

Lilia Teninty

Authorized Signature

Number: APD-PT-17-045

Issue date: 10/10/2017

CORRECTED

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"/> Self Sufficiency Programs | <input type="checkbox"/> ODDS Children’s Intensive In Home Services |
| <input checked="" type="checkbox"/> County DD Program Managers | <input checked="" type="checkbox"/> Stabilization and Crisis Unit (SACU) |
| <input type="checkbox"/> ODDS Children’s Residential Services | <input checked="" type="checkbox"/> Other (please specify): DD50 group homes |
| <input type="checkbox"/> Child Welfare Programs | |

Policy/rule title:	SIS Assessment Effective Dates		
Policy/rule number(s):		Release no:	
Effective date:	10/1/2017	Expiration:	
References:			
Web address:			

Discussion/interpretation:

In order to make a more consistent and fair process regarding the SIS tier rates implementation, ODDS has updated some of the procedures concerning tier effective dates and is clarifying policy on existing processing dates. The following applies to SIS assessments conducted after October 1, 2017:

Effective Dates For New SIS Assessments

For Individuals residing in Developmental Disability residential facilities (DD50), service rates are established using a tier assignment, which occurs following a Supports

Intensity Scale (SIS) assessment. When a SIS assessment tier assignment results in a **first time** or **increased** service rate, the effective date of that service rate will be the *SIS Administration Date*.

ODDS SIS-A INTERVIEW AND PROFILE FORM

SIS ID NUMBER 1709130857180416

SIS ADMINISTRATION DATE 09/13/2017

SIS TYPE MCL CA

CLIENT PRIME # KVF1111A Check Client ID


CLIENT NAME John Smith

First (Middle) Last

- SIS Administration Date

If a SIS assessment results in a service rate **decrease** from an individual's previous ReBAR model service rate, the effective date will be 45 days following the individual's *tier assignment notification date*.

An individual's *tier assignment notification date*, *SIS administration date*, *tier effective date* and *residential & DSA/employment tier rates* can be found in the individual's *SIS Notification Letter*.

 **Oregon**
Kate Brown, Governor

Department of Human Services
Office of Developmental Disabilities Services
500 Summer St. NE
Salem, OR 97301-1073
Voice: 503-945-6139
Fax: 503-945-5905
TTY: 800-282-8096

09/22/17 tier assignment notification date

John Smith
1313 Mockingbird Lane
Salem, OR 97317

Notice of Supports Intensity Scale (SIS) results for John Smith /KVF1111A

This letter is to communicate to you the results of your SIS assessment completed on 09/14/17. SIS administration date

The assessment indicated your residential support needs are best represented at a Tier 5 level of support. Your DSA/Employment rate has been assessed at a Tier 5 level of support. The effective date of your new residential and DSA/employment rates are 09/14/17. tier effective date

If you would like a copy of your SIS assessment, you may request one from your service coordinator, who has an electronic copy on file.

If you have any further questions regarding your assessment, you can email Dan Baker at daniel.l.baker@state.or.us or you may call the ReBAR Assessment Unit at 503-945-6139.

- Tier assignment notification date
- SIS administration date
- Tier effective date



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09/22/17

John Smith
1313 Mockingbird Lane
Salem, OR 97317

Notice of Supports Intensity Scale (SIS) results for John Smith /KVF1111A

This letter is to communicate to you the results of your SIS assessment completed on 09/14/17.

residential service rate

The assessment indicated your residential support needs are best represented at a Tier 5 level of support. Your DSA/Employment rate has been assessed at a Tier 5 level of support. The effective date of your new residential and DSA/employment rates are 09/14/17.

DSA/employment rate

If you would like a copy of your SIS assessment, you may request one from your service coordinator, who has an electronic copy on file.

If you have any further questions regarding your assessment, you can email Dan Baker at daniel.l.baker@state.or.us or you may call the ReBAR Assessment Unit at 503-945-6139.

- Residential rate
- DSA employment rate

Each individual will be mailed a paper copy of their *SIS Notification Letter* via the United States Postal Service to the residential address obtained during their SIS assessment. If requested by the individual or the individual's respondent group, the *Tier Notification Letter* may be mailed to the provider main office in lieu of the residential address provided.

