State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

1915(i) HCBS State Plan Services
Administration and Operation

1. **Services.** *(Specify the State's service title(s) for the HCBS defined under "Services" and listed in Attachment 4.19-B):*

Habilitation- Community Living Arrangement Services; Habilitation- Day Services; Habilitation- Behavioral Intervention Services; Respite Care; Enhanced Habilitation- Supported Employment - Individual; Enhanced Habilitation- Prevocational Services; Homemaker Services; Home Health Aide Services; Community Based Adult Services; Personal Emergency Response Systems; Vehicle Modification and Adaptation; Speech, Hearing and Language Services; Dental Services; Optometric/Optician Services; Prescription Lenses and Frames; Psychology Services; Chore Services; Communication Aides; Environmental Accessibility Adaptations; Non-Medical Transportation; Nutritional Consultation; Skilled Nursing; Specialized Medical Equipment and Supplies; Transition/Set-Up Expenses; Community-Based Training Services; Financial Management Services; Family Support Services; Housing Access Services; Occupational Therapy; Physical Therapy; and Family/Consumer Training

2. **Concurrent Operation with Other Programs.** ***(Indicate whether this benefit will operate concurrently with another Medicaid authority)*:**
***Select one*:**

●	**Not applicable**
○	**Applicable**
	Check the applicable authority or authorities:
☐	**Services furnished under the provisions of §1915(a)(1)(a) of the Act.** The State contracts with a Managed Care Organization(s) (MCOs) and/or prepaid inpatient health plan(s) (PIHP) or prepaid ambulatory health plan(s) (PAHP) under the provisions of §1915(a)(1) of the Act for the delivery of 1915(i) State plan HCBS. Participants may *voluntarily* elect to receive *waiver* and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the State Medicaid agency. *Specify:* *(a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1);* *(b) the geographic areas served by these plans;* *(c) the specific 1915(i) State plan HCBS furnished by these plans;* *(d) how payments are made to the health plans; and* *(e) whether the 1915(a) contract has been submitted or previously approved.*
☐	**Waiver(s) authorized under §1915(b) of the Act.** *Specify the §1915(b) waiver program and indicate whether a §1915(b) waiver application has been submitted or previously approved:*

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Specify the §1915(b) authorities under which this program operates (*check each that applies*):			
☐	§1915(b)(1) (mandated enrollment to managed care)	☐	§1915(b)(3) (employ cost savings to furnish additional services)
☐	§1915(b)(2) (central broker)	☐	§1915(b)(4) (selective contracting/limit number of providers)
☐	**A program operated under §1932(a) of the Act.** *Specify the nature of the State Plan benefit and indicate whether the State Plan Amendment has been submitted or previously approved:*		
☐	**A program authorized under §1115 of the Act.** ***Specify the program*:**		

3. **State Medicaid Agency (SMA) Line of Authority for Operating the State plan HCBS Benefit. *(Select one)*:**

○	The State plan HCBS benefit is operated by the SMA. Specify the SMA division/unit that has line authority for the operation of the program *(select one)*:	
○	The Medical Assistance Unit *(name of unit)*:	
○	Another division/unit within the SMA that is separate from the Medical Assistance Unit *(name of division/unit) This includes administrations/divisions under the umbrella agency that have been identified as the Single State Medicaid Agency.*	
●	The State plan HCBS benefit is operated by *(name of agency)* The Department of Developmental Services (DDS) a separate agency of the state that is not a division/unit of the Medicaid agency. In accordance with 42 CFR §431.10, the Medicaid agency exercises administrative discretion in the administration and supervision of the State plan HCBS benefit and issues policies, rules and regulations related to the State plan HCBS benefit. The interagency agreement or memorandum of understanding that sets forth the authority and arrangements for this delegation of authority is available through the Medicaid agency to CMS upon request.	

4. **Distribution of State plan HCBS Operational and Administrative Functions.**

☑ *(By checking this box the state assures that):* When the Medicaid agency does not directly conduct an administrative function, it supervises the performance of the function and establishes and/or approves

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

policies that affect the function. All functions not performed directly by the Medicaid agency must be delegated in writing and monitored by the Medicaid Agency. When a function is performed by an agency/entity other than the Medicaid agency, the agency/entity performing that function does not substitute its own judgment for that of the Medicaid agency with respect to the application of policies, rules and regulations. Furthermore, the Medicaid Agency assures that it maintains accountability for the performance of any operational, contractual, or local regional entities. In the following table, specify the entity or entities that have responsibility for conducting each of the operational and administrative functions listed (*check each that applies*):

(*Check all agencies and/or entities that perform each function*):

Function	Medicaid Agency	Other State Operating Agency	Contracted Entity	Local Non-State Entity
1 Individual State plan HCBS enrollment	☑	☑	☐	☑
2 Eligibility evaluation	☑	☐	☐	☑
3 Review of participant service plans	☑	☑	☐	☑
4 Prior authorization of State plan HCBS	☑	☐	☐	☑
5 Utilization management	☑	☑	☐	☑
6 Qualified provider enrollment	☑	☐	☐	☑
7 Execution of Medicaid provider agreement	☑	☑	☐	☑
8 Establishment of a consistent rate methodology for each State plan HCBS	☑	☑	☐	☑
9 Rules, policies, procedures, and information development governing the State plan HCBS benefit	☑	☑	☐	☑
10 Quality assurance and quality improvement activities	☑	☑	☐	☑

(Specify, as numbered above, the agencies/entities (other than the SMA) that perform each function):

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

furnished. Under state law, regional centers are responsible for ensuring that providers meet these qualifications.

The OHCDS arrangements preserve participant free choice of qualified providers. Free choice of qualified providers is a hallmark of the California system. Recipients of 1915(i) services select their providers through the person centered planning process orchestrated by the regional centers, which culminates in the development of an individual program plan (signed by the beneficiary) delineating the services to be provided and the individual's choice of provider of such service(s). If an individual's choice of provider is not vendorized, they must go through the regional center vendorization process to ensure that they meet all necessary qualifications. The vendorization process is the process for identification, selection, and utilization of service providers based on the qualifications and other requirements necessary in order to provide services. The vendorization process allows regional centers to verify, prior to the provision of services to individuals, that a provider applicant meets all of the requirements and standards specified in regulations. If a provider meets the qualifications, the regional center must accept them as a vendored provider in the OHCDS.

1915(i) providers are not required to contract with an OHCDS in order to furnish services to participants. Although the open nature of the OHCDS means that virtually all providers will be part of the OHCDS, in the event a provider does not want to affiliate with the OHCDS and regional center, they may go directly to the Department of Health Care Services to execute a provider agreement. However, under state law, the process for qualifying a vendor to provide home-and-community based services to an individual with developmental disabilities is through the regional center.

The OHCDS arrangement provides for appropriate financial accountability safeguards. Qualified providers of 1915(i) SPA services submit claims to the regional center for services delivered to the beneficiary, pursuant to the individual program plan. The regional center reviews the claim (units of service, rate, etc), pays legitimate claims, and submits the claim of payment to DDS as the OHCDS. The OHCDS reimburses the regional center for the actual cost of the service, certifies the expenditures and submits a claim for the federal financial participation to the Department of Health Care Services. DDS does not "add on" to the actual costs of services incurred by and reimbursed to the regional centers.

The costs for administrative activities are not billed as part of the OHCDS payment and are claimed separately at the appropriate administrative rate.

4. ☑ **Conflict of Interest Standards.** The State assures the independence of persons performing evaluations, assessments, and plans of care. Written conflict of interest standards ensure, at a minimum, that persons performing these functions are not:

- related by blood or marriage to the individual, or any paid caregiver of the individual
- financially responsible for the individual
- empowered to make financial or health-related decisions on behalf of the individual
- providers of State plan HCBS for the individual, or those who have interest in or are employed by a provider of State plan HCBS; except, at the option of the State, when providers are given responsibility to perform assessments and plans of care because such individuals are the only willing and qualified provider in a geographic area, and the State devises conflict of interest protections. *(If the State chooses this option, specify the conflict of interest protections the State will implement):*

N/A

5. ☑ **Fair Hearings and Appeals.** The State assures that individuals have opportunities for fair hearings and appeals in accordance with 42 CFR 431 Subpart E.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

6. ☑ **No FFP for Room and Board.** The State has methodology to prevent claims for Federal financial participation for room and board in HCBS state plan services.

Number Served

1. **Projected Number of Unduplicated Individuals To Be Served Annually.** *(Specify):*

Annual Period	From	To	Projected Number of Participants
Year 1	10/1/2016	9/30/2017	49,000
Year 2	10/1/2017	9/30/2018	50,000
Year 3	10/1/2018	9/30/2019	51,000
Year 4	10/1/2019	9/30/2020	52,000
Year 5	10/1/2020	9/30/2021	53,000

2. ☑ **Annual Reporting.** *(By checking this box the State agrees to):* annually report the actual number of unduplicated individuals served and the estimated number of individuals for the following year.

Financial Eligibility

1. ☑ **Income Limits.** The State assures that individuals receiving state plan HCBS are in an eligibility group covered under the State's Medicaid state plan, and who have income that does not exceed 150% of the Federal Poverty Level (FPL).

2. **Medically Needy.** *(Select one)*

○	The State does not provide HCBS state plan services to the medically needy.	
◉	The State provides HCBS state plan services to the medically needy *(select one):*	
	○	The State elects to waive the requirements at section 1902(a)(10)(C)(i)(III) of the Social Security Act relating to community income and resource rules for the medically needy.
	◉	The State does not elect to waive the requirements at section 1902(a)(10)(C)(i)(III).

Needs-Based Evaluation/Reevaluation

1. **Responsibility for Performing Evaluations / Reevaluations.** Independent evaluations/reevaluations to determine whether applicants are eligible for HCBS are performed (*select one*):

○	Directly by the Medicaid agency

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

◉	By Other (*specify*):
	Regional centers

2. **Qualifications of Individuals Performing Evaluation/Reevaluation.** There are qualifications (that are reasonably related to performing evaluations) for persons responsible for evaluation/reevaluation for eligibility. *(Specify qualifications):*

The minimum requirement for conducting evaluations/reevaluations is a degree in social sciences or a related field. Case management experience in the developmental disabilities field or a related field may be substituted for education on a year-for-year basis.

3. **Process for Performing Evaluation/Reevaluation.** Describe the process for evaluating whether individuals meet the needs-based State plan HCBS eligibility criteria and any instrument(s) used to make this determination. If the reevaluation process differs from the evaluation process, describe the differences:

The process for evaluating/reevaluating eligibility for State plan HCBS involves a review of current pertinent information in the individual's record, such as medical, social and psychological evaluations, the individual program plan, progress reports, case management notes and other assessment information. The review verifies the determination the individual meets the needs-based eligibility criteria including the existence of significant functional limitations in three or more areas of major life activity including; receptive/expressive language, learning, self-care, mobility, self-direction, capacity for independent living and economic self-sufficiency.

4. **Needs-based HCBS Eligibility Criteria.** Needs-based criteria are used to evaluate and reevaluate whether an individual is eligible for HCBS state plan services. The criteria take into account the individual's support needs and capabilities and may take into account the individual's ability to perform two or more ADLs, the need for assistance, and other risk factors: *(Specify the needs-based criteria):*

The individual has a need for assistance demonstrated by: A need for habilitation services, as defined in Section 1915(c)(5) of the Social Security Act (42 U.S.C. § 1396 et seq.), to teach or train in new skills that have not previously been acquired, such as skills enabling the individual to respond to life changes and environmental demands; and

- A likelihood of retaining new skills acquired through habilitation over time; and
- A condition which results in major impairment of cognitive and/or social functioning, representing sufficient impairment to require interdisciplinary planning and coordination of special or generic services to assist the individual in achieving maximum potential, that continues, or can be expected to continue, indefinitely; and
- The existence of significant functional limitations in at least three of the following areas of major life activity, as appropriate to the person's age:
  - Receptive and expressive language;
  - Learning;
  - Self-care;
  - Mobility;
  - Self-direction;

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

- Capacity for independent living.

☑ **Target Group(s).** The State elects to target this 1915(i) State plan HCBS benefit to a specific population. With this election, the State will operate this program for a period of 5 years. At least 90 days prior to the end of this 5 year period, the State may request CMS renewal of this benefit for additional 5-year terms in accordance with 1915(i)(7)(C). (*Specify target group(s)*):

, In addition to the needs identified above, the individual must also have a diagnosis of a developmental disability, as defined in Section 4512 of the Welfare and Institutions Code and Title 17, California Code of Regulations, §54000 and §54001 as follows:

Welfare and Institutions Code 4512. *As used in this division:*
(a) "Developmental disability" means a disability that originates before an individual attains age 18 years, continues, or can be expected to continue, indefinitely, and constitutes a substantial disability for that individual. As defined by the Director of Developmental Services, in consultation with the Superintendent of Public Instruction, this term shall include mental retardation, cerebral palsy, epilepsy, and autism. This term shall also include disabling conditions found to be closely related to mental retardation or to require treatment similar to that required for individuals with mental retardation, but shall not include other handicapping conditions that are solely physical in nature…
(l) "Substantial disability" means the existence of significant functional limitations in three or more of the following areas of major life activity, as determined by a regional center, and as appropriate to the age of the person:
(1) Self-care.
(2) Receptive and expressive language.
(3) Learning.
(4) Mobility.
(5) Self-direction.
(6) Capacity for independent living.
(7) Economic self-sufficiency.

Title 17, CCR, §54000. Developmental Disability.
(a) "Developmental Disability" means a disability that is attributable to mental retardation, cerebral palsy, epilepsy, autism, or disabling conditions found to be closely related to mental retardation or to require treatment similar to that required for individuals with mental retardation.
(b) The Developmental Disability shall:
(1) Originate before age eighteen;
(2) Be likely to continue indefinitely;
(3) Constitute a substantial disability for the individual as defined in the article.
(c) Developmental Disability shall not include handicapping conditions that are:
(1) Solely psychiatric disorders where there is impaired intellectual or social functioning which originated as a result of the psychiatric disorder or treatment given for such a disorder. Such psychiatric disorders include psycho-social deprivation and/or psychosis, severe neurosis or personality disorders even where social and intellectual functioning have become seriously impaired as an integral manifestation of the disorder.
(2) Solely learning disabilities. A learning disability is a condition which manifests as a significant discrepancy between estimated cognitive potential and actual level of educational performance and which is not a result of generalized mental retardation, educational or psycho-social deprivation,

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

psychiatric disorder, or sensory loss.
(3) Solely physical in nature. These conditions include congenital anomalies or conditions acquired through disease, accident, or faulty development which are not associated with a neurological impairment that results in a need for treatment similar to that required for mental retardation.

Title 17, CCR, §54001. Substantial Disability.
(a)"Substantial disability" means:
(1) A condition which results in major impairment of cognitive and/or social functioning, representing sufficient impairment to require interdisciplinary planning and coordination of special or generic services to assist the individual in achieving maximum potential; and
(2) The existence of significant functional limitations, as determined by the regional center, in three or more of the following areas of major life activity, as appropriate to the person's age:
(A) Receptive and expressive language;
(B) Learning;
(C) Self-care:
(D) Mobility:
(E) Self-direction;
(F) Capacity for independent living;
(G) Economic self-sufficiency.
(b) The assessment of substantial disability shall be made by a group of Regional Center professionals of differing disciplines and shall include consideration of similar qualification appraisals performed by other interdisciplinary bodies of the Department serving the potential client. The group shall include as a minimum a program coordinator, a physician, and a psychologist.
(c) The Regional Center professional group shall consult the potential client, parents, guardians/conservators, educators, advocates, and other client representatives to the extent that they are willing and available to participate in its deliberations and to the extent that the appropriate consent is obtained.

5. ☑ **Needs-based Institutional and Waiver Criteria.** There are needs-based criteria for receipt of institutional services and participation in certain waivers that are more stringent than the criteria above for receipt of HCBS state plan services. Individuals receiving institutional services and participating in certain waivers on the date that more stringent criteria become effective are exempt from the new criteria until such time as they no longer require that level of care. *(Include copies of the State's official documentation of the need-based criteria for each of the following):*
   - *Applicable Hospital*
   - *NF*
   - *ICF/MR*

Differences Among Level of Care Criteria

State Plan HCBS Needs-based eligibility criteria	NF	ICF/MR LOC	Hospitalization LOC
The individual meets the following criteria:	Skilled nursing procedures provided as a part of skilled nursing	The individual must be diagnosed with a developmental disability	The individual requires: Continuous availability of

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

State Plan HCBS Needs-based eligibility criteria	NF	ICF/MR LOC	Hospitalization LOC
A need for habilitation services, as defined in Section 1915(c)(5) of the Social Security Act (42 U.S.C. § 1396 *et seq.*), to teach or train in new skills that have not previously been acquired, such as skills enabling the individual to respond to life changes and environmental demands (as opposed to rehabilitation services to restore functional skills); and A likelihood of retaining new skills acquired through habilitation over time; and A condition which results in major impairment of cognitive and/or social functioning, representing sufficient impairment to require interdisciplinary planning and coordination of special or generic services to assist the individual in achieving maximum potential, that continues, or can be expected to continue, indefinitely; and The existence of significant functional limitations in at least three of the following areas of major life	care are those procedures which must be furnished under the direction of a registered nurse in response to the attending physician's order. The need must be for a level of service which includes the continuous availability of procedures such as, but not limited to, the following: Nursing assessment of the individuals' condition and skilled intervention when indicated; Administration of injections and intravenous of subcutaneous infusions; Gastric tube or gastronomy feedings; Nasopharyngeal aspiration; Insertion or replacement of catheters Application of dressings involving prescribed medications; Treatment of extensive decubiti; Administration of medical gases	and a qualifying developmental deficit exists in either the self-help or social-emotional area. For self-help, a qualifying developmental deficit is represented by two moderate or severe skill task impairments in eating, toileting, bladder control or dressing skill. For the social-emotional area, a qualifying developmental deficit is represented by two moderate or severe impairments from a combination of the following; social behavior, aggression, self-injurious behavior, smearing, destruction of property, running or wandering away, or emotional outbursts.	facilities, services, equipment and medical and nursing personnel for prevention, diagnosis or treatment of acute illness or injury.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

State Plan HCBS Needs-based eligibility criteria	NF	ICF/MR LOC	Hospitalization LOC
activity, as appropriate to the person's age Receptive and expressive language • Learning; • Self-care; • Mobility; • Self-direction; • Capacity for independent living;			

6. ☑ **Reevaluation Schedule**. The State assures that needs-based reevaluations are conducted at least annually.

7. ☑ **Adjustment Authority**. The State will notify CMS and the public at least 60 days before exercising the option to modify needs-based eligibility criteria in accord with 1915(i)(1)(D)(ii).

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Home and Community-Based Settings

(By checking the following box the State assures that):

1. ■ **Home and Community-Based Settings.** The State plan HCBS benefit will be furnished to individuals who reside and receive HCBS in their home or in the community, not in an institution. *(Explain how residential and non-residential settings in this SPA comply with Federal home and community-based settings requirements at 42 CFR 441.710(a)(1)-(2) and associated CMS guidance. Include a description of the settings where individuals will reside and where individuals will receive HCBS, and how these settings meet the Federal home and community-based settings requirements, at the time of submission and in the future):*

   (Note: In the Quality Improvement Strategy (QIS) portion of this SPA, the state will be prompted to include how the state Medicaid agency will monitor to ensure that all settings meet federal home and community-based settings requirements, at the time of this submission and ongoing.)

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

The state assures that this 1915(i) HCBS SPA will be subject to any provisions or requirements included in the state's most recent and/or approved home and community-based settings Statewide Transition Plan. The state will implement any required changes by the end of the transition period as outlined in the home and community-based settings Statewide Transition Plan.

As noted in state law (W&IC section 4684.80(a))EBSHs provide services to a maximum of four individuals with private bedrooms and must conform with the HCBS settings requirements of 42 CFR 441.530(a)(1). Therefore, meeting the HCBS settings requirements is considered during the planning and development of these homes. EBSHs are designed for individuals who require more enhanced behavioral supports, staffing and supervision than is available in other licensed residential settings. In addition to the same licensing criteria for adult residential facilities and group homes, certification by DDS is also required as a condition of licensure of an EBSH. This certification requirement is another opportunity to review the planned service design for compliance with the HCBS settings requirements.

As these homes are new setting types under this 1915i, each one will be assessed regarding compliance with the HCBS settings requirements prior to the submission of federal claiming for services provided in these settings. The assessment process will be as follows:

- The regional center, in conjunction with the consumers and service provider, will conduct an on-site assessment of the EBSH using a standardized tool, developed as part of the State's transition planning, which aligns with the ten requirement highlighted previously.
- This assessment will include a review of the EBSH's policies/procedures for alignment with the HCBS requirements.
- Results of the assessment will be documented on the standardized tool and maintained by the regional center and provider
- The assessment will also indicate any setting requirements that initially were not met and the actions taken in response.
- Upon completion, the written assessment and supporting information will be forwarded to DDS for validation of the assessment findings via review of the supporting information and assessment. If validated, the individual EBSH is considered an eligible 1915i provider.
- On-going monitoring of compliance with the HCBS settings requirements will occur in the following ways:
- During required on-site monitoring visits of all EBSHs by DDS, and
- During the on-site 1915i monitoring reviews where a representative, random number of consumers are selected for review. This review includes on-site visits to settings where consumers receive services.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

indicated that congregate housing and sheltered workshops tend to isolate beneficiaries, and believe residents and participants in these settings will need to be relocated. Further, advocates have asserted that beneficiaries must be a part of the assessment team and actively involved in all aspects of the STP process. Providers have commented that assessing a category of settings may not be adequate as there is diversity among settings within a category. In addition, providers have raised concerns about funding and resources should modifications be necessary to come into compliance

State Response Reference Key:
(1) No action to be taken; outside of STP purview.
(2) Comment logged for continuous consideration through transition process.
(3) Language in the Statewide Transition Plan has been added or modified due to stakeholder input.
(4) Compliance determination will be made once the Provider Self-Survey, Beneficiary Self-Survey, and On-Site Assessment have been completed.
(5) The State will continue its education and outreach to meet the needs of agencies, stakeholders, and beneficiaries as the Statewide Transition Plan is implemented.

