within five (5) business days of being notified by the FAC. A copy of the Notice of Planned Action issued needs to be sent to the FAC for your CDDP at the same time it is issued to the individual and the representative of the individual.

- The FAC will edit the pending CPA to coincide with the effective date of the Notice of Planned Action that was issued. If this CPA is in draft status, then the CDDP will edit the CPA. The CDDP will need to create a new pending CPA with the corrected services, rates and new effective date. The FAC will review the information/documentation submitted regarding the error and accept the new pending CPA if everything is complete and accurate.

If a request for hearing is requested after a Notice of Planned action is issued and continued services is requested by the individual or representative of the individual, the services and rate needs to remain the same as initially requested during the hearing process. If this occurs, the CDDP would need to create a new CPA for the initial rate and submit the CPA to pending. The CDDP needs to include a note in the CPA regarding a request for continuing services during a requested hearing. The CPA is only to be for up to 90 days.

## **Budgets and Documentation Required by Service Element:**

### **DD 50 Residential Services**

- DD 50 ALF/RCF rates must follow existing process to determine the rate (APD-IM-14-045). Documentation of the calculations and determination of rate must be signed and dated by the CDDP.
- DD 50 Interim Tier rates must follow existing process to determine the rate. Documentation of the calculations and determination of rate must be signed and dated by the CDDP.
- DD 50 Tier 1 – 6 rates do not require a signature or authorization statement from the CDDP. The effective date can be found in eXPRS.
- DD 50 Tier 7 rates require a Tier 7 memo and cannot start prior to the date of the memo or other effective date as stated in the memo.

### **DD 51 Supported Living**

- DD 51 Supported Living Budget.
- DD 51 Supported Living Budget must be signed and dated by the CDDP.

- Summary of In Home Hours page from current ANA.

**DD 53 Non-Medical Transportation**

- DD 53 Non-Medical Transportation Budget
- Justification for rate (excludes bus passes)
- Calculations used to determine rate (excludes straight mileage or bus passes)

**Quality Assurance:**

All documentation for an individual’s services must be maintained on file at the CDDP for access in the event of a State or Federal audit.

**Field/stakeholder review:**       Yes       No

**If yes, reviewed by:**      CDDPs

**Filing Instructions:**      none

*If you have any questions about this policy, contact:*

<b>Contact(s):</b>	Kristina DiMatteo		
<b>Phone:</b>	503-947-5180	<b>Fax:</b>	503-373-7274
<b>E-mail:</b>	Kristina.M.DiMatteo@state.or.us		