Service Coordinators (SC) and Brokerage Personal Agents (PA) can view an individual's *SIS Notification Letter* on the individual's SIS Assessment page in eXPRS. In addition to the *SIS Notification Letter*, the individual's *SIS administration date*, *residential service rate*, and *tier effective date* can be viewed by SCs and PAs on the individual's SIS Assessment page. SCs and PAs will be notified each time an individual's SIS Assessment page is updated. It may several weeks for an individual's SIS Assessment page to be updated after a new SIS assessment has been completed.

Residential and DSA employment rates will only be assigned to individuals with permanent residential placements. If an individual does not have permanent residential placement on their SIS administration date, their newly assigned tier will take effect on the individual's residential placement move-in date.

Client > SIS Assessment

Provider > Client Name: John Smith

Contracts > SIS ID: [REDACTED]

Prior Authorization > Assessment Date: 12/9/2016

Plan Of Care > Client Prime: [REDACTED]

Claims > Medical Risk: false

CM/PA TCM Billing > Safety No Conviction: false

Liabilities > Assessment Code: MCL CA

Reports > Status: Final

Financial > Assessment Renew Date: 12/09/2021

Maintenance > Birth Date: [REDACTED]

Administration > Safety Conviction: false

Self Injury: false

Service Level: 4

Tier and Rate Authorizations

Status	Tier	Processed	Effective Date	End Date	Service Element	Rate
Active	4	12/12/2016	12/12/2016	12/31/2999		0.00

Residential service rate: 4

Tier effective date: 12/12/2016

Service Coordinator: [REDACTED]

Assessment Specialist Id: [REDACTED]

Other Assessment Information: MCL CA SIS for residential rate. Mailing address: as above

Notes:

Type: Client Letter Tier7 Memo Assessment Report

Assessment Report: SIS_Assessment_Smith_9.15.17

Client-Letter: Tier_Notification_Smith_9.15.17

County: Multnomah

Assessment Specialist Name: [REDACTED]

Created: 12/12/2016 11:43:50 AM PST

Created: 12/12/2016 11:45:45 AM PST

- SIS administration date
- Residential service rate
- Tier effective date
- SIS assessment report
- SIS tier notification

Effective Dates For Tier reviews and Re-Review

Effective dates for tiers that have been reviewed by the Tier Review Committee (TRC) will be assigned as follows:

For **new SIS assessments** that do not result in a decrease from the individual's previous service rate, the effective date will be the *SIS administration date*. In the event of a decrease in service rates, the effective date will be the SIS administration date plus 45 days.

For **tier "re-reviews"**, when the re-review request form and supporting documentation has been submitted to the TRC **no later than 30 days** prior to the individual's tier expiration date, new tier effective dates will be no later than the day following the previous tier expiration date.

For tier “re-reviews”, when the re-review request form and supporting documentation has been submitted to the TRC **later than 30 days** prior to the individual’s tier expiration date, the new tier effective date will be the TRC meeting date. If an individual’s tier rate expires prior to the TRC meeting date, the individual’s tier will revert to their SIS assessed tier found on the individual’s SIS Assessment page in eXPRS. That tier will remain in effect until their new effective date arrives.

SIS Assessment

Client Name: John Smith
 Status: Final
 SIS ID: [REDACTED]
 Assessment Date: 12/9/2016
 Assessment Renew Date: 12/09/2021
 Client Prime: [REDACTED]
 Birth Date: [REDACTED]
 Medical Risk: false
 Safety Conviction: false
 Safety No Conviction: false
 Self Injury: false
 Assessment Code: MCL CA
 Service Level: 4

Tier and Rate Authorizations

Status	Tier	Processed	Effective Date	End	Rate
Active	4	12/12/2016	12/12/2016	12/31/2999	0.00

Buttons: Save, Add, revert to SIS assessed tier, Tier expiration date

- SIS assessed tier
- Tier expiration date

The individual will be notified of the results of their tier review via the *TRC Notification Letter*. Each individual will be mailed a paper copy of their *TRC Notification Letter* via the United States Postal Service to the address provided to the TRC by the individual’s SC or PA.

September 25, 2017

John Smith
 1313 Mockingbird Lane
 Salem, OR 97317

Notice of Tier Review Results for John Smith/KVK1111A

This letter is to communicate to you the results of the tier review completed by the ODDS Tier Review Committee on 8/9/2017.