Consumers and Family:

(1) California HCBS Requirements must not become stricter than federal regulations.
(1) HCBS requirements are not uniform across the state, i.e. 4 beds vs 6 beds limitations in residential facilities. There is not enough supply of residential facilities and imposing new regulations could shrink this number further.
(1) Difficult to find appropriate/stimulating day programs and housing.
(1) DDS should take a more active role ensuring Regional Centers are providing services in a uniform manner.
(1) IPPs should include a description of services that were requested but were not delivered due to insufficient supply.
(1) More jobs available to consumers, including full-time, $9/hr. positions.
(3) Add language relative to parental or guardian choice of services/settings for children. STP does not specify Plan for children under 18 years; therefore, the STP assumes children's needs are the same as adults.
(4) DD Consumers should be allowed to live with different level types, i.e. Level 2 living with Level 4a or 4b.
(4) Please permit Group Homes, Farmsteads, Gated Communities, Disability-Specific Housing, Intentional Communities, and Clustered Group Settings.
(4) Day Programs, Work Programs, and Sheltered Work Programs must remain an appropriate setting.
(4) There are 73,000 Californians with severe forms of autism. We need to maximize autism housing options including those congregate in nature.
(4) Ensure that community inclusion requirements do not exclude rural HCBS housing options

Advocates:

(2) State should use pre-existing tools, such as the National Core Indicator (NCI), for assessing settings, and to narrow down the services and sites requiring assessment.
(2) Request extension for further STP review and public comment.
(2) Invest in the infrastructure to support self-direction and community living including: the CART Model; Supported Health Care Decision Making Services; technology infrastructure; increased Regional Center funding; improved access to dispersed housing; incentives and support for real jobs for real wages.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

(3) Ensure that a consumer is part of all on-site evaluation survey teams. In addition, a family member and/or consumer advocate, and one provider should also be included.
(3) Conduct an adequate number of on-site evaluations. If the State plans to submit any setting to the heightened scrutiny process, it should perform an On-Site Assessment.
(3) Compliance may be determined using self-assessments, provider assessments, and consumer/family input through the person-centered planning process.
(3) While assessing settings by category will be useful, on-site evaluations must be conducted.
(3) Settings that "cluster" people with disabilities will have to undergo major architectural changes to comport to the new rules. The STP must include a plan for transferring these participants to more integral settings.
(3) DHCS must develop a plan to expand investment of state funds in order to implement the rules properly.
(3) If self-assessments raise concerns, the state must do an on-site evaluation.
(3) To comply with the Federal Rules, additional investments in health care infrastructure for adults with developmental disabilities will be required.
(3) (4) STP states California does not anticipate relocation of consumers, but gated communities and ICF-DDs are presumed not to have the qualities of HCBS. California must take steps to increase availability of services in integrated settings and have these options available if/when consumers are transitioned.
(3) (4) (5) Stakeholder input process must be made accessible to people with sensory impairments. DHCS should develop a communication plan for education and outreach. A consumer must be part of all assessment teams, and consumer self-assessments should be required to self-assess their living arrangements in day programs.
(3) (4) (5) On-site evaluations must include each provider category listed in the plan in every county in the state; and consumers/families should be consulted during on-site reviews for greater accuracy.
(3) (5) Take steps to obtain robust and candid stakeholder input. Convene focus groups for the sharing of personal experiences. Allow stakeholder input through multiple channels: mail, website, dedicated telephone and fax numbers. More robust education and outreach.
(3) (5) Provide transparency in Transition Plan Activities: accurate assessments of providers; publish a list of providers and an initial assessment of HCB setting compliance.
(3) (5) Provide specifics in assessments, so as to allow for more meaningful responses. Federal Rules tend to be vague; comments suggest specific assessment questions to be used to determine HCB setting compliance.
(4) Sheltered workshops are not integrated as all workers have developmental disabilities, and these workers do not integrate with non-disabled workers. California should ensure that individuals have access to supported employment services that help people find real jobs that pay real wages, and that workers with disabilities work alongside non-disabled workers.
(4) California should reject new applications for clustered and congregate projects, gated communities, and Intermediate Care Facilities, and should stop placing consumers in these settings.
(4) Sheltered workshops are not considered by many with disabilities as a community-based service. The STP should include a plan to transition people out of sheltered workshops into individual support employment.
(4) The state does not positively state which current services are already meeting the settings requirements, which do not, and which require further review.
(5) What is the deadline for HCB setting and/or consumers receiving the assessment questionnaire?
(5) DHCS must develop guidance for every state department involved in the HCB setting implementation process so that state departments know how they must conduct the transition/implementation process.
(5) Consumers must be involved in the stakeholder and implementation process.
(5) A list of HCB settings that are NOT being scrutinized should be prepared for stakeholders.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

(5) STP should more specifically identify the state's intention to form work groups and/or use existing committees to look at implications specific to populations served.
(5) No information or direction is found on Regional Center websites RE: the STP.
(5) Education and Outreach section of STP does not define who will provide training to stakeholders.
(5) Follow consistent principles, across state departments, in implementation of the Federal Rules.

Providers:

(1) HCPS providers have had their pay rates frozen for 15 years. Wage disparity between HCB settings and institutions limits HCB providers' ability to recruit and retain staff.
(2) Add home health agencies and case management companies to the list of settings for compliance determination.
(3) Ensure consumers are given adequate choice of service/setting.
(3) Departments should be able to use an assessment tool that applies to their programs, not a generic tool used across all programs. Further, survey teams need to be trained on the tool and the definition and meaning of HCB Setting rules. Assessment Template must be reliable and valid.
(3) Development of assessment tools, evaluation of settings, program modifications, and supporting individuals through service transition will require resources, which must be included in the state's budget for community-based developmental services.
(3) (5) Establish a standing stakeholder monitoring and advisory committee for issues related to people eligible for DD Services.
(3) (5) Changes that must be made to bring a setting into compliance will likely require funding so the STP should be clear about this. The STP should recognize that if changes are necessary, adequate funding must be made available to affect them.
(4) Adult Development Center is available statewide. Contra Costa County has 7 different settings, some of which are 100% in the community with no facility involved; others are 50% on the site and 50% in the community. Assessments must be made of individual settings, not to the category as a whole.
(5) Consumers transitioning from school to adult services have not been properly informed of new federal rules. STP contains no suggestion of how issues RE: child to adult services will be addressed; no information on the Department of Education website.
(5) DSS-CCL has authority to grant or revoke licenses for residential and non-residential settings; therefore, the state must establish timelines for making necessary modifications to the statutes and regulations for these programs.

Stakeholder Input on Draft STP Posted July 1, 2015.

Many comments are responded to using the response reference key below. Other comments received from stakeholders regarding the draft STP are addressed with a "Response" following each comment. Please note, bold text indicates frequently received comments.

State Response Reference Key:
(1) No action to be taken; outside of STP purview.
(2) Comment logged for continuous consideration through transition process.
(3) Language in the Statewide Transition Plan has been added or modified due to stakeholder input.
(4) Compliance determination will be made once the Provider Self-Survey, Beneficiary Self-Survey, and On-Site Assessment have been completed.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

(5)

(6) The State will continue its education and outreach to meet the needs of agencies, stakeholders, and beneficiaries as the Statewide Transition Plan is implemented.

(3) (4) HCB Setting requirements are based on principle of "least restrictive environment (LRE)." LRE mandates that all DD individuals shall be able to exercise freedom of choice and self-determination as to housing arrangements based on their unique needs as do others without disabilities. However, DHCS' interpretation of the HCB Setting requirements will restrict freedom of choice and self-determination. HCB Setting rules are being distorted to limit housing choices for DD participants.

(3) (4) Those who choose to live or work in a campus or farm based setting should not be forced to change or limit their desired time to be supported in that setting. A least restrictive environment for one person may not be the least restrictive environment for another with different support needs.

(3) (4) "Please permit Group Homes, Farmsteads, Gated Communities, Disability-Specific Housing, Intentional Communities and Clustered Group Settings."

(3) (4) Criteria and assessments should NOT be based on physical characteristics, such as density of waiver recipients or proximity to other services or employment opportunities. Home and community settings should be individually assessed for quality based on waiver recipient feedback. Setting size or physical characteristics are not indicators of institutional attitudes or abuse, thus should not be used.

(3) (4) Please allow our sons and daughters to continue to be able to choose from all appropriate options, include rural, farm and ranch options, where many people with autism/DD feel very comfortable and at home.

(3) (4) Because the need for housing and supportive services is so overwhelming, I urge you to please ensure that people with developmental disabilities, and those who love and care for them, do not face even more limits on already scarce and under-funded living options.(3) (4) CMS claims its new rules are intended to prevent isolation, but a choice to live with one's peers is often the least isolating option of all. We all want for our children, a safe, nurturing, stable, fulfilling life. We do not want our children's choices of living environment or daytime activities to be limited or restricted to settings that will isolate our children and put them at risk of abuse, neglect, or loneliness. It means securing some degree of continuing oversight by many involved families, not by just a for-profit owner of a small home, so that in the absence, by illness, aging or death, of any one of us parents, there are others helping to supervise all the residents.

(3) (4) People with DD must be given the choice of living in a supportive setting that meets their needs when such a setting is a community of others with DD integrated into a larger community. For some people, an intentional community can provide essential support much better than individual or small group housing. It is a serious error to regard all such setting as prohibited "institutions."

(3) (4) Please do not make sweeping restrictions that rule out options for many whom would be well served by them. Decisions about what is community-based should be made based on what actually happens in an environment and how well that fits with the needs of the residents, not based on some description of the housing and its address.

(3) (4) Any implementation of the HCBS waiver program should include the following:

• Maximum ability for the disabled person to be supported in the setting of his/her choice and, if unable to make such a choice, the choice loved ones determine is best.

• A range of options must be included so that we are not trying to create a "one size fits all" environment where outsiders are judging where a disabled individual belongs.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

• A high quality of life is essential to each individual and should be the criteria for assessment of a setting, not where housing is located, nor the size of a particular setting, nor who the disabled person wants to live with, nor proximity to any particular amenities.

• People with developmental disabilities, or those who love them, should not have to be afraid of losing critical support services for choosing or developing their desired home, work and community opportunities.

• A least restrictive environment for one person may not be the least restrictive environment for another with different support needs, social needs, or interests. This difference should be respected and supported.

• California must not limit desired support services, employment, or housing choices for people with developmental disabilities, but should instead be helping to expand and fund creative solutions to address this enormous need.

• No two people with developmental disabilities are exactly alike and therefore no single setting or preference should receive priority for HCBS funding over another.

Please do not use the HCBS Waiver Program as a means of limiting our children's choices for living the lives they want, in an environment of their choosing, and creating a meaningful future for themselves. Please do not limit their rights.
(3) (5) Must maximize public outreach and public comments. Outreach must be unified across departments.
(3) (5) The STP should identify steps toward compliance; what specific policy (state laws/regulations) needs to be added or changed; and what funding and other resources will be available (or not) for such transition to compliance.

Advocates:

(2) State must establish firm timelines for modifications to statutes and regulations.
(3) Modifications to settings will require funding. State must include funding in budget.
(3) Proposed revisions to page 5, "For Medicaid/Medi-Cal provider-owned or controlled HCB residential settings, the provider must offer.

(3) Proposed revisions to page 15, **Participation** in the DD Waiver is not required to access the State's full array of available developmental services.
Proposed Revisions to page 5. "the purpose of this waiver is to serve beneficiaries of all ages in their own homes and community settings as an alternative to placement in hospitals, nursing facilities, or intermediate care facilities with persons with developmental disabilities (ICF-DD).

(3) STP needs State commitment for inter-departmental collaboration.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

(3) Proposed revisions to page 19, The on-site evaluations will be ongoing until remedial strategies, **which may include necessary funding augmentations,** are identified that will incorporate ongoing monitoring protocols into existing processes.
(3) Provide mechanisms to ensure ongoing compliance.

(3) Need to amend and improve licensing standards to ensure continuing compliance with HCB regulations
(3) (4) If a person without a disability chooses to live on a farm, a ranch, or in a congregate setting (as millions of non-disabled people chose to do), then people with disabilities must be able to avail themselves of the same options, without risking loss of basic, essential support services. Respecting the choices of those with disabilities must trump any paternalistic mandate for particular types of setting.
(3) (4) Some services (settings) will likely not comply with federal standards before 2019 deadline. Separate policy decisions must be made whether the State will continue to fund these services/settings.
(3) (4) Need to identify and address presumed institutional settings.
(3) (4) Of necessity, the STP must identify programs and services that are out of compliance with HCB setting requirements and how the State intends to bring them into compliance.
(3) (4) Identify settings that fail to comply with HCB requirements.
(3) (5) The STP should describe steps the State will take to ensure these settings and services thrive, how they will connect to each other, and how the State will ensure that consumers across the state have access to these settings and services.
(3) (5) Assess whether the State's standards comply with the federal HCBS regulations.

a. Estimate the number of settings that
b. Fully comply with the HCBS regulations;
c. Do not comply with the HCBS regulations;
d. Cannot meet the HCBS regulations and, as a result, will be removed from the HCBS program; or
e. Are presumptively non-HCBS but, based on information submitted by the state, nonetheless should be considered to have HCBS qualities.
f. Describe the remedial actions the State will use to assure full compliance with the HCBS regulations.
g. Describe the state's monitoring processes for assuring full and ongoing compliance with the HCBS regulations.

(4) Require settings to improve their procedures and/or physical layout.
(5) Need to develop and commit to timelines and benchmarks to implement the STP.

CMS instructions for STP indicate initial assessments of settings should be made; a delay in assessments will cost valuable time.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

- **Response:** The State will be making these assessments using the Provider and Beneficiary Self-Survey Tools, and the On-Site Assessment Tools. A systemic assessment was also completed per CMS instruction.

- **Response:** The intent of the DD Waiver is to service eligible consumers who meet ICF LOC and higher.

Proposed revisions to page 17: The standards governing each setting will be assessed to allow determination whether each standard is in compliance, out of compliance or whether the standard is silent on the federal requirement. **In some instances, a standard may be found to be in partial compliance or to be partially silent. In cases of less than total compliance, remedial measures will be taken to clarify or enhance the statute or regulation to achieve full compliance.**

- **Response:** The State believes the intent of this comment is achieved in the current STP language. Systemic assessments do not preclude settings from further compliance determination processes described in the STP.

Settings that are common to two or more waivers must be considered separately for each waiver. Greater attention is needed to the specific details related to each setting in order to definitively identify areas of compliance or non-compliance. In several instances, the remedial strategy identified is to address the incongruence between state and federal standards at the time of next waiver renewal. This delay is not acceptable.

- **Response:** Stakeholders and legal experts have vetted the Systemic assessment and these assessments do not preclude settings from further compliance determination processes described in the STP.

Problems with systemic assessment summary.

- **Response:** Stakeholders and legal experts have vetted the Systemic assessment and these assessments do not preclude settings from further compliance determination processes described in the STP.

July 1 Draft STP does not include setting types from previous STP draft: Crisis Intervention Facility, In-Home Day Program, ICFDD-Continuous Nursing Care, Residential Facility (Out-of-State), and Supported employment.

- **Response:** After further consideration, the State removed these "setting" types for the following reasons:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

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-- Crisis Intervention Facility: This provider type is listed under Behavioral Intervention Services under the DD Waiver. Most often, it is a team of Crisis specialists that will tend to a participant during an episode, often in the participant's home setting. It is a short term service, not a setting.
-- In-home Day Program – this is a service, not a setting.
-- ICFDD-Continuous Nursing Care - the State expects that by the time of the NF/AH waiver renewal, ICFDDs will be considered a State Plan health facility, not under the purview of the STP.
-- Residential Facility (Out-of-State) – the State uses the same standards as in-state residential facilities so was removed from the list.
-- Supported Employment - this is a service, not a setting

Providers:

(3) (4) We are Developing two proprieties in Livermore and Pleasanton that could accommodate up to 40 individuals in a community setting. It's a residential option being chosen by families and members, due to the unique needs and desires of the special needs individual. Under the narrow interpretation of the HCB Settings rules, the development could be viewed as 'institutional.'

Systemic Assessment:

Provider Setting Type – Adult Day Program*

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
1	**Met** 22 CCR Section 82022 22 CCR Section 82025 22 CCR Section 82026 22 CCR Section 82068 22 CCR Section 82072 22 CCR Section 82079 22 CCR Section 82087.3 22 CCR Section 82088	None	Not Applicable

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
2	**Silent**	Client has choice of adult day program during person-centered planning.	Not Applicable
3	**Met** 22 CCR Section 82072 22 CCR Section 82075 22 CCR Section 82077.2 22 CCR Section 82077.4 22 CCR Section 82088 22 CCR Section 82092.4 22 CCR Section 82092.5 22 CCR Section 82092.6	None	Not Applicable
4	**Met** 22 CCR Section 82068.2 22 CCR Section 82072 22 CCR Section 82077.2 22 CCR Section 82079 22 CCR Section 82088	None	Not Applicable
5	**Met** 22 CCR Section 82072 22 CCR Section 82079	None	Not Applicable
6	**Met** 22 CCR Section 82068 22 CCR Section 82068.3 22 CCR Section 82068.5	None	Not Applicable
7	**Met** 22 CCR Section 82068 22 CCR Section 82072 22 CCR Section 82088	None	Not Applicable
8	**Met** 22 CCR Section 82072 22 CCR Section 82076	None.	Not Applicable

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

9	**Met** 22 CCR Section 82072	None	Not Applicable
10	**Met** 22 CCR Section 82087 22 CCR Section 82088	None	Not Applicable

*Adult Day Program includes Adult Day Support Center and Adult Day Care Center.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Provider Setting Type – Adult Family Home; Family Teaching Home

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
1	**Met** W&I Code Section 4501, 4502, 4646, 4689.1(a)(8)(B-E) **Silent** Consumers' control of personal resources	The State will discuss the impacts of this characteristic during the Waiver renewal process.	March 2017
2	**Met** W&I Code Section 4501, 4502.1, 4512(b), 4646, 4741, 4689.1(e)(8)(B)&(C)&(F)	None	Not Applicable
3	**Met** W&I Code Section 4502(b)(2), 4502.1, 4646, 4689.1(e)(8)(B)	None	Not Applicable
4	**Met** W&I Code Section 4501, 4502(b)(2), 4646, 4689.1(e)(8)(B)&(C)	None	Not Applicable
5	**Met** W&I Code Section 4512(b), 4646, 4689.1(e)(8)(B)&(C) T17 Section 56084(a)(2)	None	Not Applicable
6	**Met** T17 Section 56076, 56090(e), 56094 **Silent** Protection from eviction similar to landlord/tenant law	The State will discuss the impacts of this characteristic during the Waiver renewal process.	March 2017
7	**Met** W&I Code Section 4502.1, 4646, 4689.1(8)(F) **Silent** Privacy in living unit Lockable doors Choice of roommates Furnish sleeping units	The State will discuss the impacts of this characteristic during the Waiver renewal process.	March 2017
8	**Met** W&I Code Section 4502(b)(10), 4602.1, 4689.1(e)(8)(B-E)	None	Not Applicable

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
9	**Met** W&I Code Section 4602.1, 4689.1(e)(8)(B-E) **Silent** Visitors any time	The State will discuss the impacts of this characteristic during the Waiver renewal process.	March 2017
10	**Met** W&I Code Section 4502.1, 4646, 4689.1(a-c) T17 Section 56087(C)	None	Not Applicable

Provider Setting Type - Adult Residential Facility, Adult Residential Facility for Persons with Special Health Care Needs, Residential Care Facility for the Elderly, Group Home and Small Family Home – HCBS Waiver for Californians with Developmental Disabilities and 1915(i) State Plan

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
1	**Met** W&I Code Section 4501, 4502 22 CCR Section 85072(b)(7)	None	Not Applicable
2	**Met** W&I Code Section 4502 **Silent:** Option for private unit Documentation of identified setting options not selected by consumer	The State will discuss the impacts of this characteristic during the Waiver renewal process	March 2017
3	**Met** W&I Code Section 4502(b)(2)&(8), 4741 22 CCR Section 80072(a)(3)	None	Not Applicable

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
4	**Met** W&I Code Section 4501, 4502	None	Not Applicable
5	**Met** **W&I Code Section 4512(b), 4688.21** **Silent** **Consumers'' choice of provider of services**	The State will discuss the impacts of this characteristic during the Waiver renewal process	March 2017
6	**Met** **W&I Code Section 4741** **SPA 09-023A, Services, 1.A)7.i)** **DD Waiver: Appendix C-2, Facility Specifications**	None	Not Applicable
7	**Met** **W&I Code Section 4502(b)(2)** **T17 §50510(a)(2)** **Conflicting** **Lockable entrance doors for individuals that are bedridden** **Silent:** **Privacy in sleeping or living unit** **Lockable entrance doors** **Freedom to furnish and decorate sleeping or living units**	The State will discuss the impacts of this characteristic during the Waiver renewal process	March 2017

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
8	Met W&I Code Section 4502(b)(10) 22 CCR Section 80072, 80076(4) Silent Access to food at any time	The State will discuss the impacts of this characteristic during the Waiver renewal process	**March 2017**
9	Met W&I Code Section 4503(c) Silent Visitors each day, any time	The State will discuss the impacts of this characteristic during the Waiver renewal process	**March 2017**
10	Met 22 CCR Section 80087, 80088 Silent Full access	The State will discuss the impacts of this characteristic during the Waiver renewal process	**March 2017e**

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Provider Setting Type – Certified Family Home; Foster Family Home

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
1	**Met** W&I Code Section 4501, 4502, 4646 T22 Section 89372	None	Not Applicable
2	**Met** W&I Code 4501, 4502, 4502.1, 4512(b), 4646, T22 Section 89372 **Silent** Option for private unit Documentation of identified setting options not selected by consumer	The State will discuss the impacts of this characteristic during the Waiver renewal process.	March 2017
3	**Met** W&I Code 4502, 4646 T22 Section 89372	None	Not Applicable
4	**Met** W&I Code Section 4501, 4502, 4646 T22 Section 89372	None	Not Applicable
5	**Met** W&I Code Section 4512(b), 4646	None	Not Applicable
6	**Met** 1915(c)–Appendix C-2: Facility Specifications 1915(i)–Services, 1.A)7.i)	None	Not Applicable

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
7	**Met** W&I Code Section 4502, 4502.1, 4646 T22 Section 89372 **Silent** Privacy in living unit Lockable doors Choice of roommates Furnish sleeping units	The State will discuss the impacts of this characteristic during the Waiver renewal process.	March 2017
8	**Met** W&I Code Section 4501, 4502, 4502.1, 4646 22 CCR Section 89376	None	Not Applicable
9	**Met** W&I Code Section 4501, 4502, 4502.1, 4646 22 CCR Section 89372	None	Not Applicable
10	**Met** W&I Code Section 4502, 4646 22 CCR Section 80087, 80088	None	Not Applicable

Provider Setting Type – Child Day Care Facility; Child Day Care Center; Family Child Care Home

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
1	**Met** W&I Code Section 4501, 4502, 4646	None	Not Applicable

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
2	**Met** W&I Code Section 4502, 4512(b), 4646 **Silent** Documentation of identified setting options not selected by consumer.	The State will discuss the impacts of this characteristic during the Waiver renewal process.	March 2017
3	**Met** W&I Code Section 4502, 4646 T22 Section 101223, 102423	None	Not Applicable
4	**Met** W&I Code Section 4501, 4502, 4646	None	Not Applicable
5	**Met** W&I Code Section 4512(b), 4646	None	Not Applicable

Provider Setting Type – Day-Type Services*

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
1	Met W&I Code Section 4501, 4502(a), 4512(b), 4688.21 Silent Consumer's control of personal resources Integrated in and supports full access…to the greater community	The State will discuss the impacts of this characteristic during the Waiver renewal process.	March 2017

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

HCBS Setting Requirement #	Requirement Met, Partially Met, Conflicting, Silent	Remedial Strategy	Timeline for Completion
2	**Met** W&I Code Section 4512(b) **Silent** Documentation of identified setting options not selected by consumer.	The State will discuss the impacts of this characteristic during the Waiver renewal process.	March 2017
3	**Met** W&I Code Section 4502(b)(2)&(8) 22 CCR Section 82072(a)(1-4)	None	Not Applicable
4	**Met** W&I Code Section 4501, 4502(b)(1)&(6)&(7), 4688.21 **Silent** Optimizes, but does not regiment	The State will discuss the impacts of this characteristic during the Waiver renewal process.	March 2017
5	**Met** W&I Code Section 4512(b), 4688.21	None	Not Applicable

* Day-Type Services in the HCBS Waiver for Californians with Developmental Disabilities and 1915(i) State Plan include Activity Center, Adult Day Care Facility, Adult Development Center, Behavior Management Program, Community-Based Training Provider, Socialization Training Program; Community Integration Training Program; Community Activities Support Service.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Person-Centered Planning & Service Delivery

1. ☑ There is an independent assessment of individuals determined to be eligible for the State plan HCBS benefit. The assessment is based on:
   - An objective face-to-face assessment with a person-centered process by an agent that is independent and qualified;
   - Consultation with the individual and if applicable, the individual's authorized representative, and includes the opportunity for the individual to identify other persons to be consulted, such as, but not limited to, the individual's spouse, family, guardian, and treating and consulting health and support professionals caring for the individual;
   - An examination of the individual's relevant history, including findings from the independent evaluation of eligibility, medical records, an objective evaluation of functional ability, and any other records or information needed to develop the plan of care;
   - An examination of the individual's physical and mental health care and support needs, strengths and preferences, available service and housing options, and when unpaid caregivers will be relied upon to implement the plan of care, a caregiver assessment;
   - If the State offers individuals the option to self-direct State plan HCBS, an evaluation of the ability of the individual (with and without supports), or the individual's representative, to exercise budget and/or employer authority; and
   - A determination of need for (and, if applicable, determination that service-specific additional needs-based criteria are met for), at least one State plan home and community-based service before an individual is enrolled into the State plan HCBS benefit

2. ☑ Based on the independent assessment, the individualized plan of care:
   - Is developed with a person-centered process in consultation with the individual, and others at the option of the individual such as the individual's spouse, family, guardian, and treating and consulting health care and support professionals. The person-centered planning process must identify the individual's physical and mental health support needs, strengths and preferences, and desired outcomes;
   - Takes into account the extent of, and need for, any family or other supports for the individual, and neither duplicates, nor compels, natural supports;
   - Prevents the provision of unnecessary or inappropriate care;
   - Identifies the State plan HCBS that the individual is assessed to need;
   - Includes any State plan HCBS in which the individual has the option to self-direct the purchase or control ;
   - Is guided by best practices and research on effective strategies for improved health and quality of life outcomes; and
   - Is reviewed at least every 12 months and as needed when there is significant change in the individual's circumstances.

