

## Table of Contents

<b>Revision Summary of Changes</b> .....	<b>ix</b>
<b>Philosophy Statement</b> .....	<b>x</b>
<b>Chapter 1 Introduction</b> .....	<b>1-1</b>
1.000 Overview of MSSP .....	1-1
1.100 Enabling Legislation .....	1-1
1.200 The Waiver .....	1-2
1.300 Program Operations .....	1-4
1.400 Organization of this Manual .....	1-5
<b>Chapter 2 Site Staffing</b> .....	<b>2-1</b>
2.000 MSSP Staff .....	2-1
2.010 Minimum Qualifications .....	2-1
2.010.1 Site Director .....	2-1
2.010.2 Supervising Care Manager .....	2-1
2.010.3 Social Work Care Manager .....	2-2
2.010.4 Nurse Care Manager .....	2-2
2.010.5 Care Manager Aide .....	2-2
2.020 Functions and Responsibilities .....	2-2
2.020.1 Site Director .....	2-2
2.020.2 Supervising Care Manager .....	2-2
2.020.3 Social Work Care Manager .....	2-3
2.020.4 Nurse Care Manager .....	2-3
2.020.5 Care Manager Aide .....	2-3
2.030 Requesting an Exemption to Minimum Qualifications for Care Management Staff .....	2-4
2.030.1 Prerequisites for an Exemption .....	2-4
2.030.2 Procedure for Requesting an Exemption .....	2-4
2.030.3 CDA Exemption Approval Process .....	2-4
2.030.4 Duration of Exemption .....	2-4

## Table of Contents (Continued)

2.100 Unpaid Staff .....	2-5
2.100.1 Student Interns .....	2-5
2.100.2 Volunteers .....	2-5
2.300 Ratio .....	2-5
<b>Chapter 3 Program Components .....</b>	<b>3-1</b>
3.000 Outreach .....	3-3
3.010 Ongoing Outreach Efforts .....	3-3
3.020 Wait Lists .....	3-3
3.020.1 Wait List Data .....	3-4
3.030 Standards .....	3-4
3.040 Sequence of Care Management Process .....	3-5
3.100 Eligibility .....	3-5
3.110 Certifiable for Placement in a Nursing Facility (or Level of Care (LOC) Determination) .....	3-6
3.110.1 Clinical Judgment and LOC .....	3-6
3.110.2 Use of the California Code of Regulations (CCR), Title 22, to Determine Eligibility .....	3-6
3.110.3 Application of Title 22 Criteria .....	3-7
3.110.4 (Section Retired) .....	3-7
3.110.5 Completion of LOC Certification Sheet (Appendix 16) .....	3-7
3.110.6 Recertification (Reevaluation) for LOC .....	3-9
3.120 Age 65 or Older .....	3-9
3.130 Receiving Medi-Cal Under an Appropriate Aid Code .....	3-9
3.130.1 Institutional Deeming (MSSP Aid Codes 1X and 1Y) .....	3-10
3.140 Residence Within the Site's Contracted Service Area as Defined in the Site's Contract .....	3-12
3.150 Able to be Served Within MSSP's Cost Limitations .....	3-12
3.160 Appropriate for Care Management Services .....	3-12

## Table of Contents (Continued)

3.200 Pre-Screening .....	3-13
3.210 Screening Forms .....	3-13
3.220 The Screening Process .....	3-13
3.230 Referrals not accepted for MSSP Participation .....	3-13
3.300 Application for MSSP Services .....	3-14
3.310 Non-Enrolled Persons .....	3-14
3.320 Freedom of Choice .....	3-14
3.330 Application .....	3-14
3.400 Enrollment .....	3-15
3.410 Sequence of Enrollment Activities.....	3-15
3.420 Notification of Rights .....	3-15
3.500 Release of Participant Information.....	3-15
3.510 Confidentiality .....	3-15
3.520 Authorization for Use and Disclosure of Protected Health Information Form.....	3-16
3.530 Requests for Participant Information.....	3-16
3.600 Care Management .....	3-17
3.610 General Guidelines .....	3-17
3.620 Initial Health/Psychosocial Assessment .....	3-17
3.620.1 Cognitive Assessment Tools.....	3-19
3.630 Reassessment .....	3-20
3.630.1 Alternate Discipline Visits .....	3-21
3.640 Care Planning .....	3-22
3.640.1 General Guidelines .....	3-23
3.640.2 Emergency Care Plan.....	3-25
3.640.3 Care Plan Components.....	3-25
3.640.4 Care Plan Activation: Signature & Review Process ...	3-27
3.640.5 Care Plan Implementation.....	3-28