The Tier Review Committee has determined that your residential support needs are best represented at a Tier 6 level of support. Your residential service rate is based on the current ReBAR rate model, Tier 6, 1-3 licensed setting. Your DSA/employment rate has been assessed at Tier 6.

The effective date of your residential and DSA/employment rates are 8/9/17. The end date for these rates are 8/8/18. Failure of the CDDP to submit a tier review request form and the required supporting documentation on or before 07/08/18 may result in your tier assessed Tier 5 level of support.

If your support needs change or if you move to a residential setting with a different residential capacity, a re-assessment of this rate by ODDS will be required.

- TRC meeting date
- Residential tier rate
- Tier effective date
- Tier expiration date
- Document due date
- Revert to SIS assessed rate

Effective Dates for Desk Reviews

If an individual or an ISP team does not believe that the responses provided during a SIS assessment were an accurate reflection of the individual's support needs, the SC or PA may file a "Request for ReBAR assessment review (See APD-IM-15-025). The ReBAR unit will complete a desk review of the identified dispute item within 10 working days of receiving the written request and a copy of the individual's supporting documentation.

If the request for a desk review is received within 21 days of the SIS notification date, the following effective dates will apply:

If the ReBAR unit determines the supports captured in the SIS assessment are consistent with the supporting documentation provided by the SC or PA, and no further review is needed, the effective date will be:

- The *SIS assessment administration date* when the service rate is not a decrease from a previous rate.
- *The SIS assessment administration date plus 45 days* when the service rate is a decrease from a previous rate.

If the ReBAR unit determines the supports captured in the SIS assessment are consistent with the supporting documentation provided by the SC or PA, however, additional supports may be warranted, the supporting documentation will be referred to and reviewed by the Tier Review Committee, with the effective dates being as follows:

- The *SIS assessment administration date* when the service rate is not a decrease from a previous rate.
- *The SIS assessment administration date plus 45 days* when the service rate is a decrease from a previous rate.

If the ReBAR unit determines that that the supports captured in the SIS assessment are not consistent with the supporting documentation provided by the SC or PA, a new SIS assessment will be recommended.

If the request for a desk review is **not** received within 21 days of the SIS notification date, the dispute will still be reviewed by the ReBAR unit, but the tier will decrease to the assessed rate at the 45 day mark, unless the rate is changed by the result of the ReBAR review prior to the effective date.

Implementation/transition instructions: This policy will take effect immediately, but will not be applied retroactively to any implementation or expiration dates.

Training/communication plan: An additional chart is provided on subsequent pages for reference. Additional training available upon request.

Central office action required: ODDS will begin new implementation dates effective immediately

Field/stakeholder review: Yes No

If yes, reviewed by: Chris Burnett, Sarah Jane Owens, Katie Rose

If you have any questions about this policy, contact:

Contact(s):	Dan Baker		
Phone:	503945-6139	Fax:	503-945-5905
Email:	Daniel.L.Baker@state.or.us		

First SIS	Has permanent residential placement First SIS				No permanent placement
First SIS	not sent to tier review		sent to tier review		
First SIS	effective date is SIS date. Processed date is when ODDS receives HSRI report		effective date is SIS date. Processed date is when ODDS TRC finishes tier review.		effective date is at start of placement. Processed date is same as it would be if there were a permanent placement
First SIS	Desk review requested within 21 days	Desk review requested after 21 days	Desk review requested within 21 days	Desk review requested after 21 days	
First SIS	If new SIS is ordered, Tier from 1st SIS remains in effect until renewal SIS is completed. Once renewal SIS is completed, use renewal SIS guidelines. If sent to tier review use sent to tier review guidelines	If new SIS is ordered, Tier from 1st SIS remains in effect until renewal SIS is completed. Once renewal SIS is completed, use renewal SIS guidelines. If sent to tier review use first SIS tier until review completed and if TRC increases rate effective date on date of TRC review completion.	If new SIS is ordered, Tier from 1st SIS remains in effect until renewal SIS is completed. Once renewal SIS is completed, use renewal SIS guidelines. If sent to tier review use sent to tier review guidelines	If new SIS is ordered, Tier from 1st SIS remains in effect until renewal SIS is completed. Once renewal SIS is completed, use renewal SIS guidelines. If sent to tier review use first SIS tier until review completed and if TRC increases rate effective date on date of TRC review completion.	

