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Authorized Signature

Number: APD-PT-15-014

Issue date: May 8, 2015

Updated 1/22/2016

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 checked="" 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"/> Self Sufficiency Programs | <input checked="" type="checkbox"/> ODDS Children’s Intensive In Home Services |
| <input checked="" type="checkbox"/> County DD Program Managers | <input type="checkbox"/> Stabilization and Crisis Unit (SACU) |
| <input checked="" type="checkbox"/> ODDS Children’s Residential Services | <input checked="" type="checkbox"/> Other (<i>please specify</i>): Support Services Brokerage Directors, Provider Organizations |
| <input type="checkbox"/> Child Welfare Programs | |

Policy/rule title:	ISP Authorization Timelines		
Policy/rule number(s):		Release no:	
Effective date:	June 1, 2015	Expiration:	1/31/16
References:	411-320-0120(4); 411-340-0120(10)		
Web address:			

This Policy Transmittal expires on 1/31/2016. This Policy Transmittal has been replaced with PT-16-002 ISP Authorization Timeline Worker Guides effective 1/31/2016.

Discussion/interpretation: An ISP is the resulting document of the person-centered planning process that outlines the supports, activities, and resources that will meet the desired outcomes, goals and needs of the individual. The ISP is developed by the Service Coordinator or Personal Agent in conjunction with the individual, their legal or designated representative and others invited by the individual. An ISP identifies

services, service settings, resources, and providers that will meet needs identified by the functional needs assessment and risk identification tool, along with individual's preferences. An ISP also serves as the documentation of the Medicaid services that are agreed upon by the individual or their legal/designated representative and the Service Coordinator or Personal Agent and approved by the Service Coordinator or Personal Agent.

With the implementation of the new ISP, the ISP start date indicates the authorized service period and carries across service settings. Therefore it is no longer necessary for the entry date into a service setting to coincide with the start date of the ISP. The ISP is an annual plan; this policy clarification eliminates the need to prorate services based on an ISP authorization of less than twelve months.

OAR 411-340-0120(10)(e)(D)(iii) "An ISP is authorized when: A designated brokerage representative has reviewed the ISP for compliance with Department rules and policy" will not be enforced for plans authorized after the date of this transmittal.

This transmittal addresses:

- I. Individual Support Plans (ISP) start and end dates for those individuals who receive K or Waiver services.
 - a. Initial ISP Year Start Date
 - b. Mid-Month ISP Start Dates
 - c. Initial Year ISP End Dates
 - d. Subsequent Year Start Dates
- II. Changes to an existing ISP (mid-plan year changes)
- III. Provider Agreement to Provide Services
- IV. Ending or Extending ISP
 - a. Issuing a NOPA
 - b. Administrative Errors
 - c. Other Situations that Cause an ISP to Lapse
- V. Implementation/transition instructions

All new ISPs identified with an ISP start date in June 2015, or later, must follow this policy. Gathering person centered information, risk identification and planning discussions should begin up to 60 days prior to the ISP start date to assure adequate time for ISP development.

Individual Support Plans (ISP) start and end dates:

➤ **Initial ISP Year (Year 1) Start Date:**

An individual must have an authorized ISP within 90 days of a completed application or becoming financially eligible for ODDS funded services. ODDS recognizes that due to this timeline the ISP start date may not coincide with the first day of a calendar month. An individual's access to services should not be unnecessarily delayed to align the start date of an ISP with the first day of a calendar month.

- Example: The individual's application is completed and the individual is eligible for Community First Choice or Waiver funded services on 4/18/ 2015 the ISP should be authorized no later than 7/17/2015. The individual may begin to access services the date the ISP is authorized.

➤ **Mid-Month ISP start dates:**

ISPs that begin on any date after the first of a month present a situation where an individual may have a monthly amount of support hours, based on an assessment, which can be utilized in a partial month.

How supports are utilized during the partial month is a conversation topic during the person-centered-planning. Supports must be available and utilized only when they are needed and only in the amounts that are necessary to meet needs and accomplish goals described in the ISP. ODDS would expect to see documentation of this discussion within the ISP or progress notes.

Additionally, the start date of an ISP does not have to coincide with the start date of all services.

- Example: The individual in example above prefers for his services to be provided in an Adult Foster Home. The Adult Foster Home is unable to accept the individual into services in the home until 7/25/2015. The ISP must have a start date of no later than 7/17/2015 with the plan reflecting the 7/25/2015 start date for AFH services.

However, the individual is eligible to access services and must be offered the choice of alternative supports and services to meet the identified needs during between 7/17/2015 and 7/25/2015, for example an In-Home Agency provider of Attendant Care supports until the date of entry into Adult Foster Care services.

➤ **Initial Year ISP End Dates:**

An ISP is an annual plan that must be reviewed and renewed each year. An ISP that begins on the first day of a calendar month is effective through the last day of the preceding calendar month of the following year.

- Example: The ISP starts on 9/1/2015 and is authorized through 8/31/2016.

As of June 2015, if an ISP begins on any date other than the first of a calendar month, it is effective through the last day of the same calendar month of the following year.

- Example: The ISP starts on 7/12/2015 and is authorized through 7/31/2016.

➤ **Subsequent Year Start Dates:**

Service Coordinators/Personal Agents (SC/PA) are encouraged to begin the ISP planning process as early as possible in advance of end date of the ISP to prevent any disruption in services. This process can begin up to 60 days prior to the planned start date of the renewed ISP.