## Table of Contents (Continued)

3.640 Care Planning (Continued) .....	3-22
3.640.6 Care Plan Monitoring .....	3-29
3.640.8 Changes to the Care Plan .....	3-30
3.700 Assessing and Documenting Risk .....	3-30
3.710 Goal of Risk Assessment .....	3-30
3.720 Assessment of Ability to Assume Risk .....	3-31
3.720.1 Critical Incident Reporting .....	3-31
3.730 Risk Management .....	3-31
3.740 Monitoring of Risk .....	3-32
3.800 Progress Notes.....	3-32
3.810 General Requirements .....	3-32
3.820 What Progress Notes Include .....	3-32
3.900 Managing Participant Services.....	3-33
3.910 Tracking Cost Effectiveness .....	3-33
3.920 The Benchmark and Calculation of Costs.....	3-33
3.930 Authorization and Utilization of Services .....	3-35
3.1000 (Section Retired) .....	3-35
3.1100 Hospice .....	3-35
3.1110 (Section Retired) .....	3-35
3.1120 Coordinating MSSP and Hospice Services .....	3-35
3.1200 Institutionalization.....	3-36
3.1205 (Section Retired) .....	3-36
3.1210 No Waiver Services During Institutionalization .....	3-36
3.1300 Deinstitutional Care Management .....	3-36
3.1310 Background .....	3-37
3.1320 Waiver Status of Recipients of DCM Services .....	3-37
3.1330 (Section Retired) .....	3-37
3.1340 Screening for DCM Services.....	3-37
3.1350 Request for DCM Services .....	3-37

## Table of Contents (Continued)

3.1300 Deinstitutional Care Management (Continued) .....	3-37
3.1351 Request for DCM Services Form .....	3-37
3.1352 Denial of DCM Services .....	3-38
3.1360 Deinstitutional Services Assessment .....	3-38
3.1370 Plan for Deinstitutional Services .....	3-38
3.1380 Conclusion of DCM Services .....	3-39
3.1381 Data Reporting .....	3-40
3.1390 Out of Area Referrals .....	3-40
3.1400 Description of Services .....	3-40
3.1410 Informal Support .....	3-40
3.1420 Referred Services .....	3-41
3.1430 Purchased Waiver Services .....	3-42
3.1500 Service Monitoring and Care Management Follow Up .....	3-54
3.1510 Recording Guidelines .....	3-54
3.1520 Monitoring Activities .....	3-55
3.1530 (Section Changed to 3.030) .....	3-56
3.1600 (Section Changed to 3.040) .....	3-56
3.1700 Termination .....	3-56
3.1710 Termination Reason Codes .....	3-56
3.1720 Notice of Action .....	3-57
3.1730 Re-Enrollment .....	3-57
3.1800 Transfer of Participants Between Sites .....	3-58
3.1810 Responsibilities of the Sending Site .....	3-58
3.1820 Responsibilities of the Receiving Site .....	3-59
3.1830 Coordinate Billing .....	3-59
<b>Chapter 4 Quality Assurance and Program Review .....</b>	<b>4-1</b>
4.000 Quality Assurance Concepts .....	4-1
4.010 Quality Assurance Components .....	4-1
4.020 Site Quality Assurance Requirements .....	4-2