3. **Responsibility for Face-to-Face Assessment of an Individual's Support Needs and Capabilities.** There are educational/professional qualifications (that are reasonably related to performing assessments) of the individuals who will be responsible for conducting the independent assessment, including specific training in assessment of individuals with physical and mental needs for HCBS. *(Specify qualifications):*

   The minimum requirement is a degree in social sciences or a related field. Case management experience in the developmental disabilities field or a related field may be substituted for education

on a year-for-year basis.

4. **Responsibility for Service Plan Development**. There are qualifications (that are reasonably related to developing plans of care) for persons responsible for the development of the individualized, person-centered plan of care. *(Specify qualifications):*

The minimum requirement is a degree in social sciences or a related field. Case management experience in the developmental disabilities field or a related field may be substituted for education on a year-for-year basis.

5. **Supporting the Participant in Service Plan Development**. Supports and information are made available to the participant (and/or the additional parties specified, as appropriate) to direct and be actively engaged in the service plan development process. *(Specify: (a) the supports and information made available, and (b) the participant's authority to determine who is included in the process):*

The service plan, commonly referred to as the individual program plan (IPP), is prepared jointly by the planning team, which at minimum includes the individual or, as appropriate their parents, legal guardian or conservator, or authorized representative and a representative from the regional center. When invited by the individual, others may join the planning team.

The IPP is developed through a person-centered process of individualized needs determination with the opportunity for active participation by the individual/representative in the plan development and takes into account the individual's needs and preferences. Person-centered planning is an approach to determining, planning for, and working toward the preferred future of the individual and her or his family. Decisions regarding the individual's goals, services and supports included in the IPP are made by agreement of the planning team.

a) *the supports and information made available* –Information available for supporting recipients in the IPP process includes but is not limited to the following documents, all of which are available using the links below or through the DDS website at www.dds.ca.gov:

1. "Individual Program Plan Resource Manual" - This resource manual is designed to facilitate the adoption of the values that lead to person-centered individual program planning. It is intended for use by all those who participate in person-centered planning. It was developed with extensive input from service recipients, families, advocates and providers of service and support.

2. "Person Centered Planning" - This publication consists of excerpts taken from the Individual Program Plan Resource Manual to provide recipients and their families information regarding person-centered planning.

3. "From Conversations to Actions Using the IPP" - This booklet shares the real life stories of how recipients can set their goals and objectives and work through the IPP process to achieve them.

4. "From Process to Action: Making Person-Centered Planning Work" - This guide provides a quick look at questions that can help a planning team move the individual program plan from process to action focusing on the person and the person's dreams for a preferred future.

For those participants who receive respite, skilled nursing, non-medical transportation, and/or community-based training services identified as a need in their IPP, the opportunity to self-direct those services will be offered at the time of the IPP development. As required by Title 17, CCR

58886, when the decision to self-direct services is made, the consumer/family member is provided with information regarding their responsibilities and functions as either an employer or co-employer as well the requirement to use and assistance in identifying a Financial Management Services provider.

b) *The participant's authority to determine who is included in the process* – As noted above, the IPP planning team, at a minimum, consists of the recipient and, where appropriate, his or her parents, legal guardian or conservator, or authorized representative, and an authorized regional center representative. With the consent of the recipient/parent/representative, other individuals, may receive notice of the meeting and participate.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

6. **Informed Choice of Providers.** *(Describe how participants are assisted in obtaining information about and selecting from among qualified providers of the 1915(i) services in the service plan):*

The case manager informs the recipient and/or his or her legal representative of qualified providers of services determined necessary through the IPP planning process. Recipients may meet with qualified providers prior to the final decision regarding providers to be identified in the service plan.

7. **Process for Making Service Plan Subject to the Approval of the Medicaid Agency**. *(Describe the process by which the service plan is made subject to the approval of the Medicaid agency):*

On a biennial basis, DHCS in conjunction with DDS will review a representative sample of recipient IPPs to ensure all service plan requirements have been met.

8. **Maintenance of Service Plan Forms**. Written copies or electronic facsimiles of service plans are maintained for a minimum period of 3 years as required by 45 CFR §74.53. Service plans are maintained by the following *(check each that applies)*:

☐	Medicaid agency	☐	Operating agency	☐	Case manager
☑	Other (*specify):*	Regional centers are required to maintain service plans for a minimum of five years.			

Services

1. **State plan HCBS.** *(Complete the following table for each service. Copy table as needed):*

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*	
Service Title:	**Habilitation – Community Living Arrangement Services**
Service Definition (Scope)*:*	
Habilitation—Community Living Arrangement Services (CLAS) includes two components, based on the setting: **A) Licensed/certified settings -** CLAS provided in these settings include assistance with acquisition, retention, or improvement in skills related to living in the community. Services and supports include assistance with activities of daily living, (e.g. personal grooming and cleanliness, bed making and household chores, eating and the preparation of food), community inclusion, social and leisure skill development and the adaptive skills necessary to enable the individual to reside in a non-institutional setting. Services provided in licensed/certified settings will take into consideration the provision of the following: 1. Private or semi-private bedrooms shared by no more than two persons with personal décor. The choice of residential settings, including making decisions regarding sharing a bedroom,	

is made during the person-centered planning process.
2. Private or semi-private bathrooms. The residence must have enough bathroom space to ensure residents' privacy for personal hygiene, dressing, etc.
3. Common living areas or shared common space for interaction between residents, and residents and their guests.
4. Residents must have access to a kitchen area at all times.
5. Residents' opportunity to make decisions on their day-to-day activities, including visitors and when and what to eat, in their home and in the community.
6. Services which meet the needs of each resident.
7. Assurance of residents rights: a) to be treated with respect; b) choose and wear their own clothes; c) have private space to store personal items; d) have private space to visit with friends and family; e) use the telephone with privacy; f) choose how and with whom to spend free time; and g) have opportunities to take part in community activities of their choice; h) residential units are accessible to the individual and have lockable entrance doors with appropriate staff having keys; i) entering into an admission agreement and taking occupancy affords residents of licensed residential facilities the same protections from eviction that tenants have under landlord tenant law of the State, county, city or other designated entity.

Residential settings that contain multiple independent living units (e.g. apartments) are considered home-like settings for the purposes of this State Plan Amendment.

B) Supported living services (provided in residences owned or leased by the recipients.) - CLAS provided in these settings are tailored supports that provide assistance with acquisition, retention, or improvement in skills related to:

- Activities of daily living, such as personal grooming and cleanliness, bed making and household chores, eating and the preparation of meals, including planning, shopping, cooking, and storage activities;
- Social and adaptive skills necessary for participating in community life, such as building and maintaining interpersonal relationships, including a Circle of Support;
- Locating and scheduling appropriate medical services;
- Managing personal financial affairs;
- Selecting and moving into a home;
- Locating and choosing suitable house mates;
- Acquiring household furnishings;
- Recruiting, training, and hiring personal attendants;
- Acquiring, using, and caring for canine and other animal companions specifically trained to provide assistance;
- Acquiring, using and maintaining devices to facilitate immediate assistance when threats to health, safety, and well-being occur.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

CLAS may include additional activities, as appropriate, to meet the recipients' unique needs. These activities include those that address social, adaptive, behavioral, and health care needs as identified in the individual program plan. CLAS may also include the provision of medical and health care services that are integral to meeting the daily needs of residents (e.g., routine administration of medications or tending to the needs of residents who are ill or require attention to their medical needs on an ongoing basis). Medical and health care services such as physician services that are not routinely provided to meet the daily needs of residents are not included.

The specific services provided to each recipient vary based on the residential setting chosen and needs identified in the individual program plan.

Payments will not be made for the routine care and supervision which would be expected to be provided by a family, or for activities or supervision for which a payment is made by a source other than Medi-Cal. Payments for CLAS in licensed/certified settings do not include the cost for room and board. The method by which the costs of room and board are excluded from payment in these settings is specified in Attachment 4.19-B.

Additional needs based criteria for receiving the service, if applicable (*specify*):

Specify limits (if any) on the amount, duration, or scope of this service for (chose each that applies):

☐	Categorically needy *(specify limits):*
☐	Medically needy *(specify limits):*

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Foster Family Agency (FFA)-Certified Family Homes (Children Only)	FFA licensed pursuant to Health and Safety Code §§1500-1567.8 provides statutory authority for DSS licensing of facilities identified in the CA Community Care Facilities Act.	Certified Family Homes; Title 22, CCR, § 88030 establishes requirements for FFA certification of family homes	Title 22, CCR §§ 88000-88087. Regulations FFA administrator qualifications: FFA administrative qualifications: (1) A Master's Degree in social work or a related field. Three years of experience in the field of child or family services, two years of which have been administrative/ managerial; or, 2) A Bachelor's Degree in a behavioral science from an accredited college or

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	As appropriate, a business license as required by the local jurisdiction where the business is located.		or university. A minimum of five years of experience in child or family services, two years of which have been in an administrative or managerial position. Certified family home providers meet requirements for foster family homes (Refer to Foster Family Homes below).
Foster Family Homes (FFHs) (Children Only) Payment for this service will not be duplicated or supplanted through Medicaid funding.	Health and Safety Code §§1500-1567.8 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Title 22, CCR §§89200-89587.1 Regulations adopted by DSS to specify requirements for licensure of Foster Family Homes. Qualifications/Requirements for FFH providers: 1. Comply with applicable laws and regulations and: 2. Provide care and supervision to meet the child's needs including communicating with the child; 3. Maintain all child records, safeguard cash resources and personal property; 4. Direct the work of others in providing care when applicable, 5. Apply the reasonable and prudent parent standard; 6. Promote a normal, healthy, balanced, and supported childhood experience and treat a child as part of the family' 7. Attend training and professional development; 8. Criminal Records/Child Abuse Registry clearance; 9. Report special incidents; 10. Ensure each child's personal rights; and, 11. Maintain a clean, safe, health home environment. 12. Maintain standards identified in "Needs-Based Evaluation/Reevaluation" item #8.
Small Family Homes (Children Only)	Health and Safety Code §§1500-1567.8	N/A	Title 22, CCR §§ 83000-83088. Regulations adopted by DSS to specify requirements for licensure of Small

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

			Family Homes. Licensee/Administrator Qualifications • Criminal Records/Child Abuse Index Clearance; • At least 18 years of age; • Documented education, training, or experience in providing family home care and supervision appropriate to the type of children to be served. The amount of units or supervision appropriate to the type of children to be served. The amount of units or training hours is not specified. The following are examples of acceptable education or training topics. Programs which can be shown to be similar are accepted: o Child Development o Recognizing and/or dealing with learning disabilities; o Infant care and stimulation; o Parenting skills; o Complexities, demands and special needs of children in placement; o Building self esteem, for the licensee or the children; o First aid and/or CPR; o Bonding and/or safeguarding of children's property; o Ability to keep financial and other records; o Ability to recruit, employ, train, direct the work of and evaluate qualified staff. Maintain standards identified in "Needs-Based Evaluation/Reevaluation" item #8.
Group Homes (Children Only)	Health and Safety Code §§ 1500-1567.8 As appropriate, a business license as required by the local jurisdiction	**N/A**	Title 22, CCR, § 84000-84808 Regulations adopted by DSS to specify requirements for licensure of Group Homes. Administrator Qualifications: 1. Master's degree in a behavioral science, plus a minimum of one year of employment as a social worker in an agency serving children or in a group residential program for children;

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	where the business is located.		2. Bachelor's degree, plus at least one year of administrative or supervisory experience (as above); 3. At least two years of college, plus at least two years administrative or supervisory experience (as above); or 4.Completed high school, or equivalent, plus at least three years administrative or supervisory experience (as above); and, 5. Criminal Records/Child Abuse Registry Clearance Maintain standards identified in "Needs-Based Evaluation/Reevaluation" item #8.
Adult Residential Facilities (ARF)	Health and Safety Code §§ 1500 through 1567.8 As appropriate, a business license as required by the local jurisdiction where the business is located.	**N/A**	Title 22, CCR, §§85000-85092: Establish licensing requirements for persons 18 years of age through 59 years of age; and persons 60 years of age and older by exception. **Administrator Qualifications** ▪ At least 21 years of age; High school graduation or a GED; ▪ Complete a program approved by DSS that consists of 35 hours of classroom instruction o 8 hrs in-laws including resident's personal rights, regulations, policies, and procedural standards that impact the operations of adult residential facilities; o 3 hrs. in business operations; o 3 hrs. in management and supervision of staff; o o 5 hrs. in the psychosocial needs of the facility residents; o o 3 hrs. in the use of community and support services to meet the resident's needs; o 4 hrs. in the physical needs of the facility residents; o o 5 hrs. in the use, misuse and interaction of drugs commonly used by facility residents; o 4 hrs. on admission, retention, and assessment procedures; ☐ Pass a standardized test, administered by the Department of Social Services

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

			with a minimum score of 70%. ▪ Criminal Record/Child Abuse Registry Clearance. **Additional Administrator Qualifications may also include**: ▪ Has at least one year of administrative and supervisory experience in a licensed residential program for persons ▪ with developmental disabilities, and is one or more of the following: (A) A licensed registered nurse. (B) A licensed nursing home administrator. (C) A licensed psychiatric technician with at least five years of experience serving individuals with developmental disabilities. (D) An individual with a bachelors degree or more advanced degree in the health or human services field and two years' experience working in a licensed residential program for persons with developmental disabilities and special health care needs. Maintain standards identified in "Needs-Based Evaluation/Reevaluation" item #8.
Residential Care Facility for the Elderly (RCFE)	Health and Safety Code §§1569-1569.889 provides statutory authority for licensing of RCFEs. Identified as the CA Residential Care Facilities for the Elderly Act. As appropriate, a business license as required by the	**N/A**	Title 22, CCR, §§87100-87793: Establish licensing requirements for facilities where 75 percent of the residents are sixty years of age or older. Younger residents must have needs compatible with other residents. **Administrator Qualifications:** 1. Knowledge of the requirements for providing care and supervision appropriate to the residents. 2. Knowledge of and ability to conform to the applicable laws, rules and regulations. 3. Ability to maintain or supervise the maintenance of financial and other records. 4. Ability to direct the work of others. 5. Good character and a continuing

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	local jurisdiction where the business is located.		reputation of personal integrity. 6. High school diploma or equivalent. 7. At least 21 years of age. 8. Criminal Record Clearance. Maintain standards identified in "Needs-Based Evaluation/Reevaluation" item #8.
Residential Facility (out of state)	Appropriate Facility License, as required by State law. As appropriate, a business license as required by the local jurisdiction where the business is located.	**N/A**	Department approval is required per the Welfare and Institutions Code, § 4519. Maintain standards identified in "Needs-Based Evaluation/Reevaluation" item #8.
Adult Residential Facility for Persons with Special Health Care Needs	Health and Safety Code §§1500-1569.87 Appropriate license DSS CCLD as to type of facility As appropriate, a business license as required by the local jurisdiction where the business is located.		Welfare and Institutions Code, § 4684.50 et seq. The administrator must: 1. Complete the 35-houradministrator certification program pursuant to paragraph (1) of subdivision (c) of Section 1562.3 of the Health and Safety Code without exception, 2. Has at least one year of administrative and supervisory experience in a licensed residential program for persons with developmental disabilities, and is one or more of the following: a. A licensed registered nurse. b. A licensed nursing home administrator. c. A licensed psychiatric technician with at least five years of experience serving individuals with developmental disabilities. d. An individual with a bachelors degree or more advanced degree in the health or human services field and two years experience

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

			working in a licensed residential program for persons with developmental disabilities and special health care needs. Maintain standards identified in "Needs-Based Evaluation/Reevaluation" item #8.
Family Home Agency(FHA): Adult Family Home(AFH)/Family Teaching Home(FTH)	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	AFH Title 17, CCR, §56088 Authorizes the FHA to issue a Certificate of Approval to each family home which has: 1. Completed the criminal record review; 2. Been visited by the FHA and a determination ensuring safe and reasonable and the prospective providers experience, knowledge, cooperation, history and interest to become an approved family home. 3. Completed required orientation and training.	Welfare and Institutions Code 4689.1-4689.6 provides statutory authority for FHA. FHA employs sufficient staff with the combined experience, training and education to perform the following duties: 1. Administration of the FHA; 2. Recruitment of family homes; 3. Training of FHA staff and family homes; 4. Ensuring an appropriate match between the needs and preferences of the consumer and the family home; 5. Monitoring of family homes; 6. Provision of services and supports to consumers and family homes which are consistent with the consumer's preferences and needs and the consumer's IPP; and 7. Coordination with the regional center and others. In order to accomplish these duties, selection criteria for hiring purposes should include but not be limited to: education in the fields of social work, psychology, education of related areas; experience with persons with developmental disabilities; experience in program management, fiscal management and organizational development.
Supported Living Provider	No state licensing category. As appropriate, a business	N/A	SLS requirements: 1. Service design including: ▪ Staff hiring criteria, including any minimum qualifications requirements; and ☐ ▪ Procedures and practices the agency ▪

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	license as required by the local jurisdiction where the business is located.		will use to screen paid staff, consultants, and volunteers who will have direct contact with consumers. 2. Staff appropriate to services rendered with skills to establish and maintain constructive and appropriate personal relationship with recipients, minimize risks of endangerment to health, safety, and well-being of recipients, perform CPR and operate 24-hour emergency response systems, achieve the intended results of services being performed and maintenance of current and valid licensure, certification, or registration as are legally required for the service. 3. Staff orientation and training in theory and practice of supported living services and recipient training in supported living services philosophy, recipient rights, abuse prevention and reporting, grievance procedures and strategies for building and maintaining a circle of support.
In-Home Day Program	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Qualifications and training for staff in agency guidelines. Must have a provision for an annual assessment process to ensure consumer participation in this type of program remains appropriate. Providers may include employees of community-based day, pre-vocation, or vocational programs.
Enhanced Behavioral Supports Homes (EBSH) (Agency)	Licensed Adult Residential Facility or group home by the Department of Social Services pursuant to Health and Safety Code §§ 1567.61 - 1567.80	Certified by the Department of Developmental Services pursuant to WIC 4684.80	In addition to the requirements in Title 22, CCR, §§85000-85092, the following requirements from Title 17, CCR, §§59060-59061 also apply: Administrator Qualifications (a) An administrator must: (1) Have a minimum of 2 years of prior experience providing direct care or supervision to individuals with developmental disabilities; and be one of the following: (A) A registered behavior technician. (B) A licensed psychiatric technician. (C) A qualified behavior modification professional. (b) An administrator must complete the residential services orientation as required per Section 56003(b)

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	As appropriate, a business license as required by the local jurisdiction where the business is located.		Direct Care Staff Qualifications. (a) A direct care lead staff person must: (1) Have at least one year prior experience providing direct care to individuals with developmental disabilities, with a focus on behavioral services; and (2) Become a registered behavior technician within 60 days of initial employment; or, be either: (A) A licensed psychiatric technician; or (B) A qualified behavior modification professional. (b) A direct care staff person must: (1) Have at least six months prior experience providing direct care to individuals with developmental disabilities, with a focus on behavioral services; and (2) Become a registered behavior technician within twelve months of initial employment; or be: (A) Be a licensed psychiatric technician.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify):*	Entity Responsible for Verification *(Specify):*	Frequency of Verification *(Specify):*
All Habilitation - Community Living Arrangement Services providers	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.
Licensed Community Care Facilities	Department of Social Services – Community Care Licensing Division (DSS-CCLD)	Annually
	regional centers – including verification of standards identified in "Needs-Based Evaluation/Reevaluation" item #8.	Annually

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Family Home Agency	regional centers DDS	Annually Biennially
Adult Family Home and Family Teaching Home	Family Home Agency	Monthly

Service Delivery Method. *(Check each that applies):*

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*

Service Title: **Habilitation – Day Services**

Service Definition (Scope):

Habilitation – Day Services includes three components:

A) Community-Based Day Services – (Providers identified with "CB" below)

These services provide assistance with acquisition, retention, or improvement in self-help, socialization and adaptive skills which may take place in a residential or non-residential setting. Services may be furnished four or more hours per day on a regularly scheduled basis, for one or more days per week unless provided as an adjunct to other day activities included in an individual's plan of care. These services enable the individual to attain or maintain his or her maximum functional level and shall be coordinated with any physical, occupational, or speech therapies listed in the plan of care. In addition, day habilitation service may serve to reinforce skills or lessons taught in school, therapy, or other settings. Day habilitation services may include paid/volunteer work strategies when the individualized planning process determines that supported employment or prevocational services are not appropriate for the individual.

