

APD/AAA Local Office
State Plan Personal Care (SPPC) Exception Process
OAR(s) 411-034-0020 & 411-034-0090

1. **SPPC Program Eligibility:** For SPPC, first ensure the individual is eligible for or is receiving a comprehensive Medicaid medical benefit as described in [OAR 411-034-0030\(1\)\(b\)](#). Then discuss potential SPPC and K-Plan program options with the individual.
2. **Assessment:** If the individual prefers K-Plan, rather than SPPC services, complete the SPL assessment prior to the SPPC assessment.
 - ◆ **If SPL 1-13 eligible**, explain that they may be eligible for SPPC (if found eligible after completion of the SPPC assessment), but the K-Plan program offers more extensive services than the SPPC program. If the individual prefers K-Plan and does not want SPPC services, do not complete an SPPC assessment.
 - ◆ **If not SPL 1-13 eligible or prefers SPPC** services rather than K-Plan, assess for SPPC eligibility. If this individual is SPPC eligible, offer SPPC as the only service option available. However, at the next assessment, discuss their potential service options again.
3. **SPPC exception considerations:** Determine if and why the individual's assessed needs require an SPPC exception above the limits established in the [411-034](#) rule. When making this decision, the individual must meet one or more of the following SPPC exception criteria:
 - a. **Personal care services:** Needs hands-on assistance from another person with one or more of the *personal care* need(s) based on the CAPS, SPPC assessment results.
 - **Allow a maximum of up to 2 hours per assessed need per month. The individual's SPPC assessment must show a need in the personal care need(s) being requested.**
 - b. **Cognitive assistance:** Needs on-going supervision for cognition assistance.
 - **Allow a maximum of up to 5 hours for the *supportive service* need in cognition per month.**
 - No other SPPC *supportive service* needs, other than cognition qualify for exception hours.

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- Since cognition is not used for determining SPPC eligibility, it is not part of the CAPS SPPC assessment. Because of this, please put cognition information in the CAPS SPPC **synopsis** if the assessment is in pending status. Cognition information on the summary of the 514PC form will also serve as documentation of the cognition need.
- c. **Exceptional housecleaning:** Needs exceptional housecleaning of the individual's home to ensure the health and safety of the individual.
- This service cannot be provided by HCWs or in-home agencies. It must be above and beyond the typical housekeeping provided by homecare workers (HCW) or in-home agencies necessary to maintain a person's home. For detail on qualified Medicaid providers, see the Provider Qualifications section.
 - **The goal** is to provide *intensive cleaning* for individuals to get their home in reasonable condition in order for a HCW or in-home agency to take over and provide on-going *hourly* SPPC housekeeping.
4. **APD/AAA Local Office Authorization Process:** Process this one-time service request as follows:
- a. **Complete a new CAPS assessment if current assessment is more than 6 month old or if the consumer's needs have changed.**
 - b. **Complete, Review & Submit a "[Request for SPPC Exception SDS 514PC form](#)"** through the local office supervisor or manager:
 - **Complete the "[Request for SPPC Exception SDS 514PC form](#)"** with a clear explanation of what the needs are, why each need is an extraordinary need which requires more than the 20 hour limit/month and/or how exceptional housecleaning is needed based on the criteria described in number 3 and restated here:
 - **Allow a maximum of up to 2 hours per assessed need per month. The individual's SPPC assessment must show a need in the personal care need(s) being requested.**

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- **Allow a maximum of up to 5 hours for the *supportive service* need in cognition per month.** No other SPPC *supportive service* needs, other than cognition qualify for exception hours.

 - **Review and approval:** The APD/AAA local office supervisor must review and approve for necessity as described in number 3.

 - **Email:** If the request meets the criteria described in number 3, the local office supervisor will forward the 514PC request, the bids and any supporting documentation through the [SPD Exceptions](mailto:SPD.Exceptions@state.or.us) email box. The direct email link is: SPD.Exceptions@state.or.us .
 - **Please write “SPPC Exception” in the subject line of the email.**
- c. Additional steps specifically for *exception housecleaning* requests:**
- **Review and sign:** Review the “[Consumer Consent In-home Chore and SPPC Exceptional Housecleaning Service SDS 0343 form](#)” with the consumer. Consumers must give permission to have a vendor clean their home and haul off agreed upon items that may pose a health and safety risk to the consumer or others. Do not authorize the service unless the consumer signs the [Consumer Consent In-home Chore and SPPC Exceptional Housecleaning Service SDS 0343 form](#).
 - Keep a copy of the signed form in the case file.

 - **HCW & In-home agency providers CANNOT provide this service:** Because this exceptional housecleaning service is not an *hourly* service, it cannot be completed by a homecare worker (HCW) or in-home agency.

