

## Developmental Disabilities Services

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**Number:** APD-IM-14-038  
**Issue date:** 7/24/2014

**Topic:** Developmental Disabilities

**Subject:** Revised DD 57 Special Projects Standards and Procedures

**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                       |
| <input type="checkbox"/> Children, Adults and Families         | Disabilities Services (ODDS)  |
| <input checked="" type="checkbox"/> County DD Program Managers | <input checked="" type="checkbox"/> Other ( <i>please specify</i> ): DD Providers |
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**Message:**

The DD 57 Special Projects Standards and Procedures have been revised and posted to the Provider Tools website at <http://www.oregon.gov/DHS/spd/Pages/provtools/index.aspx> .

This revision is in effect as of 7/1/14 and includes both State General Fund Projects and Community First Choice State Plan Special Projects that can not, at this time, be paid by another service element. It includes clarification and instructions related to each type of service funded under DD 57 Special Projects.

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

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<b>Service Element Title:</b>	Developmental Disability Special Projects				
<b>Service Element Number:</b>	DD 57	<b>Version:</b>	2.0	<b>Effective Date:</b>	7/1/14

## I. State General Fund Projects

### a. Overview for State General Funded Special Projects (DD 57)

State General Funded Special Projects (DD 57) are intellectual/developmental disability (I/DD) services that are one-time-only or time-limited activities that include:

- i. Sexual offender treatment for group therapy, individual therapy, or group and individual therapy only;
- ii. Expenditures necessary to prepare for implementation of new or revised Services (“start-up” activities); or
- iii. Other I/DD services not detailed in any other service element and prior approved by the Department of Human Services (DHS) Office of Developmental Disability Services (ODDS) management.

### b. General Performance Requirements

- i. Individuals receiving DD 57 Services funded through the Agreement with the County must be found eligible for I/DD services under OAR Chapter 411, Division 320. Under extraordinary circumstances, an exception can be made by ODDS management for prior authorization.
- ii. All State General Funded DD 57 funding must be submitted to ODDS at [CAU.Invoice@state.or.us](mailto:CAU.Invoice@state.or.us) for prior authorization. DHS is not responsible for payment of any DD 57 Services rendered prior to an approval to authorize the service by ODDS. Retroactive actions will not be authorized by DHS.

### c. Performance Requirements Specific to Start-Up

- i. Start-Up funding requests can be made for new developments for new clients in a Residential Facility (DD 50) for up to \$2,500.00 per person total for the current biennium. Prior to new development, the County’s respective Program must approve and confirm the need for the new development. The respective Program is to determine whether other existing capacity resources have been considered and ruled out prior to a request being submitted to ODDS at [CAU.Invoice@state.or.us](mailto:CAU.Invoice@state.or.us). Any request for DD 57 Start-Up funding must be submitted individually and include the following:
  - A DHS prescribed line-item budget;

- A description of the Start-Up activity being requested;
- The effective and end date of the requested action;
- The Individual's name and prime number;
- The dollar amount requested for the Individual and
- Any other information as requested by ODDS.

ii. Start-Up funds must be expended consistent with the request for payment of Start-Up funds and any required line-item budget submitted and approved by ODDS management. Expenditures must comply with the allowable costs detailed in (iii) below. Funds cannot be used for County or Provider administration or overhead costs. All Start-Up funds may only be paid or applied to qualified providers or vendors and contractors who are licensed, bonded and insured in Oregon per OAR 812.

iii. Start-Up Allowable Costs include:

- Program and office supplies;
- Initial staff training (e.g., training materials, training fees, etc.);
- Initial (needed only for the first 30 days) supplies of food, maintenance and housekeeping items;
- Initial insurance premiums (fire, liability and professional performance bonds) that are not to exceed the first month's coverage;
- Professional contract services necessary for health and safety in order to open a program or support an Individual living in a residential program (e.g., behavior consultation, nursing assessments, etc.) and
- Initial licensing fees.
- Capital outlay that may include:
  - Furnishings and equipment appropriate for the type of service being provided (e.g., necessary household furnishing and appliances for residential program to support the Individual(s);
  - Office furnishings and equipment proportionate to size of program/staff being implemented;
  - Environmental modification (e.g., wall hardening, locks on cabinets, ramp, bathroom modification, technology, etc.) necessary to meet health and safety needs of Individuals and appropriate for the type of service being provided and not available through any other resource. All work must be performed by a contractor licensed, bonded and insured in Oregon.

d. Performance Requirements Sexual Offender Treatment.

i. Sexual Offender Treatment must be court ordered, ordered as a condition of parole or probation or an exception prior authorized by ODDS management. Psychiatric Security Review Board (PSRB) individuals do not qualify for DD 57 funding for Sexual Offender treatment. Sexual Offender treatment is not paid out of DD 57 for PSRB individuals.