B) Activity-Based/Therapeutic Day Services – (Providers identified with "AT" below)

These services provide assistance with acquisition, retention, or improvement in self-help, socialization and adaptive skills through therapeutic and/or physical activities and are designed to:

- Gain insight into problematic behavior
- Provide opportunities for expression of needs and feelings
- Enhance gross and fine motor development
- Promote language development and communication skills
- Increase socialization and community awareness
- Improve communication skills
- Provide visual, auditory and tactile awareness and perception experiences
- Assist in developing appropriate peer interactions

C) Mobility Related Day Services – (Providers identified with "MT" below)

These services foster the acquisition of greater independence and personal choice by teaching individuals how to use public transportation or other modes of transportation which will enable them to move about the community independently.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

The above described services are not available under a program funded under section 110 of the Rehabilitation Act of 1973 (29 USC Section 730) or section 602(16) and (17) of the Individuals with Disabilities Education Act (20 USC 1401(16 and 17).
Additional needs-based criteria for receiving the service, if applicable *(specify):*
Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies):*

☑	Categorically needy *(specify limits):*
	A consumer may receive specialized recreation and non-medical therapies (including, but not limited to, art, dance, and music) when the regional center determines that the service is a primary or critical means for ameliorating the physical, cognitive, or psychosocial effects of the consumer's developmental disability, or the service is necessary to enable the consumer to remain in his or her home and no alternative service is available to meet the consumer's need.
☑	Medically needy (specify limits):
	A consumer may receive specialized recreation and non-medical therapies (including, but not limited to, art, dance, and music) when the regional center determines that the service is a primary or critical means for ameliorating the physical, cognitive, or psychosocial effects of the consumer's developmental disability, or the service is necessary to enable the consumer to remain in his or her home and no alternative service is available to meet the consumer's need.

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Mobility Training Services Agency (MT)	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Personnel providing this service possess the skill, training or education necessary to teach individuals how to use public transportation or other modes of transportation which enable them to move about the community independently including: a) previous experience working with individuals with developmental disabilities and awareness of associated problems, attitudes and behavior patterns; b) a valid California Driver's license and current insurance; c) ability to work independently with minimal supervision according to specific guidelines; and d) flexibility and adaptive skills to facilitate individual recipient needs.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Mobility Training Services Specialist (MT)	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Individuals providing this service possess the following minimum requirements: 1. Previous experience working with individuals with developmental disabilities and awareness of associated problems, attitudes and behavior patterns; 2. A valid California Driver's license and current insurance; 3. Ability to work independently, flexibility and adaptive skills to facilitate individual recipient needs.
Driver Trainer (MT)	Valid California driver's license As appropriate, a business license as required by the local jurisdiction where the business is located.	Current certification by the California Department of Motor Vehicles as a driver instructor.	N/A
Adaptive Skills Trainer (CB)	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Individual providing this service shall possess: 1. Master's degree in education, psychology, counseling, nursing, social work, applied behavior analysis, behavioral medicine, speech and language or rehabilitation; and 2. At least one year of experience in the designing and implementation of adaptive skills training plans.
Personal Assistant (CB)	No state licensing category As appropriate, a business license as	N/A	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	Required by the local jurisdiction where the business is located		
Socialization Training Program; Community Integration Training Program: Community Activities Support Service (CB)	Facility license (Health and Safety Code §§ 1500-1567.8) if applicable As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Qualifications and training of staff per agency guidelines. For Community Integration Training Program: Program directors must have at least a bachelor's degree. Direct service workers may be qualified by experience.
Activity Center (CB)	Facility license (Health and Safety Code §§ 1500-1567.8) if applicable As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Requires written program design, recipient entrance and exit criteria, staff training, etc. Director must have BA/BS with 18 months experience in human services delivery, or five years experience in human services delivery field. Supervisory staff must have three years experience plus demonstrated supervisory skills.
Adult Development Centers (CB)	Facility license (Health and Safety Code §§ 1500-1567.8) if applicable) As appropriate, a business	N/A	Requires written program design, recipient entrance and exit criteria, staff training, etc. Director must have BA/BS with 18 months experience in human services delivery, or five years experience in human services delivery field. Supervisory staff must have three years

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	license as required by the local jurisdiction where the business is located.		experience plus demonstrated supervisory skills.
Behavior Management Program (CB)	Facility license (Health and Safety Code §§ 1500-1567.8) if applicable As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Requires written program design, recipient entrance and exit criteria, staff training, etc. Director must have BA/BS with 18 months experience in human services delivery, or five years experience in human services delivery field. Supervisory staff must have three years experience plus demonstrated supervisory skills.
Independent Living Program (CB)	Facility license (Health and Safety Code §§ 1500-1567.8) if applicable As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Requires written program design, recipient entrance and exit criteria, staff training, etc. Director must have BA/BS with 18 months experience in human services delivery, or five years experience in human services delivery field. Supervisory staff must have three years experience plus demonstrated supervisory skills.
Independent Living Specialist (CB)	No state licensing category. As appropriate, a business license as required by the local	N/A	Possesses the skill, training, or education necessary to teach recipients to live independently and/or to provide the supports necessary for the recipient to maintain a self-sustaining, independent living situation in the community, such as one year experience providing services to individuals in a residential or non-residential setting and possession of at

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	jurisdiction where the business is located.		least a two-year degree in a subject area related to skills training and development of program plans for eligible individuals.
Social Recreation Program (CB)	Facility license (Health and Safety Code §§ 1500-1567.8) if applicable As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Requires written program design, recipient entrance and exit criteria, staff training, etc. Director must have BA/BS with 18 months experience in human services delivery, or five years experience in human services delivery field. Supervisory staff must have three years experience plus demonstrated supervisory skills.
Art Therapist (AT)	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located	Current registration issued by the American Art Therapy Association.	N/A
Dance Therapist (AT)	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	Validly registered as a dance therapist by the American Dance Therapy Association.	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Music Therapist (AT)	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	Valid registration issued by the National Association for Music Therapy.	N/A
Recreational Therapist (AT)	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	Certification issued by either the National Council for Therapeutic Recreation Certification or the California Board of Recreation and Park Certification.	N/A
Specialized Recreational Therapy (AT)	Credentialed and/or licensed as required by the State in the field of therapy being offered As appropriate, a business license as required by the local jurisdiction where the business is located.	Equestrian therapists shall possess a current accreditation and instructor certification with the North American Riding for the Handicapped Association	N/A
Creative Art Program (AT)	Facility license (Health and Safety Code §§ 1500-1567.8) if	N/A	Program Director: Equivalent of a high school diploma and experience with persons with developmental disabilities.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	applicable As appropriate, a business license as required by the local jurisdiction where the business is located.		Direct Care Staff: Must have artistic experience as demonstrated through a resume.
Special Olympics Trainer (AT)	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Knowledge and training sufficient to ensure consumer participation in Special Olympics.
Sports Club: (e.g. YMCA, Community Parks and Recreation Program, Community-based recreation program) (AT)	As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	All community recreational program providers shall possess the following minimum qualifications: 1. Ability to perform the functions required by the individual plan of care; 2. Demonstrated dependability and personal integrity; 3. Willingness to pursue training as necessary based upon the individual

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

			consumer's needs.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
All Habilitation – Day Services providers	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.
Licensed Community Care Facilities	Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers	Annually

Service Delivery Method. *(Check each that applies)*:

☑	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*

Habilitation - Behavioral Intervention Services

Service Definition (Scope):

Habilitation—Behavioral Intervention Services include two components:
A) Individual/Group Practitioners - which may provide Behavioral Intervention Services in multiple settings, including the individual's home, workplace, etc. depending on the individual's needs.
B) Crisis Support – If relocation becomes necessary, emergency housing in the person's home community is available. Crisis Support provides a safe, stable highly structured environment by combining concentrated, highly skilled staffing (e.g. psychiatric technicians, certified behavior analysts) and intensive behavior modification programs. Conditions that would qualify an individual for crisis support include aggression to others, self-injurious behavior, property destruction, or other pervasive behavior issues that have precluded effective treatment in the current living arrangement.

While the location and intensity of the components of this service vary based on the individual's needs, all components of behavioral intervention services include use and development of intensive behavioral intervention (see #1 below) programs to improve the recipient's development; and behavior tracking and analysis. The intervention programs will be restricted to generally accepted,

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

evidence-based, positive approaches. Behavioral intervention services are designed to assist individuals in acquiring, retaining and improving the self-help, socialization and adaptive skills necessary to reside successfully in home and community-based settings. Services may be provided to family members if they are for the benefit of the recipient. Services for family members may include training and instruction about treatment regimens and risk management strategies to enable the family to support the recipient.

The participation of parent(s) of minor children is critical to the success of a behavioral intervention plan. The person-centered planning team determines the extent of participation necessary to meet the individual's needs. "Participation" includes the following meanings: Completion of group instruction on the basics of behavior intervention; Implementation of intervention strategies, according to the intervention plan; If needed, collection of data on behavioral strategies and submission of that data to the provider for incorporation into progress reports; Participation in any needed clinical meetings; provision of suggested nominal behavior modification materials or community involvement if a reward system is used. If the absence of sufficient participation prevents successful implementation of the behavioral plan, other services will be provided to meet the individual's identified needs.

(1) "Intensive behavioral intervention" means any form of applied behavioral analysis (ABA) based treatment (see #2 below) that is comprehensive, designed to address all domains of functioning, and provided in multiple settings, depending on the individual's needs and progress. Interventions can be delivered in a one-to-one ratio or small group format, as appropriate.
(2) "Applied behavioral analysis based treatment" means the design, implementation, and evaluation of systematic instructional and environmental modifications to promote positive social behaviors and reduce or ameliorate behaviors which interfere with learning and social interaction.

Behavioral Habilitation services do not include services otherwise available to the person under the Individuals with Disabilities Education Act or the Rehabilitation Act of 1973.
This service in the 1915(i) state plan benefit is only provided to individuals age 21 and over. All medically necessary Habilitation Behavior Intervention Services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

☐ Categorically needy *(specify limits)*:

☐ Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Crisis Team-Evaluation and Behavioral Intervention	Licensed in accordance with Business and Professions	Certified as appropriate to the skilled professions staff	Program utilizes licensed and/or certified personnel as appropriate to provide develop and implement individualized crisis behavioral services plans. Specific

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	Code as appropriate to the skilled professions staff assigned to the team. As appropriate, a business license as required by the local jurisdiction where the business is located.	assigned to the team.	qualifications and training of personnel per agency guidelines consistent with requirements for Behavior Analyst, Behavior Management Assistant, Behavior Management Consultant: Psychologist, Psychiatric Technician or Psychiatrist established in this section.
Crisis Intervention Facility	Health and Safety Code §§1500-1569.889 As appropriate, a business license as required by the local jurisdiction where the business is located.	Refer to "Other Standard."	Crisis services may be provided in any of the types of 24-hour care services identified in Habilitation – Community Living Arrangement Services (CLAS) section. Refer to the CLAS section for standards.
Psychiatrist	Business and Professions Code, Division 2, Chapter 5, commencing at § 2000 Licensed as a physician and surgeon by the Medical Board of California. As appropriate, a business	Certified by the American Board of Psychiatry and Neurology	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	license as required by the local jurisdiction where the business is located.		
Behavior Management Assistant: (Psychology Assistant; Associate Licensed Clinical Social Worker)	As appropriate, a business license as required by the local jurisdiction where the business is located. Business and Professions Code §2913; §4996-4996.2	Registered as either: 1. A psychological assistant of a psychologist by the Medical Board of California or Psychology Examining Board; or 2. An Associate Licensed Clinical Social Worker pursuant to Business and Professions Code, Section 4996.18.	Possesses a Bachelor of Arts or Science Degree and has either: 1. Twelve semester units in applied behavior analysis and one year of experience in designing and/or implementing behavior modification intervention services; or 2. Two years of experience in designing and/or implementing behavior modification intervention services.
Behavior Management Consultant: (Psychologist)	Business and Professions Code, §2940-2948 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	N/A
Behavior Management Consultant:	Business and Professions Code §§4996-	N/A	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Licensed Clinical Social Worker	4996.2 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	N/A
Behavior Management Consultant: Marriage Family Child Counselor	Business and Professions Code §§4980-4981 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	N/A
Licensed Psychiatric Technician	Business and Professions Code §4500 et seq. Possesses a valid psychiatric technician's license issued by the California State Board of Vocational Nurse and Psychiatric Technician Examiners As appropriate, a business license as required by the	N/A	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	local jurisdiction where the business is located.		
Client/Parent Support Behavior Intervention Training	Licensed in accordance with Business and Professions Code as appropriate to the skilled professions of staff. As appropriate, a business license as required by the local jurisdiction where the business is located.	Refer to "Other Standard."	Client/Parent Support Behavior Intervention Training services may be provided by a Behavior Analyst, Behavior Analyst, Associate Behavior Analyst, Psychologist, Psychiatric Technician or Psychiatrist. Specific qualifications and training of providers are as specified in the requirements established in this section.
Behavior Analyst	Licensed in accordance with Business and Professions Code as appropriate to the skilled professions staff. As appropriate, a business license as required by the local jurisdiction where the business is located.	Certification by the national Behavior Analyst Certification Board.	N/A
Family Counselor	Valid license with the	N/A	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

(MFCC), Clinical Social Worker (CSW)	California Board of Behavioral Science Examiners As appropriate, a business license as required by the local jurisdiction where the business is located. **MFCC:** Business and Professions Code §§4980-4984.9 **CSW:** Business and Professions Code §§4996-4997		
Parenting Support Services Provider	As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Vendor must ensure that trainers are credentialed and/or licensed as required by the State of California to practice in the field of training being offered.
Individual or Family Training Provider	As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Vendor must ensure that trainers are credentialed and/or licensed as required by the State of California to practice in the field of training being offered.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Associate Behavior Analyst	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	Certification by the national Behavior Analyst Certification Board	Works under the direct supervision of a Behavior Analyst or Behavior Management Consultant.
Behavioral Technician /Paraprofessional	No state licensing category As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Works under the direct supervision of a Behavior Analyst or Behavior Management Consultant. (1) Has a High School Diploma or the equivalent, has completed 30 hours of competency-based training designed by a certified behavior analyst, and has six months experience working with persons with developmental disabilities; or (2) Possesses an Associate's Degree in either a human, social, or educational services discipline, or a degree or certification related to behavior management, from an accredited community college or educational institution, and has six months experience working with persons with developmental disabilities.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed)*:

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify):*	Frequency of Verification *(Specify):*
All Habilitation – Behavioral Intervention Services providers	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Crisis Intervention Facilities	Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers	Annually
Service Delivery Method. *(Check each that applies)*:		
☐ Participant-directed	☑ Provider managed	

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover)*:	
Service Title:	**Respite Care**
Service Definition (Scope):	

Intermittent or regularly scheduled temporary non-medical care (with the exception of colostomy, ileostomy, catheter maintenance, and gastrostomy) and supervision provided in the recipient's own home or in an approved out of home location to do all of the following:

1. Assist family members in maintaining the recipient at home;
2. Provide appropriate care and supervision to protect the recipient's safety in the temporary absence of family members;
3. Temporarily relieve family members from the constantly demanding responsibility of caring for a recipient; and
4. Attend to the recipient's basic self-help needs and other activities of daily living, including interaction, socialization, and continuation of usual daily routines which would ordinarily be performed by family members.

Respite may only be provided when the care and supervision needs of a consumer exceed that of a person of the same age without developmental disabilities.

FFP will not be claimed for the cost of room and board except when provided as part of respite care furnished in a facility approved by the State that is not a private residence.

While there is no limit on the duration that respite services that can be provided, FFP will not be claimed for respite service provided beyond 30 consecutive days.

Respite care may be provided in the following locations:

- Private residence
- Residential facility licensed by the Department of Social Services.
- Respite facility licensed by the Department of Social Services

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

- Other community setting approved by the State that is not a private residence, such as:
  - Adult Family Home/Family Teaching Home
  - Certified Family Homes for Children
  - Adult Day Care Facility
  - Camp
  - Licensed Preschool

Respite services do not duplicate services provided under the Individuals with Disabilities Education (IDEA) Act of 2004.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:

☑ Categorically needy *(specify limits)*:

☑ Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Individual	No state licensing category. As appropriate, a business license as required by the local jurisdiction.	N/A	Has received Cardiopulmonary Resuscitation (CPR) and First Aid training from agencies offering such training, including, but not limited to, the American Red Cross; and has the skill, training, or education necessary to perform the required services.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	where the business is located.		
Respite Agency	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	The agency director shall possess at a minimum: 1. A bachelor's degree and a minimum of 18 months' experience in the management of a human services delivery system, or; 2. Five years of experience in a human services delivery system, including at least two years in a management or supervisory position.
Adult Day Care Facility	Health and Safety Code §§ 1500 - 1567.8 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	The administrator shall have the following qualifications: 1. Attainment of at least 18 years of age. 2. Knowledge of the requirements for providing the type of care and supervision needed by clients, including ability to communicate with such clients. 3. Knowledge of and ability to comply with applicable law and regulation. 4. Ability to maintain or supervise the maintenance of financial and other records. 5. Ability to direct the work of others, when applicable. 6. Ability to establish the facility's policy, program and budget. 7. Ability to recruit, employ, train, and evaluate qualified staff, and to terminate employment of staff, if applicable to the facility. 8. A baccalaureate degree in psychology, social work or a related human services field and a minimum of one-year experience in the management of a human services delivery system; or three years of experience in a human services delivery system including at least one year in a management or supervisory position and two years of experience or training in one of the

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

			following: A. Care and supervision of recipients in a licensed adult day care facility, adult day support center or an adult day health care facility. B. Care and supervision of one or more of the categories of persons to be served by the center. The licensee must make provision for continuing operation and carrying out of the administrator's responsibilities during any absence of the administrator by a person who meets the qualification of an administrator.
Respite Facility; Residential Facility: Foster Family Agency (FFA)-Certified Family Homes (Children Only)	FFA licensed pursuant to Health and Safety Code §§1500-1567.8 provides statutory authority for DSS licensing of facilities identified in the CA Community Care Facilities Act. As appropriate, a business license as required by the local jurisdiction where the business is located.	Certified Family Homes; Title 22, CCR, § 88030 establishes requirements for FFA certification of family homes.	Title 22, CCR §§ 88000-88087. Regulations adopted by DSS to specify requirements for licensure of FFA's, certification and use of homes, FFA administrator qualifications: (1) A Master's Degree in social work or a related field. Three years of experience in the field of child or family services, two years of which have been administrative/ managerial; or, (2) A Bachelor's Degree in a behavioral science from an accredited college or university. A minimum of five years of experience in child or family services, two years of which have been in an administrative or managerial position. Certified family home providers meet requirements for foster family homes (Refer to Foster Family Homes below).
Respite Facility; Residential Facility: Foster Family Homes (FFHs) (Children Only) Payment for this	Health and Safety Code §§1500-1567.8 As appropriate, a business license as	N/A	Title 22, CCR §§89200-89587.1 Regulations adopted by DSS to specify requirements for licensure of Foster Family Homes. Qualifications/Requirements for FFH providers:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

service will not be duplicated or supplanted through Medicaid funding.	required by the local jurisdiction where the business is located.		1. Comply with applicable laws and regulations and: 2. Provide care and supervision to meet the child's needs including communicating with the child; 3. Maintain all child records, safeguard cash resources and personal property; 4. Direct the work of others in providing care when applicable, 5. Apply the reasonable and prudent parent standard; 6. Promote a normal, healthy, balanced, and supported childhood experience and treat a child as part of the family; 7. Attend training and professional development; 8. Criminal Records/Child Abuse Registry clearance; 9. Report special incidents; 10. Ensure each child's personal rights; and, 11. Maintain a clean, safe, health home environment.
Respite Facility; Residential Facility: Small Family Homes (Children Only)	Health and Safety Code §§1500-1567.8 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Title 22, CCR §§ 83000-83088. Regulations adopted by DSS to specify requirements for licensure of Small Family Homes. Licensee/Administrator Qualifications ▪ Criminal Records/Child Abuse Index Clearance; ▪ At least 18 years of age; ▪ Documented education, training, or experience in providing family home care and supervision appropriate to the type of children to be served. The amount of units or supervision appropriate to the type of children to be served. The amount of units or training hours is not specified. The following are examples of acceptable education or training topics. Programs which can be shown to be similar are accepted: o Child Development; o Recognizing and/or dealing with learning disabilities;

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

			o Infant care and stimulation; o Parenting skills; o Complexities, demands and special needs of children in placement; o Building self-esteem, for the licensee or the children; o First aid and/or CPR; o Bonding and/or safeguarding of children's property; o Ability to keep financial and other records; o Ability to recruit, employ, train, direct the work of and evaluate qualified staff.
Respite Facility; Residential Facility: Group Homes (Children Only)	Health and Safety Code §§ 1500-1567.8 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Title 22, CCR, § 84000-84808 Regulations adopted by DSS to specify requirements for licensure of Group Homes. Administrator Qualifications: 1. Master's degree in a behavioral science, plus a minimum of one year of employment as a social worker in an agency serving children or in a group residential program for children; 2. Bachelor's degree, plus at least one year of administrative or supervisory experience (as above); 3. At least two years of college, plus at least two years administrative or supervisory experience (as above); or 4.Completed high school, or equivalent, plus at least three years administrative - or supervisory experience (as above); and, 5. Criminal Records/Child Abuse Registry Clearance
Respite Facility; Residential Facility: Adult Residential Facilities (ARF)	Health and Safety Code §§ 1500 through 1567.8 As appropriate, a business license as required by the local jurisdiction where the	N/A	Title 22, CCR, §§85000-85092: Establish licensing requirements for persons 18 years of age through 59 years of age; and persons 60 years of age and older by exception. **Administrator Qualifications** ▪ At least 21 years of age; ▪ High school graduation or a GED; ▪ Complete a program approved by DSS that consists of 35 hours of classroom instruction

	business is located.		○ 8 hrs. in laws, including resident's personal rights, regulations, policies, and procedural standards that impact the operations of adult residential facilities; ○ 3 hrs. in business operations; ○ 3 hrs. in management and supervision of staff; ○ 5 hrs. in the psychosocial needs of the facility residents; ○ 3 hrs. in the use of community and support services to meet the resident's needs; ○ 4 hrs. in the physical needs of the facility residents; ○ 5 hrs. in the use, misuse and interaction of drugs commonly used by facility residents; ○ 4 hrs. on admission, retention, and assessment procedures; ▪ Pass a standardized test, administered by the Department of Social Services with a minimum score of 70%. ▪ Criminal Record/Child Abuse Registry Clearance. **Additional Administrator Qualifications may also include**: ▪ Has at least one year of administrative and supervisory experience in a licensed residential program for persons ▪ with developmental disabilities, and is one or more of the following: (A) A licensed registered nurse. (B) A licensed nursing home administrator. (C) A licensed psychiatric technician with at least five years of experience serving individuals with developmental disabilities. (D) An individual with a bachelor's degree or more advanced degree in the health or human services field and two years of experience working in a licensed residential program for persons with developmental disabilities and special health care needs.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Respite Facility; Residential Facility: Residential Care Facility for the Elderly (RCFE)	Health and Safety Code §§1569-1569.889 provides statutory authority for licensing of RCFEs. Identified as the CA Residential Care Facilities for the Elderly Act. As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Title 22, CCR, §§87100-87793: Establish licensing requirements for facilities where 75 percent of the residents are sixty years of age or older. Younger residents must have needs compatible with other residents. **Administrator Qualifications:** 1. Knowledge of the requirements for providing care and supervision appropriate to the residents. 2. Knowledge of and ability to conform to the applicable laws, rules and regulations. 3. Ability to maintain or supervise the maintenance of financial and other records. 4. Ability to direct the work of others. 5. Good character and a continuing reputation of personal integrity. 6. High school diploma or equivalent. 7. At least 21 years of age. 8. Criminal Record Clearance.
Respite Facility; Residential Facility: Adult Residential Facility for Persons with Special Health Care Needs	Health and Safety Code §§1500-1569.87 Appropriate license DSS CCLD as to type of facility As appropriate, a business license as required by the local jurisdiction where the business is		Welfare and Institutions Code, § 4684.50 et seq. **The administrator must:** 1. Complete the 35-houradministrator certification program pursuant to paragraph (1) of subdivision (c) of Section 1562.3 of the Health and Safety Code without exception, 2. Has at least one year of administrative and supervisory experience in a licensed residential program for persons with developmental disabilities, and is one or more of the following: a. A licensed registered nurse. b. A licensed nursing home administrator. c. A licensed psychiatric technician with at least five years of experience serving individuals with developmental disabilities. d. An individual with a bachelors

