

Department of Human Services Aging and People with Disabilities In Home Exceptions Checklist

All exceptional rate requests must be submitted by a manager in the local office to [Exceptions, SPD@state.or.us](mailto:Exceptions_SPD@state.or.us).

This checklist is provided as technical support for local office staff when an exceptional rate request is being prepared. It is not necessary to send this checklist with the exceptional rate request but we strongly encourage you to use it as a tool to ensure that all issues are explored and documented prior to submission.

	Yes	No	N/A	Notes
Is the effective date indicated on the request?				
Does the SDS 0546 or SDS 0546N Service Plans add up to the total requested service rate on the SDS 0514 Request for Exceptions?				
Are the hourly rates correct according to the rate schedule? Hourly: \$10.20 ADL & \$10.20 Self-Management Live-in: \$10.20 ADL, \$4.55 Self-Management, & \$4.55 24 Hour Availability				
Does the Service Plan exceed the local office approval limit? Hourly: Up to 145 ADL or 76 IADL Live-in: 380 hours				
If rate exceeds the comparable nursing facility rate, does the plan meet criteria in OAR 411-027-0020? <ul style="list-style-type: none"> • Rehab Plan with goals and a timeframe to improve the individual's self-sufficiency? OR • Special technology otherwise available only in a hospital? OR • Intensive convalescent care for a limited period? 				
Is OAR 411-030-0070 considered? (only 4 additional self-management hours for 2 nd in-home individual in the same home)				

	Yes	No	N/A	Notes
Does live-in homecare worker meet the definition of a live-in? (at least one homecare worker providing 24 hours availability 5 days in a calendar week)				
Is mileage Service Plan related? Are the authorized transportation hours and miles reasonable?				
Is the information in CAPS consistent with information provided in the Service Plan and narrative?				
Does the individual live with family, roommates, etc. not providing care? (The full amount of self-management hours may not be warranted)				
Is the individual safe at home under this Service Plan?				
Have other alternate care settings or in-home plans been discussed?				
Have natural supports been assessed and considered?				
Was the individual assessed for emergency response systems, other assistive devices, or architectural modifications to reduce paid hours?				
Has a recent CAPS been completed (at least within the last 6 months) that captures the individual's current needs?				
Has any increase in service hours or costs been explained?				
Has the Manager reviewed and signed the exception request?				

INDEPENDENT CHOICES

	Yes	No	N/A	Notes
Did the local office approve the individual for enrollment in Independent Choices?				

SPOUSAL PAY

	Yes	No	N/A	Notes
Follow the exceptional hour process if the spousal pay case requires hours which exceeds the maximum allowed by rule				
Have natural supports been assessed and considered?				
Homecare workers who marry their client-employer retain the same standard of compensation. Additional self-management task hours may be authorized in the service plan when necessary to prevent a loss of compensation to the homecare worker following marriage to the client-employer.				
Are the hours for self-management and 24 hour availability reduced by half? (see OAR 411-030-0080)				
Is the Spousal Pay Provider providing 51% of the care?				
Was Spousal Pay eligibility approved by Central Support?				
Have you ensured service hours are not provided as "respite" for the Spousal Pay Provider? (PT-003)				
Does the individual meet the criteria of fully dependent of 4 of 6 ADLs (CAPS full benefit results/spousal pay button)?				

ADULT DAY SERVICES WITH IN HOME SERVICES

	Yes	No	N/A	Notes
Are Adult Day Services duplicating In-Home Plan hours?				
Individuals living in an adult foster home may be eligible to attend an adult day service program. PT 05-013 discusses this exception process.				

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