Year 2:

Initial ISPs that started on the first day of a calendar month during Year 1 should start on the first day of the same calendar month for Year 2.

- Example: The initial ISP start date was 9/1/2015. This ISP must be authorized through 8/31/2016. The renewed ISP starts 9/1/2016 and is authorized through 8/31/2017.

Initial ISPs that have started on any day other than the first day of the month during Year 1, should start on the first day of the next calendar month for Year 2. In Year 2, the ISP is authorized through the last day of the preceding calendar month of the following year.

- Example: The initial (mid-month) ISP start date was 7/12/2015. In Year 1, this ISP must be authorized through 7/31/2016. The renewed ISP (Year 2) starts 8/1/2016 and is authorized through 7/31/2017.

Subsequent Years: Renewed ISPs should begin on the first day of the next calendar month after the end date of the preceding ISP. The ISP is authorized through the last day of the preceding calendar month of the following year.

- Example: Previous year renewed ISP start date is 8/1/2016. This ISP must be authorized through 7/31/2017. The next renewed ISP starts 8/1/2017 and is authorized through 7/31/2018.

Changes to an existing ISP (mid-plan year changes):

Within the authorized dates of an ISP, when services or service settings change, the ISP is not restarted. During the first year of the ISP roll out, the existing ISP should inform the development in using the new ISP form. Upon entry, at a minimum, the following should be captured: known info on the Person Centered Information form; Risk Identification tool; Desired outcomes for the next 60 days; the CDP; Risk Management Plan; Chosen Services Page, and the signature page indicating Agreement to the Plan (while maintaining the authorized dates of the ISP).

- Example: When entering a new service setting like Adult Foster Home from In-Home services mid-year, the existing ISP may serve as the transition ISP into the new setting if it contains all documentation required for entry into that service according to the appropriate OAR and accurately describes the

supports needed for entry into the new service setting. The person centered information, risks, and desired outcomes must be updated and authorized within 60 days after entering the new service setting. The ISP authorization period remains the same as the annual period prior to the change in service settings.

- Example: When transferring to a new case management entity like CDDP
- In-Home services from Brokerage Support services mid-year, the existing ISP may serve as the transition ISP into the new service element if it contains all documentation required by OAR and accurately describes the supports needed. The existing Level of Care assessment remains active and a new Functional Needs Assessment is not necessary if there is not a change in the support needs. Updates to the person centered information, risks, and desired outcomes must be updated and authorized within 60 days after entering the new service setting to ensure that supports are accurately reflected in the ISP. The ISP authorization period remains the same as the annual period prior to the amendments.

Provider Agreement to Provide Services:

ISPs should not lapse or be delayed due to a provider being unavailable to sign an ISP. An ISP is effective with the signature of the individual or their legal/designated representative and the authorization of the Service Coordinator or Personal Agent.

However, a provider cannot provide or request payment for services until the provider has agreed to provide services in writing demonstrated through a signature on the ISP or supplemental agreement with the provider.

Ending or Extending an ISP:

➤ **Issuing a NOPA:**

ISPs cannot be extended beyond the last day of the ISP authorization period. Notification of Planned Action (NOPA) terminating all paid services, except non-waiver Case Management, must be sent to the individual per OAR 411-318-0020(2)(b)(B)(i) if all required activities to authorize a renewed ISP, including authorization signatures, are not completed in a timely manner. The effective date identified on the NOPA would be the last day of the currently authorized ISP. See OAR 411-318-0020.

➤ **Administrative Errors:**

ISPs that lapse due to an administrative error (meaning the individual or their representative is not at fault) must not have the services ended or interrupted. The ISP authorization timelines should remain as if it were a renewal of an existing ISP.

➤ **Other Situations that Cause an ISP to Lapse:**

ISPs that lapse due to reasons other than administrative error must have ODDS approval to continue services. Request approval by submitting a Funding Review request to ODDS.FundingReview@state.or.us

Implementation/transition instructions:

This policy should not be used to change the start or end dates of existing ISPs.

New ISPs authorized after the effective date of this policy should no longer be ended in the middle of a month. ISPs must end on the last day of the calendar month in which the end date would fall in the following year. As ISPs renew annually, the dates of plan authorization must be consistent with this policy.

- Example: The former ISP started on 7/12/2015 and was authorized through 7/11/2016. The renewed ISP should be started on 7/12/2016 and end on 7/31/2017.

As of the date of this policy if changes in services or service settings are needed those changes will be made by amending the existing ISP without changing the authorized ISP dates. No ISP should be restarted when an individual makes changes to the services that they receive or the service setting in which they receive their supports.

ODDS recognizes that eXPRS Plan of Care (POC) will not allow for plan dates that exceed 366 calendar days. There will be additional guidance on a technical solution to align Plan of Care with this policy. Until that solution is released the ISP documentation in the individual's case file should reflect this policy and the Plan of Care should be entered with a plan date of 365 or 366 days. A solution will be released after July 1, 2016 that will allow POCs to follow this policy.

The new Oregon ISP forms and tools can be located and downloaded at OregonISP.org.

Training/communication plan:

Training on the new ISP has begun. This policy will be incorporated into ongoing training. Program Managers and Brokerage Directors to review this policy with staff.

Local/branch action required:

Central office action required:

Field/stakeholder review: Yes No

If yes, reviewed by: CDDP Program Managers and Brokerage Directors

Filing instructions:

If you have any questions about this policy, contact:

Contact(s):	Chrissy Fuchs		
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Email:	Chrissy.fuchs@state.or.us		