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

			degree or more advanced degree in the health or human services field and two years of experience working in a licensed residential program for persons with developmental disabilities and special health care needs.
Respite Facility; Residential Facility: Family Home Agency(FHA): Adult Family Home(AFH)/Family Teaching Home(FTH)	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	AFH Title 17, CCR, §56088 Authorizes the FHA to issue a Certificate of Approval to each family home which has: 1. Completed the criminal record review 2. Been visited by the FHA and a determination ensuring safe and reasonable and the prospective providers experience, knowledge, cooperation, history and interest to become an approved family home. 3. Completed required orientation and training.	Welfare and Institutions Code 4689.1-4689.6 provides statutory authority for FHA. FHA employs sufficient staff with the combined experience, training and education to perform the following duties: 1. Administration of the FHA; 2. Recruitment of family homes; 3. Training of FHA staff and family homes; 4. Ensuring an appropriate match between the needs and preferences of the consumer and the family home; 5. Monitoring of family homes; 6. Provision of services and supports to consumers and family homes which are consistent with the consumer's preferences and needs and the consumer's IPP; and 7. Coordination with the regional center and others. In order to accomplish these duties, selection criteria for hiring purposes should include but not be limited to: education in the fields of social work, psychology, education of related areas; experience with persons with developmental disabilities; experience in program management, fiscal management and organizational development.
Camping Services	As appropriate, a business license as required by the local jurisdiction where the business is located.	The camp submits to the local health officer either 1) Verification that the camp is	Camp Director Qualifications: must be at least 25 years of age, and have at least two seasons of administrative or supervisory experience in camp activities. Health Supervisor (physician, registered

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	where the business is located.	accredited by the American Camp Association or 2) A description of operating procedures that addresses areas including supervisor qualifications and staff skill verification criteria.	nurse or licensed vocational nurse) employed full time will verify that all counselors have been trained in first aid and CPR.
Child Day Care Facility Child Day Care Center; Family Child Care Home	Health and Safety Code §§ 1596.90 – 1597.621 As appropriate, a business license as required by the local jurisdiction where the business is located.	Child Day Care Center: Title 22 CCR, §§101151-101239.2 Family Child Care Home: Title 22 CCR §§102351.1-102424	The administrator shall have the following qualifications: 1. Attainment of at least 18 years of age. 2. Knowledge of the requirements for providing the type of care and supervision children need and the ability to communicate with such children. 3. Knowledge of and ability to comply with applicable law and regulation. 4. Ability to maintain or supervise the maintenance of financial and other records. 5. Ability to establish the center's policy, program and budget. 6. Ability to recruit, employ, train, direct and evaluate qualified staff.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed)*:

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify):*	Frequency of Verification *(Specify):*
All respite providers	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Licensed Community Care Facilities	Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers	Annually

Service Delivery Method. *(Check each that applies)*:			
☑	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*

Service Title: **Supported Employment- Individual Services**

Service Definition (Scope):

Supported employment services are defined in California Welfare and Institutions Code § 4851 (n), (s) as: paid work that is integrated in the community for individuals with developmental disabilities. Individual services means job coaching and other supported employment services for regional center-funded consumers in a supported employment placement at a job coach-to-consumer ration of one-to-one, and that decrease over time until stabilization is achieved. Individual services may be provided on or off the jobsite. These services are received by eligible adults who are employed in integrated settings in the community. These individuals are unable to maintain this employment without an appropriate level of ongoing employment support services. Transportation services are not included under supported employment individual services.

Supported Employment- Individual Services (defined in California Welfare and Institutions Code §4851(n)(s).

- Training and supervision in addition to the training and supervision the employer normally provides to employees.
- Support services to ensure job adjustment and retention, provided on an individual basis in the community, as defined in California Welfare and Institutions Code §4851(q):
    - Job development – The process of working with a consumer, based on the individual's interests and abilities to identify potential jobs, meet with the hiring business, and assist the consumer to apply for and compete for the job.
    - Job analysis – Classifying each of the required duties of a job to identify the support needed by the consumer.
    - Training in adaptive functional skills
    - Social skill training
    - Ongoing support services – Services that are provided, typically off the job, to assist a consumer with concerns or issues that could affect his or her ability to maintain employment.
    - Family counseling necessary to support the individual's employment
    - Advocacy related to the employment, such as assisting individuals in understanding their benefits
    - Advocacy or intervention to resolve problems affecting the consumer's work adjustment or retention.
- Recipients receiving individual services normally earn minimum wage or above and are on the employer's payroll. Individuals receiving these services usually receive supervision 5-20% of the time by the program. The remainder of the time, the employer provides all supervision and training.

The above described services are not available under a program funded under section 110 of the

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Rehabilitation Act of 1973 (29 USC Section 730) or section 602(16) and (17) of the Individuals with Disabilities Education Act (20 USC 1401(16 and 17).

The reimbursement for Supported Employment (Individual Services) includes incentive payments for measurable milestones identified below:

1. A one-time payment made to a provider when an individual obtains competitive integrated employment and is still employed after 30 consecutive days.
2. An additional one-time payment to a provider when an individual obtains competitive integrated employment and is still employed after six consecutive months.
3. An additional one-time payment to a provider when an individual has been employed consecutively for one year.

Federal financial participation is not claimed for incentive payments, subsidies, or unrelated vocational training expenses such as the following:

1. Incentive payments made to an employer to encourage or subsidize the employer's participation in supported employment; or
2. Payments that are passed through to users of supported employment services.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:

☐	Categorically needy *(specify limits)*:
☐	Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Supported Employment Programs	No state licensing category. Federal/State Tax Exempt Letter. As appropriate, a business license as required by the local jurisdiction where the business is located.	Programs must initially meet the Department of Rehabilitation Program certification standards and be accredited by CARF within four years of providing services pursuant to Title §58810(f)(1)(2).	N/A

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
Supported Employment Programs	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*	
Service Title:	**Prevocational Services**
Service Definition (Scope):	

Prevocational services are services that are delivered for the purpose of furthering habilitation goals of learning and work experience through a habilitation service plan required by 17 CCR § 58812 to outline a specific path to competitive, integrated employment in the community. The service plan is to be reviewed not less than annually or more frequently if requested by the individual.

Services are intended to develop and teach general skills that lead to competitive and integrated employment including, but not limited to: ability to communicate effectively with supervisors, co-workers and customers; generally accepted community work place conduct and dress; ability to follow directions; ability to attend to asks; work place problem solving skills and strategies; general work place safety and mobility training. Additionally, both work adjustment and supportive habilitation services as defined in Title 17 CCR § 58820 (c)(2), should allow for the development of productive skills, physical and psychomotor skills, interpersonal and communicative skills, health and hygiene maintenance, personal safety practices, self-advocacy training, and other skills aimed at maintaining a job and as outlined in the individual's person-centered services and supports plan. Individuals may be compensated based upon their performance and upon prevailing wage. However, compensation is not the sole purpose of participation in this service.

Prevocational services are designed to prepare individuals in non-job-task-specific strengths and skills that contribute towards obtaining a competitive and integrated employment, as opposed to vocational services whose sole purpose is to provide employment without habilitation goals geared towards skill building.

Transportation services are not included under Prevocational Services.

Federal financial participation is not claimed for incentive payments, subsidies, or unrelated vocational training expenses such as incentive payments made to an employer to encourage or subsidize the employer's participation in supported employment; or payments that are passed through to users of supported employment services.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*	
Service Title:	**Supported Employment- Group Services**
Service Definition (Scope):	

Supported employment services are defined in California Welfare and Institutions Code § 4851(n), (r), and (s). These services are received by eligible adults who are employed in integrated settings in the community. These individuals are unable to maintain this employment without an appropriate level of ongoing employment support services.

- Supported Employment- Group Services (defined in California Welfare and Institutions Code §4851(r) means services shall be limited to the following:
  - Job coaching provided at the worksite
  - Employment placements at a job coach-to-consumer ratio of not less than one-to-three nor more than one-to-eight except for those groups that may be authorized by the passage of the Trailer Bill to the Budget Act Fiscal Year 2004-05 to grand-father specific groups at a one-to-three consumer to job coach ratio
- Recipients in group-supported employment receive supervision 100% of the time by the program and usually are paid according to productive capacity. A particular individual may be compensated at a minimum wage or at a rate less than minimum wage.

The above described services are not available under a program funded under section 110 of the Rehabilitation Act of 1973 (29 USC Section 730) or section 602(16) and (17) of the Individuals with Disabilities Education Act (20 USC 1401(16 and 17).

Additional needs-based criteria for receiving the service, if applicable *(specify):*	
Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies):*	
☐	Categorically needy *(specify limits):*
☐	Medically needy *(specify limits):*
Provider Qualifications *(For each type of provider. Copy rows as needed)*:	

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Supported Employment Programs	No state licensing category. Federal/State Tax Exempt Letter. As appropriate, a business license as required by the local jurisdiction where the business is located.	Programs must initially meet the Department of Rehabilitation Program certification standards and be accredited by CARF within four years of providing services.	N/A

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed)*:

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
Supported Employment Programs	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.
Supported Employment Programs	Commission on Accreditation of Rehabilitation Facilities (CARF)	Within four years at start-up; every one to three years thereafter

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*	
Service Title:	**Prevocational Services**
Service Definition (Scope):	

- Work activity programs are defined in California Welfare and Institutions Code §4851(e). These services are usually provided in a segregated setting and provide a sufficient amount and variety of work to prepare and maintain eligible adult individuals at their highest level of vocational functioning. Individuals receive compensation based upon their performance and upon prevailing wage. Accordingly, the rate of compensation for any individual varies, and may exceed 50% of minimum wage, because of variations in the prevailing wage rate for particular tasks and the individual's performance. Services are limited to:

  - Work services consisting of remunerative employment which occur no less than 50% of the individual's time in program, as defined in Title 17, California Code of Regulations, Section 58820(c)(1).

  - No more than 50% of the individual's time in program can be spent in a combination of work adjustment and supportive habilitation services.

  - Work adjustment services, as defined in Title 17, California Code of Regulations, Section 58820(c)(2)(A)(1-9), consisting of:

    - Physical capacities development
    - Psychomotor skills development
    - Interpersonal and communicative skills
    - Work habits development
    - Development of vocationally appropriate dress and grooming
    - Productive skills development
    - Work practices training
    - Work-related skills development
    - Orientation and preparation for referral to Vocational Rehabilitation.

  - Supportive habilitation services as defined in Title 17, California Code of Regulations,

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

The above-described services are not available under a program funded under section 110 of the Rehabilitation Act of 1973 (29 USC Section 730) or section 602(16) and (17) of the Individuals with Disabilities Education Act (20 U.S.C. 1401 (16 and 17)).	
Additional needs-based criteria for receiving the service, if applicable *(specify)*:	
Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:	
☐	Categorically needy *(specify limits)*:
☐	Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Work Activity Program	Facility license (Health and Safety Code §§ 1500-1567.8) if applicable Federal/State Tax Exempt Letter. As appropriate, a business license as required by the local jurisdiction where the business is located	Programs must initially meet the Department of Rehabilitation Program certification standards and be accredited by CARF within four years of providing services.	N/A
Supported Employment Programs (Agency)	No state licensing category. Federal/State Tax Exempt Letter. As appropriate, a business license as required by the local jurisdiction where the business is located.	Programs must initially meet the Department of Rehabilitation Program certification standards and be accredited by CARF within four years of providing services pursuant to Title 17 § 58810(f)(1)(2).	

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):		
Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
Work Activity Programs	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.
Work Activity Programs	Commission on Accreditation of Rehabilitation Facilities (CARF)	Within four years at start-up; every one to three years thereafter

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover)*:	
Service Title:	**Homemaker**
Service Definition (Scope):	
Services consisting of general household activities (meal preparation and routine household care) provided by a trained homemaker, when the individual regularly responsible for these activities is temporarily absent or unable to manage the home and care for him or herself or others in the home. Homemaker services will not supplant services available through the approved Medicaid State plan or the EPSDT benefit.	
Additional needs-based criteria for receiving the service, if applicable *(specify)*:	
Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:	
☑	Categorically needy *(specify limits)*:
	1915(i) Homemaker services will be a continuation of services beyond the amount, duration and scope of the Personal Care Services Program State Plan benefit.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

☑	Medically needy *(specify limits):*
	1915(i) Homemaker services will be a continuation of services beyond the amount, duration and scope of the Personal Care Services Program State Plan benefit.

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Individual	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Individual providers of homemaker services shall have the ability to maintain, strengthen, or safeguard the care of individuals in their homes.
Service Agency	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Must employ, train and assign personnel who maintain, strengthen, or safeguard the care of individuals in their homes.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
Individual and Service Agency	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	for the performance or operation of the service; the staff qualifications and duty statements; and service design.	

Service Delivery Method. *(Check each that applies)*:			
☐	Participant-directed	☐	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*	
Service Title:	**Home Health Aide Services**
Service Definition (Scope)*:*	
Services defined in 42 CFR §440.70 that are provided when home health aide services furnished under the approved State plan limits are exhausted. Home health aide services will not supplant services available through the approved Medicaid State plan or the EPSDT benefit. The scope and nature of these services do not differ from home health aide services furnished under the State plan. Services are defined in the same manner as provided in the approved State plan. The provider qualifications specified in the State plan apply.	
Additional needs-based criteria for receiving the service, if applicable *(specify):*	
Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies):*	
☑	Categorically needy *(specify limits):*
	1915(i) Home Health Aide services will be a continuation of services beyond the amount, duration and scope of the State Plan benefit.
☑	Medically needy *(specify limits):*
	1915(i) Home Health Aide services will be a continuation of services beyond the amount, duration and scope of the State Plan benefit.

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify):*	Certification *(Specify):*	Other Standard *(Specify):*
Home Health Agency	Health and Safety Code §§1725-1742 As appropriate, a business license as	Medi-Cal certification using Medicare standards, Title 22, CCR, §51217.	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	required by the local jurisdiction where the business is located.		
Home Health Aide	Health and Safety Code §§1725-1742 As appropriate, a business license as required by the local jurisdiction where the business is located.	Title 22, CCR § 74746 Complete a training program approved by the California Department of Public Health and is certified pursuant to Health and Safety Code § 1736.1.	N/A

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed)*:

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify):*	Frequency of Verification *(Specify):*
Home Health Agency, Home Health Aide	California Department of Public Health Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	No less than every three years Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title from the options for HCBS State plan services in Attachment 4.19-B):*

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Service Title:	**Community Based Adult Services**
Service Definition (Scope):	
Services furnished four or more hours per day on a regularly scheduled basis, for one or more days per week, in the community, encompassing both health and social services needed to ensure the optimal functioning of the individual. Meals provided as part of these services shall not constitute a "full nutritional regimen" (3 meals per day). Physical, occupational and speech therapies indicated in the individual's plan of care will be furnished as component parts of this service. Community Based Adult Services will not supplant services available through the approved Medicaid State plan, 1115 Medi-Cal 2020 Demonstration Waiver or the EPSDT benefit. Transportation between the individual's place of residence and the community based adult services center will be provided as a component part of community based adult services. The cost of this transportation is included in the rate paid to providers of community based adult services.	
Additional needs-based criteria for receiving the service, if applicable *(specify)*:	
Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:	
☑	Categorically needy *(specify limits)*:
	1915(i) Community Based Adult Services will be a continuation of services beyond the amount, duration and scope of State Plan and/or 1115 demonstration benefit.
☑	Medically needy *(specify limits)*:
	1915(i) Community Based Adult Services will be a continuation of services beyond the amount, duration and scope of State Plan and/or 1115 demonstration benefit.

Specify whether the service may be provided by a *(check each that applies)*:		
	☑	Relative
	☑	Legal Guardian
	☑	Legally Responsible Person

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Adult Day Health Care Center	Health and Safety Code §§1570-1596.5 An appropriate business	Title 22, CCR, §54301	Title 22, CCR, §§ 78201-78233

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	license as required by the local jurisdiction where the agency is located.		

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed)*:

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify):*	Frequency of Verification *(Specify):*
Adult Day Health Care Center	California Department of Public Health (Licensing) California Department of Aging (Certification) Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	At least every two years At least every two years Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title from the options for HCBS State plan services in Attachment 4.19-B):*

Service Title:	**Other - Personal Emergency Response System**

Service Definition (Scope)*:*

PERS is a 24-hour emergency assistance service which enables the recipient to secure immediate assistance in the even of an emotional, physical, or environmental emergency. PERS are individually designed to meet the needs and capabilities of the recipient and includes training, installation, repair, maintenance, and response needs. The following are allowable:
1. 24-hour answering/paging;
2. Beepers;

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

3. Med-alert bracelets;
4. Intercoms;
5. Life-lines;
6. Fire/safety devices, such as fire extinguishers and rope ladders;
7. Monitoring services;
8. Light fixture adaptations (blinking lights, etc.);
9. Telephone adaptive devices not available from the telephone company;
10. Other electronic devices/services designed for emergency assistance.

PERS services are limited to those individuals who have no regular caregiver or companion for periods of time, and who would otherwise require extensive routine supervision. By providing immediate access to assistance, PERS services prevent institutionalization of these individuals. PERS services will only be provided as a service to individuals in a non-licensed environment.

All items shall meet applicable standards of manufacture, design, and installation. Repairs to and maintenance of such equipment shall be performed by the manufacturer's authorized dealers where possible.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:

☐	Categorically needy *(specify limits)*:
☐	Medically needy *(specify limits)*:

Specify whether the service may be provided by a *(check each that applies)*:	☑	Relative
	☑	Legal Guardian
	☑	Legally Responsible Person

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Other - Personal Emergency Response Systems	No state licensing category. An appropriate business license	Certification / registration as appropriate for the type of system being purchased.	Providers shall be competent to meet applicable standards of installation, repair, and maintenance of emergency response systems. Providers shall also be authorized by the manufacturer to install, repair, and maintain such systems if such a manufacturer's authorization program exists.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	as required by the local jurisdiction where the agency is located.		Providers of human emergency response services shall possess or have employed persons who possess current licenses, certifications or registrations as necessary and required by the State of California for persons providing personal emergency response services.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify):*	Frequency of Verification *(Specify):*
Personal Emergency Response Systems	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title from the options for HCBS State plan services in Attachment 4.19-B):*

Service Title: **Other - Vehicle Modification and Adaptation**

Service Definition (Scope)*:*

Vehicle modification and adaptations are devices, controls, or services which enable recipients to increase their independence or physical safety, and which allow the recipient to live in their home. The repair, maintenance, installation, and training in the care and use, of these items are included. Vehicle adaptations must be performed by the manufacturer's authorized dealer. Repairs to and maintenance of such equipment shall be performed by the manufacturer's authorized dealer where possible.

The following types of modifications or adaptations to the vehicle are allowable:

1. Door handle replacements;
2. Door widening;
3. Lifting devices;
4. Wheelchair securing devices;

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

5. Adapted seat devices;
6. Adapted steering, acceleration, signaling, and braking devices; and
7. Handrails and grab bars

Modifications or adaptations to vehicles shall be included if, on an individual basis, the cost effectiveness of vehicle adaptations, relative to alternative transportation services, is established. Adaptations to vehicles are limited to vehicles owned by the recipient, or the recipient's family and do not include the purchase of the vehicle itself.

The recipient's family includes the recipient's biological parents, adoptive parents, stepparents, siblings, children, spouse, domestic partner (in those jurisdictions in which domestic partners are legally recognized), or a person who is legal representative of the recipient.

Vehicle modifications and adaptations will only be provided when they are documented in the individual plan of care and when there is a written assessment by a licensed Physical Therapist or a registered Occupational Therapist.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:

☑	Categorically needy *(specify limits)*:
☐	Medically needy *(specify limits)*:

Specify whether the service may be provided by a *(check each that applies)*:		
	☑	Relative
	☑	Legal Guardian
	☑	Legally Responsible Person

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Vehicle Modification and Adaptation	No state licensing category. An appropriate business license as required by the local jurisdiction for the	Registration with the California Department of Consumer Affairs, Bureau of Automotive Repairs.	Providers shall be competent to meet applicable standards of installation, repair, and maintenance of vehicle adaptations and shall also be authorized by the manufacturer to install, repair, and maintain such systems where possible.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	adaptations to be completed		

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
Vehicle Modification and Adaptation	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

2. **Policies Concerning Payment for State Plan HCBS Furnished by Legally Responsible Individuals, Other Relatives and Legal Guardians.** *(Select one)*:

○	The State does not make payment to legally responsible individuals, other relatives or legal guardians for furnishing state plan HCBS.	
◉	The State makes payment to *(check each that applies)*:	
	☐	**Legally Responsible Individuals.** The State makes payment to legally responsible individuals under specific circumstances and only when the relative is qualified to furnish services. *(Specify (a) the legally responsible individuals who may be paid to furnish such services and the services they may provide; (b) in cases where legally responsible individuals are permitted to furnish personal care or similar services, the State must assure and describe its policies to determine and ensure that the services are extraordinary (over and above that which would ordinarily be provided by a legally responsible individual); (c) how the State ensures that the provision of services by a legally responsible individual is in the best interest of the participant; (d) the State's strategies for ongoing monitoring of the provision of services by legally responsible individuals; and, (e) the controls that are employed to ensure that payments are made only for services rendered)*:
	☑	**Relatives.** The State makes payment to relatives under specific circumstances and only when the relative is qualified to furnish services. *(Specify: (a) the types of relatives who may be paid to furnish such services, and the services they may provide, (b) the specific*

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

		circumstances under which payment is made; (c) the State's strategies for ongoing monitoring of the provision of services by relatives, and; (d) the controls that are employed to ensure that payments are made only for services rendered):
		Any of the services identified in the 1915(i) section of the State Plan may be provided by a recipient's relative if the relative meets all specified provider qualifications. The selection of the relative as a provider will only be done pursuant to applicable law and the assessment and person centered planning process. Regional centers will monitor, with DHCS and DDS oversight and monitoring, service provision and payment.
	☑	**Legal Guardians.** The State makes payment to legal guardians under specific circumstances and only when the guardian is qualified to furnish services. *(Specify: (a) the types of services for which payment may be made, (b) the specific circumstances under which payment is made; (c) the State's strategies for ongoing monitoring of the provision of services by legal guardians, and; (d) the controls that are employed to ensure that payments are made only for services rendered):*
		Any of the services identified in the 1915(i) section of the State Plan may be provided by a recipient's legal guardian if the legal guardian meets all specified provider qualifications. The selection of the legal guardian as a provider will only be done pursuant to applicable law and the assessment and person centered planning process. Regional centers will monitor, with DHCS and DDS oversight and monitoring, service provision and payment.
	☐	**Other policy.** *(Specify)*:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Services

1. State plan HCBS. *(Continue from service list beginning on page 13 and ending on page 62.)*

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*

Service Title: **Speech, Hearing and Language Services**

Service Definition (Scope):

Speech, Hearing and Language services are defined in Title 22, California Code of Regulations, Sections 51096, 51098, and 51094.1 as speech pathology, audiological services, and hearing aids, respectively. Speech pathology services mean services for the purpose of identification, measurement and correction or modification of speech, voice or language disorders and conditions, and counseling related to such disorders and conditions. Audiological services means services for the measurement, appraisal, identification and counseling related to hearing and disorders of hearing; the modification of communicative disorders resulting from hearing loss affecting speech, language and auditory behavior; and the recommendation and evaluation of hearing aids. Hearing aid means any aid prescribed for the purpose of aiding or compensating for impaired human hearing loss.