## Table of Contents (Continued)

4.000 Quality Assurance Concepts (Continued) .....	4-1
4.030 Quality Assurance Elements .....	4-2
4.100 Utilization Review (UR) .....	4-3
4.110 Authority to Conduct UR .....	4-3
4.120 Levels of UR .....	4-4
4.130 Objectives of CDA URs .....	4-4
4.130.1 Elements of the CDA UR .....	4-5
4.130.2 CDA Review Team .....	4-5
4.130.3 Areas of Site Operation to be Reviewed .....	4-5
4.130.4 CDA UR Tools .....	4-11
4.130.5 UR Report .....	4-11
4.140 CDA Fiscal Audits .....	4-12
4.150 Recovery of Funds .....	4-12
<b>Chapter 5 Program Components .....</b>	<b>5-1</b>
5.000 In Practice, MSSP Site Staff .....	5-1
5.100 Health Insurance Portability and Accountability Act (HIPAA) of 1996 .....	5-1
5.110 HIPAA Privacy Rule .....	5-2
5.120 HIPAA Security Rule .....	5-2
5.200 Security .....	5-3
5.300 Maintenance and Storage .....	5-3
5.400 Access to Minimum Necessary Information .....	5-4
5.500 Authority to Inspect Medi-Cal Provider Records .....	5-5
5.600 Case Recording Practices .....	5-5
5.610 Electronic Record Keeping .....	5-6
5.700 Corrections .....	5-8
5.800 Case Documents .....	5-9
5.810 Staff Signature and Signature Requirements .....	5-9
5.820 Timing Intervals Required for Case Recording .....	5-11

## Table of Contents (Continued)

<b>Chapter 6 Participant Rights</b> .....	<b>6-1</b>
6.000 MSSP Participant Rights .....	6-1
6.100 Participant Grievance Procedures .....	6-2
6.200 Due Process Rights.....	6-2
6.210 Denial of Request for Waiver Services .....	6-2
6.220 Failure to Meet Minimum Eligibility Criteria .....	6-2
6.230 Notice of Action .....	6-3
6.300 State Medi-Cal Fair Hearing .....	6-3
6.400 Notice of Action for Terminations .....	6-4
<b>Chapter 7 Information System Components</b> .....	<b>7-1</b>
7.000 MSSP Information System .....	7-1
7.010 Background.....	7-1
7.020 Components of the CDA MSSP Information System .....	7-1
7.100 Confidentiality and Information Systems .....	7-2
7.200 Participant Data Forms .....	7-2
7.210 Client Enrollment/Termination Information Form.....	7-3
7.220 Service Planning and Utilization Summary.....	7-3
7.300 Participant and Services Data .....	7-4
7.310 IHSS Import File .....	7-4
7.320 Transmission of Data to CDA .....	7-4
7.400 Provider Index .....	7-5
7.410 Provider Index Input Reports.....	7-5
7.500 Coding Systems .....	7-5
7.510 Service Codes.....	7-5
7.510.1 Unit Type .....	7-6
7.520 Fund Codes .....	7-6
7.530 Vendor Codes .....	7-6
7.540 Site Codes .....	7-7
7.550 Site Staff Codes .....	7-8

## Table of Contents (Continued)

7.500 Coding Systems (Continued) .....	7-5
7.560 MSSP Participant Codes .....	7-8
7.600 E-Mail .....	7-8
<b>Chapter 8 Service Vendors .....</b>	<b>8-1</b>
8.000 Vendor Selection .....	8-1
8.100 Vendor Contracts/Agreements .....	8-1
8.200 Vendor Application Form .....	8-2
8.300 Purchases from Non-Contract Vendors .....	8-2
8.400 Vendor Rates .....	8-2
8.500 Vendor Licensing and Insurance Requirements .....	8-2
8.600 Vendor Performance .....	8-3
8.700 Vendor Appeal Procedure .....	8-3
<b>Chapter 9 Site Budget and Claims Reimbursement .....</b>	<b>9-1</b>
9.000 Budget .....	9-1
9.010 Budget Categories .....	9-1
9.020 Budget Changes .....	9-1
9.030 Reimbursement Process .....	9-2
9.030.1 Threshold Rate Change Requests .....	9-4
9.100 Claims Billing/Reimbursement .....	9-4
9.110 Billing Process .....	9-5
9.120 Reimbursement and Remittance Advice Details .....	9-6
<b>Chapter 10 Equipment .....</b>	<b>10-1</b>
10.000 Ownership of Equipment .....	10-1
10.100 Computer/Peripheral/Software Purchases .....	10-2
10.200 Year-End Purchases .....	10-2
10.300 Equipment Inventory .....	10-2
10.400 Equipment Disposal .....	10-3
<b>Appendix .....</b>	<b>See Appendix Alphabetical Listing</b>