 - **Provider Qualifications:**
 - Collect 3 bids if possible. Bids must be from a company that provide this type of service and cannot be through an individual.
 - All bids must be from local companies / vendors.
 - Comparative pricing from the internet is **not** acceptable.
 - If it is not possible to gather 3 bids, explain why when submitting the request to Central Office.

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- If the case manager is unaware of vendors who might provide the service, contact Central Office for suggestions.
 - If preferred, case managers may request a preliminary review of the exceptional housecleaning service request from Central Office before collection of bids.
5. **APD Central Office (CO) Approval parameters:** An APD Central Office staff person will evaluate the “[Request for SPPC Exception SDS 514PC form](#)” and supporting documents based on the information in number 3 and 4 with the following parameters:
- a. **Personal care:** Allow a maximum of up to 2 hours per assessed need per month.
 - b. **Cognitive assistance:** Allow a maximum of up to 5 hours for the *supportive service* need in cognition per month.
 - c. **Exceptional housecleaning:** Allow the most appropriate bid for exceptional housecleaning and removal of hazardous debris as described in number 3 and 4. HCWs or in-home agencies cannot provide this service.
6. **APD Central Office (CO) Decision process:** APD Central Office will email an approval or denial of the extra hours or exceptional housecleaning to the case manager and supervisor who requested the exception.
- ◆ **Do not approve** the extra hours or exceptional housecleaning until an official approval is received through the [SPD Exceptions](#) email box.
7. **Actions by case managers after receiving approval or denial from APD CO**
- ◆ **Extra hours approval:**
 - Because no CAPS modifications have been made in the CAPS SPPC service planning area, set up and approve 20 hours only in the CAPS service plan (the CAPS service plan was not upgraded to allow more than 20 hours);
 - The case manager needs to change the CAPS SPPC BPA service *benefit* and *plan* from pending status to approved;

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- Enter all the hours, including exception hours on the revised “[State Plan Personal Care Service Plan and Task List SDS 546PC form](#)” and submit to the designated local office staff person to generate a voucher with the extra hours;
- Narrate the total hours approved;
For example: If an individual is approved for 6 extra hours, narrate what service(s) were approved, as well as the total of 26 hours (20 + 6 = 26 hrs)
- Keep a copy of the Central Office email approval notification with the consumer’s case file.

◆ **Exceptional housecleaning approval:**

- Reminder: Consumers must give permission to have a vendor clean their home and haul off agreed upon items that may pose a health and safety risk to the consumer or others. Do not authorize the service unless the consumer signs the “[Consumer Consent In-home Chore and SPPC Exceptional Housecleaning Service SDS 0343 form](#)”.
 - Keep a copy of the signed form in the case file.
- Reminder: HCWs and in-home agencies cannot provide this service.
- If the case manager was unable to get vendor bids or is unaware of vendors who may provide the service, email the SPD Exceptions email box for suggestions. The APD Central Office staff person will work with the case manager on the process of locating and paying providers;
- Do not authorize this service on the “[State Plan Personal Care Service Plan and Task List SDS 546PC form](#)”, as this form is used for hourly SPPC services only. Follow the process described in this document to process the exception.
- Now that the housecleaning service has been authorized by Central Office, provide the vendor with a copy of the Provider Enrollment Agreement (PEA) and request that the vendor complete it. Upon completion, case manager will send the PEA through the SPD exceptions email box. Do not authorize vendor

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to begin work until the case manager is notified that the PEA is approved (see bullet below). Skip this step if the vendor has a current Medicaid provider # for this type of service.

- Once Central Office notifies the case manager that the Provider Enrollment Agreement is approved, inform the vendor s/he may begin work.
 - Once the exceptional housecleaning has been completed, set up on-going housekeeping hours through a HCW or in-home agency, as these providers will now be able to maintain the consumer's home.
 - Payment to will be released after the case manager has verified that the housecleaning tasks have been completed as specified in the bid. Once verified, the case manager will then notify Central Office that the work has been completed via the SPD exception's email box and payment will be sent to the provider.
 - Narrate all actions.
- ◆ Exceptional hours and housecleaning denials:
- The case manager will receive an email from the SPD Exceptions email box with the reason for the denial of the SPPC exception.
 - Issue a [SDS 0540 Notification of Planned Action form](#) denial, closure or reduction whenever the extra hours are denied, closed or reduced, as the individual has administrative hearing rights;
 - Issue a [SDS 0540 Notification of Planned Action form](#) denial notice whenever the exceptional housecleaning is denied by Central Office.
 - Narrate the action and keep a copy of the notice in the consumer's case file.