These services will be provided to individuals age 21 and older as described in the approved Medicaid State plan for individuals under the age of 21. The provider qualifications listed in the plan will apply, and are hereby incorporated into this request by reference. 1915(i) HCBS SPA Speech, Hearing and Language services will not supplant services available through the approved Medicaid State plan or the EPSDT benefit.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:

☐ Categorically needy *(specify limits)*:

☐ Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Speech Pathologist	Business & Professions Code §§ 2532-2532.8 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Audiology	Business & Professions Code §§ 2532-2532.8 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	N/A
Hearing and Audiology Facilities	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	An audiology facility: 1. Employs at least one audiologist who is licensed by the Speech Pathology and Audiology Examining Committee of the Medical Board of California; and 2. Employs individuals, other than 1. above, who perform services, all of whom shall be: • Licensed audiologists; or • Obtaining required professional experience, and whose required professional experience application has been approved by the Speech Pathology and Audiology Examining Committee of the Medical Board of California.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
All Speech, Hearing and Language providers	Regional centers, through the vendorization process, verify providers meet requirements/ qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.
Speech Pathologist	Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board	Biennially.
Audiology	Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board	Biennially if non-dispensing audiologist; annually if dispensing.

Service Delivery Method. *(Check each that applies)*:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*

Service Title: **Dental Services**

Service Definition (Scope):

Dental services are defined in Title 22, California Code of Regulations, Section 51059 as professional services performed or provided by dentists including diagnosis and treatment of malposed human teeth, of disease or defects of the alveolar process, gums, jaws and associated structures; the use of drugs, anesthetics and physical evaluation; consultations; home, office and institutional calls.

These serviceswill be provided to individuals age 21 and older as described in the approved Medicaid State plan for individuals under the age of 21. The provider qualifications listed in the plan will apply, and are hereby incorporated into this request by reference. 1915(i) HCBS SPA Dental Services will not supplant services available through the approved Medicaid State plan or the EPSDT benefit.

Additional needs-based criteria for receiving the service, if applicable *(specify):*

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies):*

☐ Categorically needy *(specify limits):*

☐ Medically needy *(specify limits):*

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify):*	Certification *(Specify):*	Other Standard *(Specify):*
Dentist	Business & Professions Code §§ 1600-1976 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	N/A

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify):*	Frequency of Verification *(Specify):*

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Dentists	Regional centers, through the vendorization process, verify providers meet requirements/ qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.
Dentists	Dental Board of California	Biennially

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*

Service Title: **Optometric/Optician Services**

Service Definition (Scope)*:*

Optometric/Optician Services are defined in Title 22, California Code of Regulations, Sections 51093 and 51090, respectively. Optometric services means any services an optometrist may perform under the laws of this state. Dispensing optician means an individual or firm which fills prescriptions of physicians for prescription lenses and kindred products and fits and adjusts such lenses and spectacle frames. A dispensing optician is also authorized to act on the advice, direction and responsibility of a physician or optometrist in connection with the fitting of a contact lens or contact lenses.

These services will be provided to individuals age 21 and older as described in the approved State plan for individuals under the age of 21. The provider qualifications listed in the plan will apply, and are hereby incorporated into this request by reference. 1915(i) HCBS SPA Optometric/Optician services will not supplant services available through the approved Medicaid State plan or the EPSDT benefit.

Additional needs-based criteria for receiving the service, if applicable *(specify):*

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies):*

☐ Categorically needy *(specify limits):*

☐ Medically needy *(specify limits):*

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify):*	Certification *(Specify):*	Other Standard *(Specify):*
Orthoptic Technician	Business and Professions Codes in Chapter 7,	An orthoptic technician is validly certified by the American	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Optometrist	, Article 3 Sections 3041, 3041.3, 3056, 3057 An optometrist is validly licensed as an optometrist by the California State Board of Optometry As appropriate, a business license as required by the local jurisdiction where the business is located.	Orthoptic Council N/A	N/A

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed)*:

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
All Optometric/Optician service providers	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.
Orthoptic Technician	American Orthoptic Council	Every three years
Optometrist	California State Board of Optometry	Biennially

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover)*:

Service Title: **Prescription Lenses and Frames**

Service Definition (Scope)*:*

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Prescription Lens/Frames are defined in Title 22, California Code of Regulations, Section 51162. Eyeglasses, prosthetic eyes and other eye appliances means those items prescribed by a physician or optometrist for medical conditions related to the eye.

These services will be provided to individuals age 21 and older as described in the approved Medicaid State plan for individuals under the age of 21. The provider qualifications listed in the plan will apply, and are hereby incorporated into this request by reference. 1915(i) HCBS SPA Prescription Lenses and Frames will not supplant services available through the approved Medicaid State plan or the EPSDT benefit.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:

☐ Categorically needy *(specify limits)*:

☐ Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Dispensing Optician	Business and Professions Code §§ 2550-2560. As appropriate, a business license as required by the local jurisdiction where the business is located.	Registered as a dispensing optician by the Division of Allied Health Professions of the Medical Board of California	N/A

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
All Prescription Lens/ Frame providers	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	service design.	
Dispensing Optician	Medical Board of California	Biennially

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*

Service Title: **Psychology Services**

Service Definition (Scope)*:*

Psychology Services are defined in Title 22, California Code of Regulations, Section 51099 as the services of a person trained in the assessment, treatment, prevention, and amelioration of emotional and mental health disorders.

These services will be provided to individuals age 21 and older as described in the approved Medicaid State plan for individuals under the age of 21. The provider qualifications listed in the plan will apply, and are hereby incorporated into this request by reference. 1915(i) HCBS SPA Psychology Services will not supplant services available through the approved Medicaid State plan or the EPSDT benefit.

Additional needs-based criteria for receiving the service, if applicable *(specify):*

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies):*

☐ Categorically needy *(specify limits):*

☐ Medically needy *(specify limits):*

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify):*	Certification *(Specify):*	Other Standard *(Specify):*
Clinical Psychologist	Business and Professions Code, §§2940-2948 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):		
Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
Clinical Psychologists	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.
Clinical Psychologist	Board of Psychology	Biennially

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover)*:

Service Title: **Chore Services**

Service Definition (Scope):

Services needed to maintain the home in a clean, sanitary and safe environment. This service includes heavy household chores such as washing floors, windows and walls, tacking down loose rugs and tiles, moving heavy items of furniture in order to provide safe access and egress, and minor repairs such as those which could be completed by a handyman. These services will be provided only in cases where neither the individual, nor anyone else in the household, is capable of performing or financially providing for them, and where no other relative, caregiver, landlord, community/volunteer agency, or third party payor is capable of or responsible for their provision. In the case of rental property, the responsibility of the landlord, pursuant to the lease agreement, will be examined prior to any authorization of service.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:

☐	Categorically needy *(specify limits)*:
☐	Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Individual	As appropriate for the services	N/A	Individual chore service providers shall possess the following minimum qualifications:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Individual	to be done. As appropriate, a business license as required by the local jurisdiction where the business is located.		1. The ability to perform the functions required in the individual plan of care; 2. Demonstrate dependability and personal integrity.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
Individual	Regional centers, through the vendorization process, verify providers meet requirements/ qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

Service Delivery Method. *(Check each that applies)*:

☐ Participant-directed ☑ Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover)*:

Service Title: **Communication Aides**

Service Definition (Scope):

Communication aides are those human services necessary to facilitate and assist persons with hearing, speech, or vision impairment to be able to effectively communicate with service providers, family, friends, co-workers, and the general public. The following are allowable communication aides, as specified in the recipient's plan of care:

1. Facilitators;
2. Interpreters and interpreter services; and
3. Translators and translator services.

Communication aide services include evaluation for communication aides and training in the use of communication aides.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:

☐ Categorically needy *(specify limits)*:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

☐	Medically needy *(specify limits):*

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Facilitators	No state licensing category. An appropriate business license as required by the local jurisdiction for the adaptations to be completed.	N/A	Qualifications and training as appropriate.
Interpreter	No state licensing category. An appropriate business license as required by the local jurisdiction for the adaptations to be completed.	N/A	1. Fluency in both English and a language other than English; and 2. The ability to read and write accurately in both English and a language other than English.
Translator	No state licensing category. An appropriate business license as required by the local jurisdiction for the adaptations to be completed.	N/A	1. Fluency in both English and a language other than English; and 2. The ability to read and write accurately in both English and a language other than English.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
All Communication Aid providers	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Service Delivery Method. *(Check each that applies)*:			
☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*	
Service Title:	**Environmental Accessibility Adaptations**
Service Definition (Scope)*:*	
Those physical adaptations to the home, required by the individual's plan of care, which are necessary to ensure the health, welfare and safety of the individual, or which enable the individual to function with greater independence in the home, and without which, the individual would require institutionalization. Such adaptations may include the installation of ramps and grab-bars, widening of doorways, modification of bathroom facilities, or installation of specialized electric and plumbing systems which are necessary to accommodate the medical equipment and supplies which are necessary for the welfare of the individual. Excluded are those adaptations or improvements to the home which are of general utility, and are not of direct medical or remedial benefit to the individual, such as carpeting, roof repair, central air conditioning, etc. Adaptations which add to the total square footage of the home are excluded form this benefit. All services shall be provided in accordance with applicable State or local building codes. It may be necessary to make environmental modifications to an individual's home before he/she transitions from an institution to the community. Such modifications may be made while the person is institutionalized. Environmental modifications, included in the individual's plan of care, may be furnished up to 180 days prior to the individual's discharge from an institution. However, such modifications will not be considered complete until the date the individual leaves the institution and is determined eligible for 1915(i) State Plan Services. In the event an individual dies before the relocation can occur, but after the modifications have been made, the State will claim FFP at an administrative rate for services that would have been necessary for relocation to have taken place.	
Additional needs-based criteria for receiving the service, if applicable *(specify):*	
Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies):*	
☐	Categorically needy *(specify limits):*
☐	Medically needy *(specify limits):*

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify):*	Certification *(Specify):*	Other Standard *(Specify):*
Contractor	A current license, certification or	See "License"	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	registration with the State of California as appropriate for the type of modification being purchased.		

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify):* Provider	Entity Responsible for Verification *(Specify):*	Frequency of Verification *(Specify):*
Contractor appropriate for the type of adaption to be completed.	Regional centers, through the vendorization process, verify providers meet requirements/ qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing as needed/ required.

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*	
Service Title:	**Non-Medical Transportation**
Service Definition (Scope)*:*	
Service offered in order to enable individuals eligible for 1915(i) State Plan Services to gain access to other community services, activities and resources, specified by the plan of care. This service is offered in addition to medical transportation required under 42 CFR 431.53 and transportation services under the Medicaid State plan, defined in 42 CFR 440.170(a) (if applicable), and shall not replace them. Non-medical transportation services shall be offered in accordance with the individual's plan of care and shall include transportation aides and such other assistance as is necessary to assure the safe transport of the recipient. Private, specialized transportation will be provided to those individuals who cannot safely access and utilize public transportation services (when available.) Whenever possible, family, neighbors, friends, or community agencies which can provide this service without charge will be utilized. A regional center may offer family members or adult consumers the option to self-direct their own non-medical transportation services.	
Additional needs-based criteria for receiving the service, if applicable *(specify):*	
Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies):*	
☐	Categorically needy *(specify limits):*

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

☐	Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Individual Transportation Provider	Valid California driver's license As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Welfare and Institutions Code Section 4648.
Transportation Company: Transportation Broker; Transportation Provider–Additional Component	As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Welfare and Institutions Code Section 4648.3.
Public Transit Authority	As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Welfare and Institutions Code Section 4648.3.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
All Transportation Providers	Regional centers, through the vendorization process, verify providers meet requirements/ qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

Service Delivery Method. *(Check each that applies)*:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*

Service Title: **Nutritional Consultation**

Service Definition (Scope):

Nutritional Consultation includes the provision of consultation and assistance in planning to meet the nutritional and special dietary needs of the consumers. These services are consultative in nature and do not include specific planning and shopping for, or preparation of meals for consumers.

Additional needs-based criteria for receiving the service, if applicable *(specify):*

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies):*

☐ Categorically needy *(specify limits):*

☐ Medically needy *(specify limits):*

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify):*	Certification *(Specify):*	Other Standard *(Specify):*
Dietitian; Nutritionist	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	Dietician: Valid registration as a member of the American Dietetic Association	Nutritionist must possess a Master's Degree in one of the following: a. Food and Nutrition; b. Dietetics; or c. Public Health Nutrition; or is employed as a nutritionist by a county health department.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify):*	Frequency of Verification *(Specify):*
All Nutritional Consultation providers	Regional centers, through the vendorization process, verify providers meet requirements/ qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	and duty statements; and service design.		
Service Delivery Method. *(Check each that applies)*:			
☑	Participant-directed	☑	Provider managed
Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*			

Service Title:	**Skilled Nursing**
Service Definition (Scope)*:*	
Services listed in the plan of care which are within the scope of the State's Nurse Practice Act and are provided by a registered professional nurse, or licensed practical or vocational nurse under the supervision of a registered nurse, licensed to practice in the State. 1915(i) HCBS SPA Skilled Nursing Services will not supplant services available through the approved Medicaid State plan or the EPSDT benefit. A regional center may offer family members or adult consumers the option to self-direct their own skilled nursing services.	
Additional needs-based criteria for receiving the service, if applicable *(specify):*	
Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies):*	
☐	Categorically needy *(specify limits):*
☐	Medically needy *(specify limits):*

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify):*	Certification *(Specify):*	Other Standard *(Specify):*
Registered Nurse (RN)	Business and Professions Code, §§ 2725-2742 Title 22, CCR, § 51067 As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	N/A
Licensed Vocational Nurse (LVN)	Business and Professions Code, §§ 2859-2873.7 Title 22, CCR, § 51069 As appropriate	N/A	N/A

	business license as required by the local jurisdiction where the business is located.		
Home Health Agency: RN or LVN	Title 22, CCR, §§ 74600 et. seq. **RN:** Business and Professions Code, §§ 2725-2742 Title 22, CCR, § 51067 **LVN:** Business and Professions Code, §§ 2859-2873.7 Title 22, CCR, § 51069 As appropriate, a business license as required by the local jurisdiction where the business is located.	Medi-Cal Certification using Medicare standards Title 22, CCR, §§ 51069-51217.	N/A

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify):*	Frequency of Verification *(Specify):*
All Skilled Nursing Providers	Regional centers, through the vendorization process, verify providers meet requirements/ qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.
Registered Nurse	Board of Registered Nursing, Licensing and regional centers	Every two years
Licensed Vocational Nurse	Board of Vocational Nursing and Psychiatric Technicians, Licensing and regional centers	Every two years

Service Delivery Method. *(Check each that applies)*:

☑	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*

Service Title:	**Specialized Medical Equipment and Supplies**

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Service Definition (Scope):
Specialized Medical Equipment and Supplies include: (a) devices, controls, or appliances, specified in the plan of care, that enable participants to increase their ability to perform activities of daily living; (b) devices, controls, or appliances that enable the participant to perceive, control, or communicate with the environment in which they live; (c) items necessary for life support or to address physical conditions along with ancillary supplies and equipment necessary to the proper functioning of such items; (d) such other durable and non-durable medical equipment not available under the approved Medicaid State plan that is necessary to address participant functional limitations; and, (e) necessary medical supplies not available under the approved Medicaid State plan. The repair, maintenance, installation, and training in the care and use, of these items is also included. Funding for items reimbursed by this State Plan Amendment are in addition to any medical equipment and supplies furnished under the approved Medicaid State plan and exclude those items that are not of direct medical or remedial benefit to the participant. All items shall meet applicable standards of manufacture, design, and installation, and must meet Underwriter's Laboratory or Federal Communications Commission codes, as applicable. Repairs to and maintenance of such equipment shall be performed by the manufacturer's authorized dealer where possible.
Additional needs-based criteria for receiving the service, if applicable *(specify)*:
Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:
☐ Categorically needy *(specify limits)*:
☐ Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Durable Medical Equipment Dealer	If applicable, a current license with the State of California as appropriate for the type of equipment or supplies being purchased. As appropriate, a business license as required by the local jurisdiction where the business is located.	If applicable, a current certification with the State of California as appropriate for the type of equipment or supplies being purchased.	Be authorized by the manufacturer to install, repair and maintain such systems if such a manufacturer's program exists.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

All Specialized Medical Equipment and Supplies Providers	Regional centers, through the vendorization process, verify providers meet requirements/ qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.
Service Delivery Method. *(Check each that applies)*:		
☐ Participant-directed		

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):*

Housing Access Services

Service Definition (Scope):

Housing Access Services includes two components:

A) Individual Housing Transition Services. - These services provide direct support and assistance with activities and processes associated with an individual's preparation for and transition to housing. These services are:
   1. Conducting a tenant screening and housing assessment that identifies the participant's preferences and barriers related to successful tenancy. The assessment may includes collecting information on potential housing transition barriers, and identification of housing retention barriers.
   2. Assisting the individual in developing an individualized housing support plan based upon the housing assessment that addresses identified barriers, includes short and long-term measurable goals for each issue, establishes the participant's approach to meeting the goal, and identifies when other providers or services, both reimbursed and not reimbursed by Medicaid, may be required to meet the goal.
   3. Assisting the individual with the housing application process. Assisting with the housing search process.
   4. Assisting the individual with identifying resources to cover set-up fees for utilities or service access, including telephone, electricity, heating and water, and services necessary for the individual's health and safety, consisting of pest eradication and one-time cleaning prior to occupancy.
   5. Assisting the individual with coordinating resources to identify and address conditions in the living environment prior to move-in that may compromise the safety of the consumer.
   6. Assisting the individual with details of the move including communicating with the landlord to negotiate a move-in date, reading and understanding the terms of the lease, scheduling set-up of utilities and services, and arranging the move of consumers' belongings.
   7. Assisting the individual with the development of a housing support crisis plan that includes prevention and early intervention services when housing is jeopardized.

B) Individual Housing & Tenancy Sustaining Services - This service is made available to support individuals to maintain tenancy once housing is secured. The availability of ongoing housing-related services in addition to other long term services and supports promotes housing success, fosters community integration and inclusion, and develops natural support networks. These tenancy support services are:
   1. Assisting the individual in the early detection and intervention for behaviors that may jeopardize housing, such as late rental payment and other lease violations.
   2. Assisting the individual with education and training on the role, rights and responsibilities of the tenant and landlord.
   3. Coaching the individual on developing and maintaining key relationships with landlords/property managers with a goal of fostering successful tenancy.

4. Assisting the individual in resolving disputes with landlords and/or neighbors to reduce risk of eviction or other adverse action.
5. Assisting the individual with advocacy and linkage with community resources to prevent eviction when housing is, or may potentially become jeopardized.
6. Assisting the individual with the housing recertification process.
7. Assisting the individual in reviewing, updating and modifying their housing support and crisis plan on a regular basis to reflect current needs and address existing or recurring housing retention barriers.
8. Providing the individual with continuous training in being a good tenant and lease compliance, including ongoing support with activities related to household management.

Housing Access Services do not include payment for room and board.

Persons receiving Health Homes or California Community Transitions services will not receive this service unless additional Housing Access through the 1915i is necessary to maintain the consumers' health, safety and wellbeing in the home and/or community.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services.

(Choose each that applies):

Categorically needy *(specify limits)*:

Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Individual/ Business entity	As appropriate, a business license as	N/A	N/A

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	required by the local jurisdiction where the business is located		
Business entity	As appropriate, a business license as required by the local jurisdiction where the business is located	N/A	N/A

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed)*:

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify):*	Frequency of Verification *(Specify):*
Individual	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and biennially thereafter.

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):*

Family Support Services

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Service Definition (Scope):

Provide care and supervision of children, for periods of less than 24 hours per day, while the parents/primary non-paid caregiver are out of the home. This service is provided in the recipient's own home or in an approved out of home location to do all of the following:

1. Assist family members in maintaining the recipient at home;
2. Provide appropriate care and supervision to protect the recipient's safety in the absence of family members;
3. Relieve family members from the constantly demanding responsibility of caring for a recipient; and
4. Attend to the recipient's basic self-help needs and other activities of daily living, including interaction, socialization, and continuation of usual daily routines which would ordinarily be performed by family members.

Family support services may only be provided when the care and supervision needs of a consumer exceed that of a person of the same age without developmental disabilities. Additionally payment may only be made when the cost of the service exceeds the cost of providing services to a person of the same age without disabilities.

A regional center may offer family members the option to self-direct their own family support services.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services.

(Choose each that applies):

Categorically needy *(specify limits)*:

Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Child Day Care Facility; Child Day Care Center; Family Child Care Home (Individual/Agency)	Licensed Child Day Care Facility by the Department of Social Services pursuant to Health and Safety Code §§ 1596.90 – 1597.621 As appropriate, a business license as required by the local jurisdiction where the business is located.	Child Day Care Center: Title 22 CCR, §§101151-101239.2 Family Child Care Home: Title 22 CCR §§102351.1-102424	Licensing requirements listed under HSC 1596.95 The administrator shall have the following qualifications: 1. Attainment of at least 18 years of age. 2. Knowledge of the requirements for providing the type of care and supervision children need and the ability to communicate with such children. 3. Knowledge of and ability to comply with applicable law and regulation. 4. Ability to maintain or supervise the maintenance of financial and other records. 5. Ability to establish the center's policy, program and budget. 6. Ability to recruit, employ, train, direct and evaluate qualified staff.
Individual	No state licensing category. As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Has received Cardiopulmonary Resuscitation (CPR) and First Aid training from agencies offering such training. Must have the skill, training, or education necessary to perform the required services.