- ii. The initial request for DD 57 funding for Sexual Offender Treatment must include the following:
- Request must be agreed upon by the Individual Support Team prior to being submitted to ODDS at [CAU.Invoice@state.or.us](mailto:CAU.Invoice@state.or.us) for approval. Submit documentation of this agreement.
  - A budget or quote for cost of services. Therapy rates must not exceed the usual and customary rates for the geographic service area in which the Individual receives treatment. This would include:
    - The Individual's full name;
    - Date of birth;
    - Prime number;
    - Provider's name;
    - Type of therapy (individual or group or individual and group therapy);
    - Number of sessions per week and by type of therapy requested;
    - Effective and end dates of request (cannot exceed amount of time ordered by the court or by the terms of a probation or parole agreement);
    - Hourly rate for each type of therapy requested;
    - Total amount being requested per month and
    - Information/documentation if the Individual receives funds from any non-SSI source. The Individual will be required to contribute toward the cost for treatment if receiving funds from a non-SSI source.
- iii. Sexual Offender Treatment therapy must be provided by a qualified Provider as determined by the respective program rules (e.g., Residential Facilities, Supported Living, Adult Foster Home) or recognized Board in Oregon authorized to license or certify professionals (e.g., Board of Social Workers, Board of Licensed Psychologists, etc.). The County is required to have on record the documentation that the Sexual Offender treatment is court ordered or the terms of parole or probation. This information must be made available upon request by DHS.
- iv. Upon completion of the court ordered Sexual Offender treatment, ODDS can, upon request from the County, determine whether to modify or continue the treatment by reviewing the following information:
- Is the client in Developmental Disability licensed housing;
  - Is the Individual actively participating in treatment;
  - Is there a continued need for the individual, group or individual and group therapy; and
  - Is the current treatment resulting in the desired change in behavior?

This information must be submitted by the County to ODDS at [CAU.Invoice@state.or.us](mailto:CAU.Invoice@state.or.us) prior to the court, parole or probation order ending for

prior authorization.

- v. County shall obtain and maintain documentation regarding the Individual and their Sexual Offender Treatment. The documentation shall include but not be limited to:
  - Clinical reports;
  - Team agreements; and
  - Itemized treatment costs.

e. Requests for State General Fund DD 57 funding not listed above must be in writing and submitted to ODDS at [CAU.Invoice@state.or.us](mailto:CAU.Invoice@state.or.us) . This request should include the following information:

- i. Individual's name;
- ii. Prime number;
- iii. Date of birth;
- iv. Effective and end date of request; and
- v. Detailed description of what the funding is for and why it cannot be funded under any other Service Element.

f. Any services that are requested by the County that require authorization by ODDS management to be paid under State General Fund DD 57 funds are not to be rendered until authorization is received by the County from ODDS . A written determination of the request will be sent by email within two weeks. Required documentation and information may be obtained from ODDS. This information may be different for each request depending on what DD 57 Service is being requested.

g. Special Reporting Requirements for all State General Fund DD 57 Services

Upon the request of ODDS County shall supply data and information relative to the implementation or payment of DD 57 Services.

h. Financial and Billing Procedures

- i. All State General Fund DD 57 funding will be funded through a particular line of a Service Element Prior Authorization (SEPA) in the eXPRS Payment & Reporting System (eXPRS). All State General Fund DD 57 funds will be paid based upon receipt of a completed, accurate and approved DHS prescribed form submitted by the County to the [CAU.Invoice@state.or.us](mailto:CAU.Invoice@state.or.us) e-mail box.
- ii. Start-Up Funds are entered in to an accepted SEPA in eXPRS. The County must submit a request for payment on a DHS prescribed form and the approved line-item budget. Forms are to be submitted to [CAU.Invoice@state.or.us](mailto:CAU.Invoice@state.or.us) for payment. Payment cannot be made until a completed and accurate form has been received by ODDS. Once received, ODDS will create a Provider Prior Authorization (PPA) in eXPRS. This will allow the release of funds to be paid out to the County. The County is then responsible to issue payment to the

Provider of the DD 57 Service. After all needed funds have been expended, the County is required to submit a form prescribed by DHS that reports all expenditures with receipts attached. All unused funds paid out to the County must be returned to DHS. The Provider is to return all unused funds to the County and the County then returns them to DHS. This must be done no later than 45 days after the close of the biennium in which the funds were contracted.