Renewal SIS	Has permanent residential placement Renewal SIS								No permanent placement
Renewal SIS	not sent to tier review				Sent to tier review				
Renewal SIS	Rate decreases		Rate stays the same or increases		Rate decreases		Rate stays the same or increases		
Renewal SIS	effective date is 45 days after date on tier determination memo. Processed date is when ODDS receives HSRI report		effective date is SIS date. Processed date is when ODDS receives HSRI report		effective date is 45 days after date on tier determination memo. Processed date is when ODDS TRC finishes tier review		effective date is SIS date. Processed date is when ODDS TRC finishes tier review.		effective date is at start of placement. Processed date is same as it would be if there were a permanent placement
Renewal SIS	Desk review requested within 21 days	Desk review requested after 21 days	Desk review requested within 21 days	Desk review requested after 21 days	Desk review requested within 21 days	Desk review requested after 21 days	Desk review requested within 21 days	Desk review requested after 21 days	
Renewal SIS	If new SIS is ordered, Tier from previous SIS remains in effect until new SIS is completed. If Sent to tier review use sent to tier review guidelines. If Desk review determines tier stands, effective date is 45 days after date on tier determination memo.	Tier effective date is 45 days after tier determination memo. If tier review is ordered and tier is at or above the previous SIS it goes into effect when TRC review completed. If it is below previous tier, the effective date is 45 days after the tier determination letter date.	If new SIS is ordered, Tier from this SIS remains in effect until new SIS is completed. If Sent to tier review use sent to tier review guidelines.	If new SIS is ordered, Tier from this SIS remains in effect until new SIS is completed. If Sent to tier review use sent to tier review guidelines.	If new SIS is ordered, Tier from previous SIS remains in effect until new SIS is completed. If Sent to tier review use sent to tier review guidelines. If Desk review determines tier stands, effective date is 45 days after date on tier determination memo.	If new SIS is ordered or if sent back to TRC, Tier from previous SIS remains in effect until new SIS and/or new tier review is completed. If Desk review determines tier stands, effective date is 45 days after date on tier determination memo.	If new SIS is ordered, Tier from this SIS remains in effect until new SIS is completed. If a new tier review is ordered than the effective date of the outcome of the tier review is the SIS administration date	If new SIS or tier review is ordered, Tier from this SIS remains in effect until new SIS or tier review is completed. If a new tier review is ordered than the effective date is when the new TRC review is completed	

re-review of tier 7	Has permanent residential placement SIS with tier review rate being re-reviewed due to tier determination letter requirement					No permanent placement
re-review of re-review of tier 7	not sent to tier review at least 30 days prior to expiration		Sent to tier review at least 30 days prior to expiration			
re-review of tier 7	TRC doesn't finish review prior to expiration	TRC finishes review prior to expiration		Rate decreases	Rate stays the same or increases	
re-review of tier 7		Rate decreases	Rate stays the same or increases			
re-review of tier 7	rate automatically returns to the tier indicated on the tier determination memo effective on the date indicated on tier determination memo. Processed date is date of original tier determination memo.	effective date is 45 days after date on tier determination memo. Processed date is when ODDS TRC finishes tier	effective date is the date on the tier review committee letter. Processed date is when ODDS TRC finishes tier	effective date is 45 days after date on tier determination memo. Processed date is when ODDS TRC finishes tier review	effective date is the date on the tier review committee letter. Processed date is when ODDS TRC finishes tier review.	effective date is at start of placement. Processed date is same as it would be if there were a permanent placement
re-review of tier 7	Additional or Follow up review due to a request after a re-review	Additional or Follow up review due to a request after a re-review	Additional or Follow up review due to a request after a re-review	Additional or Follow up review due to a request after a re-review	Additional or Follow up review due to a request after a re-review	
re-review of tier 7	effective date the date TRC finishes follow up review, processed date is the date TRC finishes follow up review.	effective date the date TRC finishes follow up review, processed date is the date TRC	effective date the date TRC finishes follow up review, processed date is the date TRC	effective date the date TRC finishes follow up review, processed date is the date TRC finishes follow up review.	effective date the date TRC finishes follow up review, processed date is the date TRC finishes follow up review.	