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Business entity	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design. Department of Social Services – Community Care Licensing Division (DSS-CCLD) and regional centers.	Verified upon application for vendorization and biennially thereafter.

Service Delivery Method. *(Check each that applies)*:

☑	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):*

Occupational Therapy

Service Definition (Scope):

Occupational Therapy services are defined in Title 22, California Code of Regulations, Sections 51085, and 51309 as services designed to restore or improve a person's ability to undertake activities of daily living when those skills are impaired by developmental or psychosocial disabilities, physical illness or advanced age. Occupational therapy includes evaluation, treatment planning, treatment, instruction and consultative services.

All medically necessary occupational therapy services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Occupational therapy in this 1915i is only provided to individuals age 21 and over and only when the limits of occupational therapy services furnished under the approved state plan are exhausted. Occupational therapy services in the approved state plan are limited to a maximum of two services in any one calendar month or any combination of two services per month from the following services: audiology, acupuncture, chiropractic, psychology, podiatry, and speech therapy or the amount determined medically necessary.

Additional needs-based criteria for receiving the service, if applicable *(specify):*

Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services.

(Choose each that applies):

Categorically needy *(specify limits):*

Medically needy *(specify limits):*

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Occupational Therapist (Individual/Agency)	Occupational Therapist: Licensed Occupational Therapist by the California Board of Occupational Therapy pursuant to Business and Professions Code §§2570-2571 An appropriate business license as required by the local jurisdiction for the adaptations to be completed.		
Occupational Therapist Assistant (Agency)	Occupational Therapist Assistant: Licensed Occupational		

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	Therapist by the California Board of Occupational Therapy pursuant to Business and Professions Code §§2570-2571 An appropriate business license as required by the local jurisdiction for the adaptations to be completed.		

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
Business entity	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and biennially thereafter.

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):*

Physical Therapy

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Service Definition (Scope):

Physical Therapy services are defined in Title 22, California Code of Regulations, Sections 51081, and 51309 as services of any bodily condition by the use of physical, chemical, and or other properties of heat, light, water, electricity or sound, and by massage and active, resistive or passive exercise. Physical therapy includes evaluation, treatment planning, treatment, instruction, consultative services, and application of topical medications.

All medically necessary physical therapy services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Physical therapy in this waiver is only provided to individuals age 21 and over and only when the limits of physical therapy services furnished under the approved state plan are exhausted. Physical therapy services in the approved state plan are limited to six month treatments and may be renewed if determined medically necessary.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services.

(Choose each that applies):

Categorically needy *(specify limits)*:

Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Physical Therapist (Individual/Agency)	Physical Therapist: Licensed Physical Therapist by the Physical Therapy Board of California pursuant to		

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	Business and Professions Code §§2635-2639.1 An appropriate business license as required by the local jurisdiction for the adaptations to be completed.		
Physical Therapy Assistant (Agency)	Physical Therapy Assistant: Licensed Physical Therapy assistant by the Physical Therapy An appropriate business license as required by the local jurisdiction for the adaptations to be completed.		

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
Business entity	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required	Verified upon application for vendorization and biennially thereafter.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	for the performance or operation of the service; the staff qualifications and duty statements; and service design.	

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the state plans to cover):*

Family/ Consumer Training

Service Definition (Scope)*:*

Family/consumer support and training services are provided, as needed, in conjunction with extended state plan services in this 1915i. These services include training by licensed providers to maintain or enhance the long-term impact of treatment provided. This includes support or counseling for the consumer and/or family to ensure proper understanding of the treatment provided and what supports are needed in the recipient's home environment to enhance the treatments. These services will be provided to individuals age 21 and older.

Additional needs-based criteria for receiving the service, if applicable *(specify):*

Specify limits (if any) on the amount, duration, or scope of this service. Per 42 CFR Section 440.240, services available to any categorically needy recipient cannot be less in amount, duration and scope than those services available to a medically needy recipient, and services must be equal for any individual within a group. States must also separately address standard state plan service questions related to sufficiency of services.

(Choose each that applies):

Categorically needy *(specify limits):*

Medically needy *(specify limits):*

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Dentist, Dental Hygienist, Marriage & Family Therapist, Social Worker, Speech Therapist (Individual/Agency)	Dentist: Licensed Dentist by the Dental Board of California pursuant to Business and Professions Code§§1628-1636.6 Dental Hygienist: Licensed Dental Hygienist by the Dental Hygiene Committee of California pursuant to Business and Professions Code §§1900-1966.6 Marriage & Family Therapist (MFT): Licensed MFT by the California Board of Behavioral Sciences pursuant to Business and Professions Code §§4980-4989		

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	Social Worker: Licensed Social Worker by the California Board of Behavioral Sciences pursuant to Business and Professions Code §§4996-4997.1 Speech Therapist: Licensed Speech-Language Therapist by the Speech-Language Pathology & Audiology & Hearing Aid Dispensers Board pursuant to Business and Professions Code §2532-2532.8 As appropriate, a business license as required by the local jurisdiction where the business is located.		
Occupational Therapist, Occupational Therapy Assistant, Physical	Occupational Therapist and Assistant:	N/A	

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Therapist, Physical Therapy Assistant, Registered Nurse, Licensed Vocational Nurse, (Individual/Agency)	Licensed Occupational Therapist by the California Board of Occupational Therapy pursuant to Business and Professions Code §§2570-2571 Physical Therapist: Licensed Physical Therapist by the Physical Therapy Board of California pursuant to Business and Professions Code §§2635-2639.1 Physical Therapy Assistant: Licensed Physical Therapy assistant by the Physical Therapy Board of California pursuant to Business and Professions Code §§2635-2639.1		

	Licensed Registered Nurse by the California Board of Registered Nursing pursuant to Business and Professions Code §§ 2725-2742 Licensed Vocational Nurse by the California Board of Vocational Nursing and Psychiatric Technicians pursuant to Business and Professions Code §§ 2859-2873.6 2873.7 As appropriate, a business license as required by the local jurisdiction where the business is located.		

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Business entity	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and biennially thereafter.

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Business entity	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and biennially thereafter.

Service Delivery Method. *(Check each that applies)*:

☐	Participant-directed	☑	Provider managed

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Service Delivery Method. *(Check each that applies)*:			
☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*

Service Title: **Transition Set Up Expenses**

Service Definition (Scope):

Transition/Set Up Expenses are one-time, non-recurring set-up expenses to assist individuals who are transitioning from an institution to their own home. These expenses fund some of the initial set-up costs that are associated with obtaining and securing an adequate living environment and address the individual's health and safety needs when he or she enters a new living environment.

"Own home" is defined as any dwelling, including a house, apartment, condominium, trailer, or other lodging that is owned, leased, or rented by the individual.

This service includes necessary furnishings, household items and services that an individual needs for successful transition to community living and may include:

- Security deposits that are required to obtain a lease on an apartment or home;
- Moving expenses;
- Health and safety assurances, such as pest eradication, allergen control or one-time cleaning prior to occupancy;
- Set up fees or non-refundable deposits for utilities (telephone, electricity, heating by gas);
- Essential furnishings to occupy and use a community domicile, such as a bed, table, chairs, window blinds, eating utensils, food preparation items, etc.

These services exclude:

- Items designed for diversionary/recreational/entertainment purposes, such as hobby supplies, television, cable TV access, or VCRs and DVDs.
- Room and board, monthly rental or mortgage expense, regular utility charges, household appliances, and food.

Items purchased through this service are the property of the individual receiving the service and the individual takes the property with him/her in the event of a move to another residence.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Some of these expenses may be incurred before the individual transitions from an institution to the community. In such cases, the Transition/Set Up expenses incurred while the person was institutionalized are not considered complete until the date the individual leaves the institution. Transition/Set Up expenses included in the individual's plan of care may be furnished up to 180 days prior to the individual's discharge from an institution. However, such expenses will not be considered complete until the date the individual leaves the institution and is determined eligible for 1915(i) State Plan Services.

In the event an individual dies before the relocation can occur, but after the expenses have been incurred, the State will claim FFP at the administrative rate for services which would have been necessary for relocation to have taken place.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:

☐ Categorically needy *(specify limits)*:

☐ Medically needy *(specify limits)*:

Provider Qualifications *(For each type of provider. Copy rows as needed)*:

Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Public Utility Agency Retail and Merchandise Company Health and Safety agency Individual (landlord, property management) Moving Company	As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	N/A

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):

Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
All Transition/Set Up Providers	Regional centers, through the vendorization process, verify providers meet requirements/ qualifications outlined in Title 17, CCR, § 54310	Verified upon application for vendorization and ongoing thereafter through oversight and

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	Including the following, as applicable: any license, credential, registration, certificate, permit or academic degree required for the performance or operation of the service; the staff qualification and duty statements; and service design.	monitoring activities

Service Delivery Method. *(Check each that applies)*:			
☐	Participant-directed	☑	Provider managed

Service Specifications *(Specify a service title for the HCBS listed in Attachment 4.19-B that the State plans to cover):*	
Service Title:	**Community-Based Training Service**
Service Definition (Scope)*:*	

Community-based training service is a participant-directed service that allows recipients the opportunity to customize day services to meet their individualized needs. As determined by the person-centered individual program planning process, the service may include opportunities and assistance to: further the development or maintenance of employment and volunteer activities; pursue post-secondary education; and increase recipients' ability to lead integrated and inclusive lives. These services provide assistance with acquisition, retention, or improvement in self-help, socialization and adaptive skills. These services enable the individual to attain or maintain his or her maximum functional level and shall be coordinated with any physical, occupational, or speech therapies listed in the plan of care.

Educational services consist of special education and related services as defined in Sections (22) and (25) of the Individuals with Disabilities Education Improvement Act of 2004 (IDEA) (20 U.S.C. 1401 et seq.), to the extent to which they are not available under a program funded by IDEA. Documentation is maintained in the file of each individual receiving this service that the service is not otherwise available under section 110 of the Rehabilitation Act of 1973 or the IDEA.

Federal financial participation is not claimed for incentive payments, subsidies, or unrelated vocational training expenses such as the following:

1. Incentive payments made to an employer to encourage or subsidize the employer's participation in supported employment; or
2. Payments that are passed through to users of supported employment services.

Additional needs-based criteria for receiving the service, if applicable *(specify):*

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies):*			
☑	Categorically needy *(specify limits):*		
	Community-based training services are limited to a maximum of 150 hours per quarter.		
☑	Medically needy *(specify limits):*		
	Community-based training services are limited to a maximum of 150 hours per quarter.		
Provider Qualifications *(For each type of provider. Copy rows as needed)*:			
Provider Type *(Specify)*:	License *(Specify):*	Certification *(Specify):*	Other Standard *(Specify):*
Community-Based Training Provider	As appropriate, a business license as required by the local jurisdiction where the business is located.	N/A	Providers of community-based training service shall be an adult who possesses the skill, training, and experience necessary to provide services in accordance with the individual program plan.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):		
Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
Community-Based Training Provider	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

Service Delivery Method. *(Check each that applies)*:			
☑	Participant-directed	☐	Provider managed

Service Specifications *(Specify a service title from the options for HCBS State plan services in Attachment 4.19-B)*:

Service Title:	**Financial Management Services**
Service Definition (Scope):	

Financial Management Services (FMS) are designed to serve as a fiscal intermediary that performs financial transactions (paying for goods and services and/or processing payroll for adult consumers' or their families' workers included in the IPP) on behalf of the consumer. FMS is an important safeguard because it ensures that consumers are in compliance with Federal and state tax, labor, workers' compensation insurance and Medicaid regulations. The term "Financial Management Services" or "FMS" is used to distinguish this important participant direction support from the activities that are performed by intermediary organizations that function as Medicaid fiscal agents.

All FMS services shall:

1. Assist the family member or adult consumer in verifying worker citizenship status.
2. Collect and process timesheets of workers.
3. Process payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance.
4. Track, prepare and distribute reports (e.g., expenditure) to appropriate individual(s)/entities.
5. Maintain all source documentation related to the authorized service(s) and expenditures.
6. Maintain a separate accounting for each participant's participant-directed funds.

Additional needs-based criteria for receiving the service, if applicable *(specify)*:

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:			
☐	Categorically needy *(specify limits)*:		
☐	Medically needy *(specify limits)*:		
Specify whether the service may be provided by a *(check each that applies)*:		☐	Relative
		☐	Legal Guardian
		☐	Legally Responsible Person

Provider Qualifications *(For each type of provider. Copy rows as needed)*:			
Provider Type *(Specify)*:	License *(Specify)*:	Certification *(Specify)*:	Other Standard *(Specify)*:
Financial Management Services Provider	Business license, as appropriate		

Verification of Provider Qualifications (*For each provider type listed above. Copy rows as needed*):		
Provider Type *(Specify)*:	Entity Responsible for Verification *(Specify)*:	Frequency of Verification *(Specify)*:
All FMS providers	Regional centers, through the vendorization process, verify providers meet requirements/qualifications outlined in Title 17, CCR, § 54310 including the following, as applicable: any license, credential, registration, certificate, permit, or academic degree required for the performance or operation of the service; the staff qualifications and duty statements; and service design.	Verified upon application for vendorization and ongoing thereafter through oversight and monitoring activities.

Service Delivery Method. *(Check each that applies)*:			
☑	Participant-directed	☐	Provider managed

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Methods and Standards for Establishing Payment Rates

1. **Services Provided Under Section 1915(i) of the Social Security Act.** For each optional service, describe the methods and standards used to set the associated payment rate. *(Check each that applies, and describe methods and standards to set rates*): **See attachment 4.19-B for descriptions of the rate setting methodologies for the services identified below.**

☑	Habilitation – Community Living Arrangement Services	
☑	Habilitation - Day Services	
☑	Habilitation – Behavioral Intervention Services	
☑	Respite Care	
☑	Enhanced Habilitation - Supported Employment	
☑	Enhanced Habilitation – Prevocational Services	
☐	Personal Care Services	
☑	Homemaker	
☑	Home Health Aide	
☑	Community Based Adult Services	
☑	Other Services	
	☑	HCBS Personal Emergency Response Systems –
	☑	HCBS Vehicle Modification and Adaptation –
	☑	HCBS Speech, Hearing and Language Services
	☑	HCBS Dental Services
	☑	HCBS Optometric/Optician Services
	☑	HCBS Prescription Lenses and Frames
	☑	HCBS Psychology Services
	☑	HCBS Chore Services
	☑	HCBS Communication Aides
	☑	HCBS Environmental Accessibility Adaptations
	☑	HCBS Non-Medical Transportation
	☑	HCBS Nutritional Consultation
	☑	HCBS Skilled Nursing

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

	☑	HCBS Specialized Medical Equipment and Supplies
	☑	
	☑	HCBS Transition/Set-Up Expenses
	☑	HCBS Community-Based Training Services
	☑	HCBS Financial Management Services
	☑	HCBS Family Support Services
	☑	HCBS Housing Access Services
	☑	HCBS Occupational Therapy
	☑	HCBS Physical Therapy
	☑	HCBS Family/Consumer Training

2. **Presumptive Eligibility for Assessment and Initial HCBS.** Period of presumptive payment for HCBS assessment and initial services, as defined by 1915(i)(1)(J) *(Select one):*

◉	The State does not elect to provide for a period of presumptive payment for individuals that the State has reason to believe may be eligible for HCBS.
○	The State elects to provide for a period of presumptive payment for independent evaluation, assessment, and initial HCBS. Presumptive payment is available only for individuals covered by Medicaid that the State has reason to believe may be eligible for HCBS, and only during the period while eligibility for HCBS is being determined. The presumptive period will be [ ] days (not to exceed 60 days).

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

Participant-Direction of Services

Definition: Participant-direction means self-direction of services per §1915(i)(1)(G)(iii).

1. **Election of Participant-Direction**. (S*elect one):*

○	The State does not offer opportunity for participant-direction of state plan HCBS.
○	Every participant in HCBS state plan services (or the participant's representative) is afforded the opportunity to elect to direct services. Alternate service delivery methods are available for participants who decide not to direct their services.
◉	Participants in HCBS state plan services (or the participant's representative) are afforded the opportunity to direct some or all of their services, subject to criteria specified by the State. *(Specify criteria):*
	Participants who receive respite, community-based training services, skilled nursing or non-medical transportation have the opportunity to direct those services.

2. **Description of Participant-Direction.** *(Provide an overview of the opportunities for participant-direction under the HCBS State Plan option, including: (a) the nature of the opportunities afforded; (b) how participants may take advantage of these opportunities; (c) the entities that support individuals who direct their services and the supports that they provide; and, (d) other relevant information about the approach to participant-direction):*

In support of personal control over supports and services, self-direction is an option that enables participants to procure their own services. Self-direction of services empowers participants and families by giving them direct control over how and when the services are provided. Families and consumers will have the freedom to directly control and decision making authority over how and when the services are provided as an alternative to receiving services provided by staff hired by an authorized agency through the regional center.

For those participants who receive respite, skilled nursing, non-medical transportation, and/or community-based training services identified as a need in their IPP, the opportunity to self-direct those services will be offered at the time of the IPP development. As required by Title 17, CCR section 58886, when the decision to self-direct services is made, the regional center is required to provide the consumer/family member with information regarding their responsibilities and functions as either an employer or co-employer. For those selecting to self-direct the indicated services, a Financial Management Service (FMS) provider, vendored by the regional center, will perform selected administrative functions such as payroll, taxes, unemployment insurance, etc. This relieves the participant of the burden of these administrative functions while still having the freedom exercise decision making authority over the provision of services.

3. **Participant-Directed Services**. *(Indicate the HCBS that may be participant-directed and the authority offered for each. Add lines as required):*

Participant-Directed Service	Employer Authority	Budget Authority
Respite	☑	☐
Community-Based Training Services	☑	☐
Skilled Nursing	☑	☐
Non-medical Transportation	☑	☐

4. **Financial Management.** (*Select one):*

○	Financial Management is not furnished. Standard Medicaid payment mechanisms are used.
◉	Financial Management is furnished as a covered service entitled "Financial Management Service" as described in this amendment..

5. ☑ **Participant–Directed Service Plan.** The State assures that, based on the independent assessment, a person-centered process produces an individualized plan of care for participant-directed services that:
   - Is directed by the individual or authorized representative and builds upon the individual's preferences and capacity to engage in activities that promote community life;
   - Specifies the services to be participant-directed, and the role of family members or others whose participation is sought by the individual or representative;
   - For employer authority, specifies the methods to be used to select, manage, and dismiss providers;
   - For budget authority, specifies the method for determining and adjusting the budget amount, and a procedure to evaluate expenditures; and
   - Includes appropriate risk management techniques.

6. **Voluntary and Involuntary Termination of Participant-Direction.** *(Describe how the State facilitates an individual's transition from participant-direction, and specify any circumstances when transition is involuntary):*

Participants may choose to switch to non-participant-directed services at any time. In some instances, there may not be agreement with the decision to terminate participant-direction of services. In these instances, the regional center would issue a notice of action and the participant would have the opportunity for a fair hearing. Regardless of the reason for termination of participant-direction, a planning team meeting is held to update the individual program plan and facilitate the transition from participant-direction to prevent a break in services.

State Plan Under Title XIX of the Social Security Act
STATE/TERRITORY: CALIFORNIA

7. Opportunities for Participant-Direction

a. Participant–Employer Authority (individual can hire and supervise staff). (*Select one):*

○	The State does not offer opportunity for participant-employer authority.	
◉	Participants may elect participant-employer Authority *(Check each that applies):*	
	☑	**Participant/Co-Employer**. The participant (or the participant's representative) functions as the co-employer (managing employer) of workers who provide state plan services. An agency is the common law employer of participant-selected/recruited staff and performs necessary payroll and human resources functions. Supports are available to assist the participant in conducting employer-related functions.
	☑	**Participant/Common Law Employer**. The participant (or the participant's representative) is the common law employer of workers who provide state plan services. An IRS-approved Fiscal/Employer Agent functions as the participant's agent in performing payroll and other employer responsibilities that are required by federal and state law. Supports are available to assist the participant in conducting employer-related functions.

b. Participant–Budget Authority (individual directs a budget). (*Select one):*

◉	The State does not offer opportunity for participants to direct a budget.
○	Participants may elect Participant–Budget Authority.
	Participant-Directed Budget. *(Describe in detail the method(s) that are used to establish the amount of the budget over which the participant has authority, including how the method makes use of reliable cost estimating information, is applied consistently to each participant, and is adjusted to reflect changes in individual assessments and service plans. Information about these method(s) must be made publicly available and included in the plan of care):*
	Expenditure Safeguards. *(Describe the safeguards that have been established for the timely prevention of the premature depletion of the participant-directed budget or to address potential service delivery problems that may be associated with budget underutilization and the entity (or entities) responsible for implementing these safeguards):*

Quality Management Strategy

(Describe the State's quality management strategy in the table below):

Requirement	**Monitoring Activity** *(What)*	**Monitoring Responsibilities** *(Who)*	**Evidence** *(Data Elements)*	**Management Reports** *(Yes/No)*	**Frequency** *(Mos/Yrs)*
Service plans address assessed needs of enrolled participants, are updated annually, and document choice of services and providers.	A random sample of IPPs will be reviewed to ensure all requirements are met. Sample size will represent a 95% confidence level with no more than a 5% margin of error.	DDS and DHCS	Number and percent of reviewed individual program plans (IPPs) that adequately addressed the consumers' assessed needs. Numerator = number of consumer IPPs reviewed that addressed all assessed needs. Denominator = total number of consumer IPPs reviewed.	Yes.	Biennially
	A random sample of IPPs will be reviewed to ensure all requirements are met. Sample size will represent a 95% confidence level with no more than a 5% margin of error.	DDS and DHCS	Number and percent of consumer IPPs that addressed the consumer's identified health needs and safety risks. Numerator = number of consumer IPPs reviewed that addressed the consumers' identified health needs and safety risks. Denominator = total number of consumer IPPs reviewed.	Yes	Biennially
	A random sample of IPPs will be reviewed to ensure all requirements are met. Sample size will represent a 95% confidence level with no more than a 5% margin of error.	DDS and DHCS	Number and percent of consumer IPPs that addressed the consumer's goals. Numerator = number of consumer IPPs reviewed that addressed the consumers' goals. Denominator = total number of consumer IPPs reviewed.	Yes	Biennially

* *Data for this monitoring activity includes consolidated information for both the 1915i and 1915c*

	A random sample of IPPs will be reviewed to ensure all requirements are met. Sample size will represent a 95% confidence level with no more than a 5% margin of error.	DDS and DHCS	Number and percent of consumer IPPs developed in accordance with State policies and procedures. Numerator = number of consumer IPPs developed in accordance with State policies and procedures. Denominator = total number of consumer IPPs reviewed.	Yes	Biennially
	A random sample of IPPs will be reviewed to ensure all requirements are met. Sample size will represent a 95% confidence level with no more than a 5% margin of error.	DDS and DHCS	Number and percent of consumer IPPs that were reviewed or revised at required intervals. Numerator = number of consumer IPPs that were reviewed or revised at required intervals. Denominator = total number of IPPs reviewed.	Yes	Biennially
	A random sample of IPPs will be reviewed to ensure all requirements are met. Sample size will represent a 95%	DDS and DHCS	Number and percent of consumer IPPs that were revised, when needed, to address changing needs. Numerator = number of consumer IPPs that were revised to address change in consumer needs.	Yes	Biennially

