

## Service Element DD 148 Standards and Procedures

**Effective Date:** January 1, 2018  
**Service Name:** Case Management and Brokerage Operations  
**Service ID Code:** DD 148

### 1. Overview.

Case Management Services (DD 148 Services) are delivered by Brokerage Support Service Personal Agents to Individuals aged 18 and over who are eligible for Intellectual or Developmental Disability Services (DD Services); and are paid by DHS, in an identified geographic service area. DD148 Services include as outlined in OAR Chapter 411, Division 415 are subject to records retention requirements found in OAR 166-150-0055 with regards to an Individual's service records.

Additionally, DD 148 Services funds are used in Brokerage operations for Support Services which assist Individuals to continue to live in their own homes or in their families' homes. These operational Support Services include, but are not limited to:

- a. Organization management and operational activities,
- b. Quality assurance and improvement activities,
- c. Activities to implement, monitor and document compliance with applicable laws, administrative rules, and contract requirements, and
- d. Efforts to expand or otherwise increase the availability of community Support Services and resources.

### 2. Special Performance Requirements.

Brokerage shall perform DD 148 Services under this Contract in accordance with the following parameters and as established in a SEPA for this Contract or in Oregon Administrative Rules:

- a. Maximum number of Individuals to be served;
- b. Minimum full-time equivalencies (FTEs) of qualified Support Service Personal Agents to be employed to provide DD 148 Services to Individuals under this Contract; and
- c. Maximum average caseload for each FTE of qualified Support Service Personal Agent.

### 3. Standards and Procedures.

- a. Service Referral

Individuals who receive DD 148 Services must be referred by the Community Developmental Disability Program (CDDP) in which the Individual is enrolled. This referral must be made in accordance with DHS' policies and procedures.

**b. General Performance Requirements**

- (1) Brokerage shall comply with the requirements of OAR Chapter 411, Division 340, OAR Chapter 411, Division 320, and OAR Chapter 411, Division 415.
- (2) Brokerage shall employ the staff indicated on its workload model in the specific position type indicated for operational and Case Management Services. The Provider must hire as many employees as possible for each identified position per the funding allocated to Brokerage.
- (3) Brokerage shall provide, at a minimum or as required in the Oregon Administrative Rules, one billable service annually, to all Individuals receiving DD 148 Services.
- (4) Brokerage shall ensure that all DD 148 Services are planned and delivered in conformance with the philosophy and principles of Self-Determination and this Service Element DD 148 Standards and Procedures.
- (5) Brokerage shall develop, maintain, and effectively implement systems and procedures necessary for the appropriate response to urgent needs affecting the Individual's Services and any emergencies or crisis affecting these Services in accordance with OAR 411-415-0030. This may be accomplished with contracted Services or via the use of Brokerage's existing resources.
- (6) Brokerage shall comply with all DHS requirements designed to assure the timely and accurate enrollment, Service authorization, and Service payment for Individuals receiving DD 148 Services and DD149 Services.
- (7) Brokerage shall comply with DHS policies and procedures or action Transmittals.
- (8) Brokerage shall timely process termination of an Individual from waived and KPlan Services if the Individual does not meet the Level of Care (LOC). Brokerage shall collaborate with the CDDP to terminate Services for this Individual. If the Individual is interested, Brokerage shall refer the Individual to other non-waiver and non- KPlan Services.
- (9) Brokerage shall complete entry of the annual plan into eXPRS Plan of Care as instructed by DHS within 30 days of final signature on the Individual Support Plan (ISP) for any Services where a Provider has not yet been identified.
- (10) Brokerage shall complete all DHS required documentation in a timely manner.
- (11) Brokerage shall add the completion date to the Individual's record in eXPRS within ten business days of the completion.
- (12) Brokerage shall identify, address and seek to prevent on an ongoing

basis instances of abuse, neglect, and exploitation.

- (13) Brokerage shall complete any other administrative tasks related to Brokerage DD 148 Services as identified in Oregon Administrative Rule and not enumerated above.

**c. Special Reporting Requirements**

- (1) Upon DHS' request, DD 148 Service Providers shall supply data and information relative to the implementation and provision of DD 148 Services.
- (2) Brokerage shall respond to DHS staff inquiries or requests for additional information within five business days of a request pertaining to a complaint or administrative hearing to include but not limited to Service complaints and hearings.

**d. Billing and Payment Procedures**

- (1) Payments for DD 148 Services will be:
  - (a) Based upon the amount of qualified billable Claims submitted by Brokerage, up to the monthly amount authorized by DHS in the DD 148 Services Provider Prior Authorization (PPA).
  - (b) Paid to Brokerage after the Claims processing cycle on the 15<sup>th</sup> of the month based on:
    - i. Title XIX eligible Claims cleared since the first of the month; and
    - ii. Title XIX eligible Claims made for the previous month(s) that have cleared but have not been paid, will also be processed for payment at this time up to the authorized amount for the month.
  - (c) Paid to Brokerage after the Claims processing cycle on the last day of the month based on:
    - i. If any funds remain or are available in the month's authorized amount; then
    - ii. Title XIX eligible Claims cleared since the 15<sup>th</sup> will be processed and paid first; then
    - iii. Title XIX Claims made for the previous month(s) that have cleared but have not been paid will be processed and paid second up to the maximum monthly authorized amount; and
    - iv. If any funds remain or are available in the authorized amount for the month, those funds will be utilized third to pay for the general fund Claims that have cleared that month; and then for any that cleared in prior months, but were not previously processed, until the maximum

monthly authorized amount is exhausted.

- (2) DHS is not obligated to provide funding for any DD 148 Services that are not properly documented in Individual case files, or are not properly reported through eXPRS within 12 months of the DD 148 Service, and by the date 60 calendar days after the earlier of expiration or termination of the Contract; termination of DHS' obligation to provide funding for DD 148 Services; or termination of Brokerage's obligation to include the Program Area, in which DD 148 Services fall, in its identified geographic DD 148 Service area.
- (3) Provider of DD 148 Services shall resolve all Provider Liability Accounts (PLA) as shown in eXPRS relating to DD 148 Services, by ensuring the PLA ending balance is zero, within 60 calendar days after the earlier of expiration or termination of the Contract with DHS; termination of DHS' obligation to provide funding for DD 148 Services; or termination of Brokerage's obligation to include the Program Area, in which DD 148 Services fall, in its identified geographic DD 148 Service area.
- (4) Each Individual receiving DD 148 Services must have an active accepted Client Prior Authorization (CPA) within eXPRS for the period DD 148 Services are provided to the Individual in order to claim a Case Management Service encounter or claim.
- (5) For each unit of DD 148 Services reported in eXPRS as delivered to an Individual, a qualifying billable Personal Agent Service must have been delivered to the Individual and documented in the Individual's case file. DHS will not pay for more than one billable DD 148 Service or unit per Individual per day.
- (6) Contract Settlement (as outlined in Exhibit B, Part 3 of this Contract) will be used to confirm and reconcile any discrepancies that may have occurred during the term of the Contract between actual DHS disbursements of funding awarded through a SEPA for DD 148 Services for this Contract period and the amount of qualifying billable DD 148 Services actually delivered and reported in accordance with Section 3.d. "Billing and Payment Procedures" of this DD 148 Service Element, as such Services are properly reported in eXPRS.

**4. CFDA Number(s).**

In accordance with the State Controller's Oregon Accounting Manual, policy 30.40.00.102, and DHS procedure "Contractual Governance", DHS' determination is that Brokerage is a contractor.

Catalog of Federal Domestic Assistance (CFDA) #(s) of Federal Funds to be paid through the Agreement: 93-778.