- iii. Sexual Offender Treatment funds must be prior approved by ODDS management, accepted in a SEPA in eXPRS and services must be rendered before DHS will release DD 57 funding. Provider must submit a monthly invoice to the County. The County is to review the monthly invoice to ensure the services, rates and dates are what were authorized by ODDS and accurate. The County is then to submit the Provider invoice along with an invoice prescribed by DHS to [CAU.Invoice@state.or.us](mailto:CAU.Invoice@state.or.us) for payment. Invoices are to be submitted within 45 days from the end of the service month. DHS will issue payment to the County upon receipt of a fully complete and accurate invoice. ODDS will release the payment by creating a PPA in eXPRS. Payments are released to the County on or around the 1<sup>st</sup> and 15<sup>th</sup> of each month. The County will then pay those funds to the Provider of the DD 57 Service. DHS is not obligated to pay any invoices for DD 57 Services that are received after 45 days from the end of the service month or for DD 57 Services not authorized.
- iv. Payment for other State General Funded DD 57 Services must be prior authorized by ODDS management, accepted in a SEPA in eXPRS and DD 57 Services must be rendered before DHS will release funding. Payment will be paid directly to the County by DHS. County must submit a monthly invoice that is, prescribed by DHS, to [CAU.Invoice@state.or.us](mailto:CAU.Invoice@state.or.us) for processing. Invoices are to be submitted within 45 days from end of the service month. DHS is not obligated to pay any invoices for DD 57 Services that are received after 45 days from the end of the month of the date of service. Upon receipt of fully completed and accurate DHS invoice, ODDS will release the payment by creating a PPA in eXPRS. Payments are released to the County on or around the 1<sup>st</sup> and 15<sup>th</sup> of each month. County is then responsible to pay the Provider.

## **II. Community First Choice State Plan Special Projects – K-Plan DD 57**

### **a. Overview for K-Plan DD 57**

K-Plan Special Projects are intellectual/developmental disability services that are one-time-only or time-limited activities for individuals receiving 24 hour Residential Services (DD 50), Supported Living (DD 51) or Foster Care (DD 58) that include the following:

- i. Assistive Devices
- ii. Assistive Technology (for individuals receiving DD 51 only)
- iii. Community Nursing Services (for individuals in DD 51 and DD 58 only)
- iv. Emergency Response Systems (for individuals receiving DD 51 only)

- v. Environmental Modifications
  - vi. Home Delivered Meals (for individuals receiving DD 51 only)
- (See CDDP Expenditure Guidelines for more detailed information about these services)

b. General Performance Requirements

- i. Individuals receiving K- Plan DD 57 Services funded through an Agreement with the County or Provider must be found eligible for Intellectual/Developmental Disability services under OAR Chapter 411, Division 320.
- ii. K-Plan DD 57 funding must follow the CDDP Expenditure Guidelines found at: <http://www.oregon.gov/dhs/DD/adults/compserv-exp-guide.pdf>  
Requests to contract K- Plan DD 57 funding that require ODDS approval must be submitted to the ODDS Funding Review Committee and follow the process outlined for submitting requests.

c. Special Reporting Requirements

Upon the request from DHS, County shall supply data, supporting justification and information relative to the implementation or payment of K-Plan DD 57 Services.

d. Financial and Billing Procedures

- i. Payment for approved K-Plan DD 57 funding will be in an accepted SEPA in eXPRS and services must be rendered before DHS will release funding. Provider must submit a monthly invoice to the County. The County is to review the monthly invoice to ensure the DD 57 Services, rates and dates of DD 57 Service are accurate. The County is then to submit the Provider invoice along with an invoice prescribed by DHS to [CAU.Invoice@state.or.us](mailto:CAU.Invoice@state.or.us) for processing and payment. Invoices are to be submitted within 90 days from the date of service. DHS will issue payment to the County upon receipt of a fully complete and accurate invoice. ODDS will release the payment by creating a PPA in eXPRS. Payments are released to the County on or around the 1<sup>st</sup> and 15<sup>th</sup> of each month. Once County has received payment, the County will pay those funds to the Provider of the DD 57 Service. DHS is not obligated to pay any invoices for DD 57 Services that are not prior authorized by ODDS if over \$500.00 or by County if \$500.00 or less.

### III. Settlement of Funds

DHS will reconcile any discrepancies that may have occurred during the term of an Agreement between actual DHS disbursements of funds awarded through a SEPA for either State General Funded DD 57 Services or for K-Plan funded DD 57 Services for an Agreement period and the amount of qualifying billable DD 57 Services actually delivered and reported in accordance with section I.h. or II.d. “Financial and Billing Procedures” for this DD 57 Service Element Standards and Procedures, as such Services are properly reported.

**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 County is a vendor.

**Form(s)**

- a. 2013-15 Request for Payment of Start-Up Funds/Expenditure Report
- b. 2013-15 DD 57 Special Projects Invoice
- c. Line-Item Budget

**Rules and Reference(s)**

- a. [OAR Chapter 411, Division 320](#)
- b. CDDP Expenditure Guidelines
- c. OAR 812 – license, bonded and insured for contractors for environmental modifications.

**Contacts:**

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