* *Data for this monitoring activity includes consolidated information for both the 1915i and 1915c*

	confidence level with no more than a 5% margin of error.		Denominator = number of consumer records reviewed that indicated a revision to the IPP was necessary to address changing need		
	A random sample of IPPs will be reviewed to ensure all requirements are met. Sample size will represent a 95% confidence level with no more than a 5% margin of error.	DDS and DHCS	Number and percent of consumers who received services, including the type, scope, amount, duration and frequency, specifically identified in the IPP. Numerator = number of consumers who received services that matched the services identified in the IPP. Denominator = total number of consumer IPPs reviewed.	Yes	Biennially
	A random sample of IPPs will be reviewed to ensure all requirements are met. Sample size will represent a 95% confidence level with no more than a 5% margin of error.	DDS and DHCS	Number and percent of IPPs that that are signed by the consumer/parent/legal representative indicating agreement with the services and providers identified in the IPP. Numerator = number of IPPs that are signed by the consumer/parent/legal representative. Denominator = total number of IPPs reviewed.	Yes	Biennially

* *Data for this monitoring activity includes consolidated information for both the 1915i and 1915c*

Providers meet required qualifications	Review of Vendor Master File records that indicate regional center verification of provider qualifications.*	DDS	Number and percent of licensed providers that initially meet all required standards prior to furnishing Medicaid services. Numerator = number of providers that initially meet all required standards prior to furnishing Medicaid services. Denominator = number of all providers.	No	Monthly Continuously and Ongoing
Qualified providers (cont.)	Review of Vendor Master File records that indicate regional center verification of provider qualifications.*	DDS	Number and percent of non-licensed/non-certified providers that initially meet all required standards prior to furnishing state plan services. Numerator = number of providers that initially meet all required standards prior to furnishing state plan services. Denominator = number of all providers.	No	Monthly Continuously and Ongoing
Qualified providers (cont.)	Review of facilities licensed by the Department of Social Services (DSS) to determine compliance with regulations regarding provision of services, health and safety and provider qualifications. *	DSS	Number and percent of providers licensed by the Department of Social Services (DSS) reviewed annually. Numerator = number of DSS licensed providers reviewed annually. Denominator = total number of providers licensed by DSS that require annual review.	Yes	Annually

* *Data for this monitoring activity includes consolidated information for both the 1915i and 1915c*

Qualified providers (cont.)	Review of Direct Service Professional (DSP) Training Program report to ensure completion of required training. *	DDS	Number and percent of direct support professionals (DSPs) that successfully complete 70 hours of competency based training within two years of hire. Numerator = number of DSPs who successfully complete the training. Denominator = number of DSPs who are required to take the training.	Yes	Annually
Qualified providers (cont.)	Review of a statistically valid, randomly selected sample of settings to ensure the home and community characteristics required in this state plan are maintained. * California assures that the Performance Measure for ongoing monitoring for HCBS settings included in this renewal will be subject to any provisions or requirements included in California's approved Statewide Transition Plan. These changes will be implemented in the State Plan Benefit upon approval of the Statewide Transition Plan.	DHCS, DDS	Number and percent of settings that meet the HCBS settings requirements. Numerator = number of settings that meet the HCBS settings requirements. Denominator = number of settings reviewed.	Yes	Biennially
The SMA retains authority and responsibility for	Review of policies and procedures to ensure compliance with federal	DHCS	Number and percent of policies and procedures reviewed by the Medicaid Agency found to be in compliance.	Yes.	Continuously and ongoing

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program operations and oversight.	commitments/ requirements.		Numerator = number of policies and procedures reviewed by the Medicaid		

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			Agency that were found to be in compliance. Denominator = total number of policies and procedures reviewed by the Medicaid Agency.		
SMA retains authority (cont.)	Review of a random sample of IPPs to ensure all requirements are met. Sample size will represent a 95% confidence level with no more than a 5% margin of error.	DHCS	Number and percent of consumer IPPs developed in accordance with State policies and procedures. Numerator = number of consumer IPPs developed in accordance with State policies and procedures. Denominator = total number of IPPs reviewed.	Yes	Biennially
SMA retains authority (cont.)	Meetings conducted between the Medicaid Agency, DDS and DSS (As required). *	DHCS, DDS, DSS	Number and percent of required coordination meetings conducted between the Medicaid Agency, DDS and DSS (As required). Numerator = number of coordination meetings conducted. Denominator = total number of planned coordination meetings.	Yes	At least quarterly.
SMA retains authority (cont.)	Oversight/monitoring meetings conducted between the Medicaid Agency and DDS. *	DHCS, DDS	Number and percent of required oversight/monitoring meetings conducted between DDS and the Medicaid agency. Numerator = number of oversight meetings conducted. Denominator = number of planned oversight meetings	Yes	At least semi-annually.

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SMA retains authority (cont.)	DDS Quality Management Executive Committee Meetings *	DHCS, DDS	Number and percent of DDS Quality Management Executive Committee Meetings conducted. Numerator = number of Quality Management Executive Committee Meetings Conducted. Denominator = total number of planned Quality Management Executive Committee Meetings.	Yes	At least semi-annually.
SMA retains authority (cont.)	DDS fiscal audit repayments	State Medicaid Agency Operating Agency	Number and percent of funds identified in DDS fiscal audits for repayment that were recovered. Numerator = dollar amount of funds identified for repayment by DDS audits that were recovered. Denominator = total dollar amount identified for recovery.	Yes	Continuously and ongoing
SMA retains authority (cont.)	DDS fiscal audit repayments	State Medicaid Agency Operating Agency	Number and percent of funds identified in DDS fiscal audits for repayment that were recovered. Numerator = dollar amount of funds identified for repayment by DDS audits that were recovered. Denominator = total dollar amount identified for recovery.	Yes	Continuously and ongoing

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SMA retains authority (cont.)	DDS Client Master File	DDS	Number and percent of consumers who had a a timely needs based evaluation prior to 1915(i) enrollment. Numerator = number of consumers with a timely needs based evaluation prior to 1915(i) enrollment. Denominator = total number of new 1915(i) enrollees.	Yes	Annually
SMA retains authority (cont.)	A random sample of consumer records will ensure that needs-based reevaluations are conducted at least annually. Sample size will represent a 95% confidence level with no more than a 5% margin of error.	DHCS and DDS	Number and percent of needs-based evaluation conducted utilizing the process outlined in the 1915(i) SPA. Numerator = number of consumer records reviewed that documented the needs-based evaluation utilizing the process outlined in the approved 1915(i) SPA. Denominator= total number of consumer records reviewed.	Yes	Biennially
The SMA maintains financial accountability through payment of claims for services that are authorized and furnished to enrolled participants by qualified providers.	Audits of Regional Center	DDS	Number and percent of claims paid in accordance with the reimbursement methodology in the approved state plan. Numerator = number of claims paid in accordance with the reimbursement methodology in the approved state plan. Denominator = total number of claims reviewed.	Yes	Biennially

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Financial accountability (cont.)	Audits of vendors	DDS	Number and percent of claims paid in accordance with the reimbursement methodology in the approved state plan. Numerator = number of claims paid in accordance with the reimbursement methodology in the approved state plan. Denominator = total number of claims reviewed.	Yes	Continuously and Ongoing with randomly selected vendors with expenditures over $100,000 or upon referral.
Financial accountability (cont.)	Audits of vendors	Regional Centers	Number and percent of claims paid in accordance with the reimbursement methodology in the approved state plan. Numerator = number of claims paid in accordance with the reimbursement methodology in the approved state plan. Denominator = total number of claims reviewed.	Yes	Continuously and Ongoing of no less than 4% of the total number of vendors in specified service categories for which payments in the prior year were $100,000 or less.

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Financial accountability (cont.)	Review of a random sample of consumer records. Sample size will represent a 95% confidence level with no more than a 5% margin of error.	DHCS, DDS	Number and percent of claims paid in accordance with the consumer's authorized services. Numerator = number of claims paid in accordance with the consumer's authorized services. Denominator = total number of claims for participants reviewed.	Yes	Biennially
The State demonstrates it has designed and implemented an effective system for assuring participant health and welfare.	Review of Special Incident Report (SIR) database	DDS, Regional Centers	Number and percent of special incidents reported within required timeframes. Numerator = number of special incidents reported within required timeframes. Denominator = number of special incidents reported.	Yes	Monthly
The State demonstrates it has designed and implemented an effective system for assuring participant health and welfare.	Review of a sample of consumer records	DHCS, DDS	Number and percent of special incidents reported within required timeframes. Numerator = number of special incidents reported within required timeframes. Denominator = number of special incidents reported.	Yes	Biennially

* *Data for this monitoring activity includes consolidated information for both the 1915i and 1915c*

The State demonstrates it has designed and implemented an effective system for assuring participant health and welfare. (cont)	Review of Special Incident Report (SIR) database	DDS Regional Centers Independent Risk Management Contractor	Number and percent of special incidents for which appropriate actions were taken. Numerator = number of incident reports that documented appropriate actions were taken. Denominator = number of incidents reported.	Yes	Daily Monthly Continuously and Ongoing
The State demonstrates it has designed and implemented an effective system for assuring participant health and welfare. (cont)	Review of a sample of consumer records	DHCS, DDS	Number and percent of special incidents for which appropriate actions were taken. Numerator = number of incident reports that documented appropriate actions were taken. Denominator = number of incidents reported.	Yes	Biennially
The State demonstrates it has designed and implemented an effective system for assuring participant health and welfare.	Review of Special Incident Report (SIR) database	DDS, Regional Centers Independent Risk Management Contractor	Number and percent of instances in which state policies regarding restrictive interventions were followed. Numerator=number of special incidents reported on use of restrictive interventions in which state policies were followed. Denominator=total number of special incidents reported on use of restrictive interventions.	Yes	Monthly Continuously and Ongoing

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The State demonstrates it has designed and implemented an effective system for assuring participant health and welfare.	Review of a random sample of consumer records. Sample size will represent a 95% confidence level with no more than a 5% margin of error.	DHCS, DDS	Number and percent of consumers whose special health care requirements or safety needs are met. Numerator = number of consumers whose special health care requirements or safety needs are met. Denominator = total number of consumers reviewed with special health care requirements or safety needs.	Yes	Biennially

* *Data for this monitoring activity includes consolidated information for both the 1915i and 1915c*

Describe the process(es) for remediation and systems improvement.	The following describes State's quality management framework which starts with establishing clear expectations for performance (design), collecting and analyzing data to determine if the expectations are met (discovery), and finally, taking steps to correct deficiencies or improve processes and services (remediation and improvement). Because the 1915(i) and 1915(c) Waiver are provided under the same service delivery system, a consolidated Quality Management Strategy (QMS) is appropriate for gathering data for some performance measures. For example, providers serve both populations and have the same mandates under both programs. Additionally, expenditures occur simultaneously and fiscal oversight requirements are the same for both programs. Therefore, as indicated in the QMS table and referenced below, the quality reporting for some measurements in these areas will be the same for both the 1915(i) and 1915(c) Waiver while other measurements will reflect data specific to the 1915(i). **Service Plans or individual program plans (IPPs)** Performance expectations (design) in this area include: • Service plans must address all participants' assessed needs (including health and safety risk factors) and personal goals. • Service plans are reviewed at least annually and updated/revised when warranted by changes in the participant's needs. • Services are delivered in the type, scope, amount, duration, and frequency in accordance with the service plan. • Participants are afforded choice of qualified providers. Data collected (discovery) to determine if expectations are met includes: DDS and DHCS conduct biennial monitoring reviews of a random sample of service recipient records to ensure service plans meet the expectations identified above. Monitoring will be completed over a two-year period with reports produced after reviewing each geographical region (regional center). The statewide sample size will produce results with a 95% confidence level and no more than 5% margin of error. For example, with an estimated 40,000 recipients,

- the sample size would be 381. For this performance measure, the quality reports for the 1915(i) and 1915(c) Waiver will reflect data exclusive to each program.
- The recipient survey portion of the recently revised Client Development and Evaluation Report (CDER) includes questions regarding the recipient's satisfaction with services.
- Annually, all recipients receive a statement of services and supports purchased by the regional center for the purpose of determining if services were delivered.

Steps to correct deficiencies or improve processes and services (remediation and improvement) include:

- Regional centers are required to submit plans to correct all issues identified in the biennial monitoring conducted by DDS and DHCS. These plans are reviewed and approved by the State.
- The data from the monitoring reviews allows for identification of trends in a particular area (e.g. specific requirement or geographical area).
- If any of the monitoring reviews result in a significant level of compliance issues, a follow-up review will be scheduled to evaluate the progress of the corrective actions taken in response to the previous monitoring review.
- Extra training and/or monitoring is provided if issues are not remediated or improvement is not shown.
- DDS' Quality Management Executive Committee (QMEC), also attended by DHCS management, meets at least semi-annually to review data regarding service recipients, explore issues or concerns that may require intervention, and develop strategies and/or interventions for improved outcomes.

Qualified Providers

Performance expectations (design) in this area include:

- DDS sets qualifications for providers through the regulatory process.
- Regional centers, through the vendorization process, verify that each provider meets the required qualifications (e.g. license, program design, staff qualifications) prior to services being rendered.

DDS developed and funds the Direct Support Professional (DSP) Training program. This is a 70

	• hour, competency-based program mandatory for all direct service staff working in licensed residential facilities. The program is based upon minimum core competencies staff must have to ensure the health and safety of individuals being served. • DSS-CCLD is responsible for licensing community care facilities and establishes qualifications for providers. Administrators and applicants/licensees (sometimes one and the same) are required to take a 35-hour course from an approved trainer and pass a written test with a score of 70 percent or above to be a qualified administrator/licensee. There is a two-year re-certification requirement where they need to take an additional 35 hours of training. For each application, they must have a training plan in their facility operational plan for each of the new and continuing staff working in a community care facility. Data collected (discovery) to determine if expectations are met includes: Providers serve both 1915(i) and 1915(c) Waiver populations simultaneously and are required to meet the same requirements under both programs. Since providers don't exclusively serve one population or the other, it is not practical to separately collect data for PMs related to qualified providers. Therefore, the quality report for the 1915(i) and 1915(c) Waiver will include the same data. • As part of the established biennial DDS/DHCS oversight activities, on-site monitoring of service providers is conducted. Included in this review, service providers and direct support professionals are interviewed to determine that they are: knowledgeable regarding the care needs on the individual's plan of care for which they are responsible and that these services are being delivered; knowledgeable of and responsive to the health and safety/well-being needs of the consumer(s); and aware of their responsibilities for risk mitigation and reporting. • An additional component of the established biennial DHCS/DDS on-site monitoring is a review of settings to verify compliance with the HCBS settings requirements. DSS-CCLD monitors all licensed community care facilities to identify compliance issues. Facilities are reviewed to determine compliance with regulations regarding provision of services, health and safety and provider qualifications. DSP training data is used to not only identify the success rate of staff taking the course, but also in what form (e.g. through classroom setting or challenge test) the course was taken and what

- areas (written test or skills check) caused failure for those who did not pass the course.
- Regional centers also monitor each licensed residential community care facility annually to verify or identify any issues with program implementation.
- Special incident report data allows for identification of trends with individual providers or types of providers.

Steps to correct deficiencies or improve processes and services (remediation and improvement) include:

- Regional centers are required to submit plans to correct all issues identified in the biennial monitoring conducted by DDS and DHCS. These plans are reviewed and approved by the State.
- Any DSS-CCLD monitoring visit that results in a finding of non-compliance results in the development of a plan of correction. This requires follow-up by DSS-CCLD staff to verify that corrections were made.
- Issues identified during monitoring visits by regional centers may result in the need to develop a corrective action plan which details the issues identified and the steps needed to resolve the issues. The results of these reviews, as well as data from the special incident report system, are used to identify trends with individual or types of providers which may then result in focused or widespread training or other remediation measures.
- DDS' Quality Management Executive Committee (QMEC), also attended by DHCS management, meets at least semi-annually to review data regarding service recipients, explore issues or concerns that may require intervention, and develop strategies and/or interventions for improved outcomes. As an example, data from the special incident report system and analysis by the State's independent risk management contractor indicated that the second largest cause of unplanned hospitalizations was due to psychiatric admissions. In response, the QMEC approved the implementation of skill checks within challenge tests. The skill checks now require staff to demonstrate proficiency in the proper method of assisting individuals in the self-administration of medications.

SMA Programmatic Authority

Performance expectations (design) in this area include:

	• DHCS and DDS conduct biennial monitoring reviews of a random sample of service recipient records to ensure service plans meet expectations. • DHCS reviews and approves reports developed as a result of these monitoring visits. • DHCS negotiates approval and amendment requests for the interagency agreement with DDS to ensure consistency with federal requirements. • DHCS approves Section 1915(i) related policies and procedures that are developed by DDS to ensure consistency with federal requirements. • DHCS participates, as necessary, in training to regional centers and providers regarding Section 1915(i) policies and procedures. • DHCS, in conjunction with DDS and DSS-CCLD, holds quarterly meetings. The purpose of these meetings is to discuss issues applicable to licensed providers (community care facilities, day programs.) • DHCS participates in the DDS Quality Management Executive Committee. The purpose of these meetings is to review data regarding service recipients, explore issues or concerns that may require intervention, and develop strategies and/or interventions for improved outcomes. Data collected (discovery) to determine if expectations are met includes: • Results from the biennial monitoring reviews, conducted by DHCS and DDS, of a random sample of service recipient records to ensure service plans meet the expectations identified previously. For this performance measure, the quality reports for the 1915(i) and 1915(c) Waiver will reflect data exclusive to each program. • Documentation of DHCS approval of monitoring or other required reports. Monitoring reports will also include approved plans submitted in response to findings by DHCS and DDS. • Evidence of training provided as a result of findings from DHCS and DDS monitoring reviews. • Minutes from meetings DHCS participates in documenting issues discussed and resolution activities planned. Steps to correct deficiencies or improve processes and services (remediation and improvement) include:

	• Regional centers are required to submit plans to correct all issues identified in the biennial monitoring conducted by DHCS and DDS. These plans are reviewed and approved by the State. • If any of the monitoring reviews result in a significant level of compliance issues, a follow-up review will be scheduled to evaluate the progress of the corrective actions taken in response to the previous monitoring review. • Extra training and/or monitoring is provided if issues are not remediated or improvement is not shown. **SMA Maintains Financial Accountability** Performance expectations (design) in this area include: • DHCS reviews a sample of working papers prepared by DDS audit staff of the biennial fiscal audits. These fiscal audits are designed to wrap around the required annual independent CPA audit of each regional center. • DHCS also annually reviews a sample of audits conducted of service providers. • DHCS ensures recipients are eligible for Medi-Cal prior to claims being made. • DHCS maintains invoice tracking, payment and reconciliation processes. Data collected (discovery) to determine if expectations are met includes: • Results of the audit reviews identify fiscal compliance issues. Electronic records and hard copy reports (as needed) are generated identifying recipients eligible for claiming. • Tracking logs verify consistency between invoices, payments and funding authority. Steps to correct deficiencies or improve processes and services (remediation and improvement) include: • DHCS monitors and provides consultation as necessary regarding corrective actions and follow-up activities resulting from regional center and vendor audits. All issues identified in the audits

include corrective action plans which may include policy revisions or repayments if necessary.

- DHCS works with DDS to resolve issues, if any, with identifying Medi-Cal eligibility of recipients.

Risk Mitigation

- Performance expectations (design) in this area include:Service plans must address all participants' assessed needs (including health and safety risk factors) and personal goals.
- DDS, through the regulatory process, has identified requirements for service providers and regional centers regarding reporting of special incidents. Providers must report all special incidents to the regional center within 24 hours. Subsequently, regional centers must report special incidents to DDS within two working days.
- DDS has implemented an automated special incident report (SIR) database which allows complex analysis of multiple factors to identify trends and provide feedback to regional centers.
- DDS provides data from the SIR database to the State's independent risk management contractor for further analysis.
- Regional centers must transmit SIRs, including the outcomes and preventative actions taken, to DDS as well as local licensing offices and investigative agencies as appropriate.
- Regional centers must develop and implement a risk management and prevention plan.
- Regional centers are responsible for using data from the SIR database for identifying trends that require follow-up.
- The State's independent risk management contractor is responsible for reviewing and analyzing DDS SIR data to identify statewide, regional and local trends requiring action. This includes defining indicators of problems requiring further inquiry. Additionally, the contractor performs ongoing review and analysis of the research and current literature with respect to preventing accidents, injuries and other adverse incidents.

Data collected (discovery) to determine if expectations are met includes:

- DDS and DHCS conduct biennial monitoring reviews of a random sample of service recipient records to ensure service plans address health and safety risk factors. For this performance measure, the quality reports for the 1915(i) and 1915(c) Waiver will reflect data exclusive to each program.
- Data from the SIR database includes recipient characteristics, risk factors, residence,

	responsible service provider and other relevant information. This data is updated daily and is available not only to DDS but also to regional centers for reviewing data of incidents in their area. • While the SIR database collects information on all reported special incidents, the State also reviews a sample of consumer records during the monitoring reviews as a secondary quality assurance measure. If a significant difference in results is noted between the two data sources, the State will take appropriate steps further analyze the reason for the discrepancies. These steps may include but are not limited to a review of an expanded sample of consumer records and/or a review of data entry accuracy. • The recipient survey portion of the CDER includes questions regarding the recipient's feelings of safety, availability of assistance if needed, and access to medical care. • As part of the established biennial DDS/DHCS monitoring activities, information is gathered regarding the regional center's risk management system. Additionally, information is obtained reflecting how the regional center is organized to provide clinical expertise and monitoring of individuals with health issues, as well as any improvement in access to preventative health care resources. Steps to correct deficiencies or improve processes and services (remediation and improvement) include: • Regional centers are required to submit plans to correct all issues identified in the biennial monitoring conducted by DDS and DHCS. These plans are reviewed and approved by the State. • If any of the monitoring reviews result in a significant level of compliance issues, a follow-up review will be scheduled to evaluate the progress of the corrective actions taken in response to the previous monitoring review. • DDS uses data from the SIR database to identify compliance issues such as reporting timelines and notifications of other agencies if required. Contact is made with regional centers for correction. Training or technical assistance is provided if necessary. • Utilizing results of data analysis from the SIR database, the State's risk management contractor conducts a variety of activities, including: develop and disseminate periodic reports and materials on best practices related to protecting and promoting the health, safety, and well-being of service recipients; provide on-site technical assistance to regional centers related to local risk management plans and activities; define indicators requiring further inquiry. • The risk management contractor also develops and maintains a website, (www.ddssafety.net) for recipients and their families, providers, professionals, and regional center staff. This web site is dedicated to the dissemination of information on the prevention and mitigation of risk factors for persons with developmental disabilities. The site includes information from across the nation on current research and best practices and practical information directed towards improving health and safety.