



**MANAGEMENT PLAN  
POLICIES AND PROCEDURES MANUAL**

**Amendment July 2020  
Approved by CSS Board 6-24-20  
Approved by DHS 7-16-20**

Serving these Iowa counties:

Allamakee, Black Hawk, Butler, Clayton, Cerro Gordo, Chickasaw, Emmet, Fayette, Floyd, Grundy, Hancock,  
Howard, Humboldt, Mitchell, Pocahontas, Tama, Webster, Winneshiek, Wright

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## Introduction and Vision

On January 1, 2009 five counties came together to further advance the vision of creating a more equitable service system, while retaining the ability to meet local needs. The intent of County Social Services (CSS) is to make funding and services for individuals with disabilities more equitable across county lines. As of July 1, 2020, CSS is a region of 19 counties. We have found that together we have the capacity to exceed what could have been accomplished as individual counties. CSS will serve taxpayers and people with disabilities in the most effective and efficient manner possible.

County Social Services was formed under Iowa Code Chapter 28E to create a mental health and disability service region in compliance with Iowa Code 331.390. Within this region, CSS will create a regional management plan designed to improve health, hope, and successful outcomes for individuals in our region who have mental health and/or intellectual/developmental disabilities, including those with multi-occurring substance use and other health issues, physical disabilities, brain injuries, and other complex human service needs.

County Social Services connects persons experiencing complex life-changing challenges with innovative resources and supports to assist them in moving towards hopeful and happy lives. This vision statement of our region is one we strive to live out every day, as well as our mission statement, which is that County Social Services increases community inclusion and capacity through nurturing partnerships.

In accordance with the principles enumerated in the legislative redesign, CSS will work in a quality improvement partnership with stakeholders in the region (providers, families, individuals, and partner health and human service systems) to develop a system of care approach that is characterized by the following principles and values:

- Welcoming and individual-oriented
- Person and family driven
- Recovery/resiliency oriented
- Trauma-informed
- Culturally competent
- Multi-occurring capable

## Basic Framework of the Regional MH/DS Services Management Plan

This Regional Mental Health & Disability Services Management Plan will describe both the framework for system design that CSS has organized, as well as the specific activities within the system that will be funded and monitored directly by CSS.

This Mental Health & Disability Services Management Plan (hereafter referred to as Plan) defines standards for member counties of the County Social Services region.

The plan meets the requirements of Iowa Code section 331.393 and provides for cost-effective, individualized services and supports that assist persons with disabilities to be as independent, productive, and integrated into the community as possible, within the constraints of available resources.

In compliance with Iowa Administrative Code (IAC) 441-25 the Plan includes three parts:

- **Annual Service & Budget Plan** includes access points, service coordination and targeted case

management agencies, crisis planning, intensive mental health services designation, children's behavioral health services, budget and financing provision, financial forecasting measures, and provider reimbursement provisions.

- **Annual Report** provides an analysis of data concerning services managed for the previous fiscal year, including the services actually provided, the status of service development, actual numbers of children and adults served, documentation that designated access centers, ACT teams, subacute and intensive residential services met service standards, financial statement of actual revenues and expenditures, and outcomes achieved.
- **Policies & Procedures Manual** includes policies and procedures concerning management of the MHDS services and MHDS plan administration.

CSS shall maintain local county offices as the foundation to the service delivery system.

A current plan is available by request in each local county office, as well as on the County Social Services ([www.countysocialservices.org](http://www.countysocialservices.org)) and DHS ([dhs.iowa.gov](http://dhs.iowa.gov)) websites.

## A. Organizational Structure

### **CSS Board (Iowa Code 331.390)**

The CSS organizational structure assigns the planning and development of the regional MHDS system including the funding of non-Medicaid services with the County Social Services Governing Board (CSS Board). The make-up of the board is described below. No member shall be an employee of the Department of Human Services. The CSS Board shall contain the following Directors:

- a) Each member county shall appoint one of its supervisors to serve as a voting Director on the CSS Board. The Board of Supervisors of each Member County shall select its Director, and the Director shall serve indefinitely at the pleasure of the county appointing the Director, until a successor is appointed because of death, resignation, the end of such person's service as a county supervisor, or because of recall. Any Director appointed under this Section may be removed for any reason by the county appointing the Director, upon written notice to the CSS Board, which notice shall designate a successor Director to fill the vacancy.
- b) One adult individual who utilizes mental health and disability services, or is an actively involved relative of such an individual, who shall be a voting Director. This Director shall be appointed by the Adult Advisory Board described below, for two-year terms.
- c) One individual representing adult service providers in the Region. This Director shall be appointed by the Adult Advisory Board described below, for two-year terms. This Director shall serve as an ex officio, non-voting Director.
- d) One individual representing children's behavioral health service providers in the Region. This Director shall be designated by the Children's Advisory Board described below, for two-year terms. This Director shall serve as an ex officio, non-voting Director. This Director shall be appointed to two-year terms, with the initial term beginning July 1, 2020.
- e) One individual representing the education system in the Region, who shall be a voting Director. This Director shall be designated by the Children's Advisory Board described below. This Director shall be appointed to two-year terms, with the initial term beginning July 1, 2020.

- f) One individual who is a parent of a child who utilizes children’s behavioral health services or actively involved relatives of such children, who shall be a voting Director. This Director shall be designated by the Children’s Advisory Board described below. This Director shall serve an initial term of one year, which shall begin July 1, 2020, and thereafter be appointed to two-year terms.

**County Social Services Adult and Children’s Advisory Committees (Iowa Code 331.390(2)h; 331.392.(2)i; IAC 441-25.14.(1)i,j)**

CSS shall encourage stakeholder involvement by having Adult and Children’s Advisory Committees assist in developing and monitoring the plan, goals and objectives identified for the service system, and to serve as a public forum for other related MHDS issues. These Advisory Committees shall represent stakeholders which shall include, but not be limited to, individuals, family members, county officials, and providers. CSS will maintain local area advisory committees as the foundation of the Regional Advisory Committees. The ideas generated from the local area advisory committees, meeting three times per year, will guide the formation of the regional Adult and Children’s Advisory Committee agendas, as they gather twice a year. All stakeholders will then join for the Annual Meeting in November. The formation and assigned responsibilities for the Adult Advisory Committee consists of:

- a. an individual from each service area who utilizes mental health and disability services, or an actively involved relative of such an individual
- b. a service provider of adult mental health and disability services from each service area
- c. CSS board members

The formation and assigned responsibilities for the Children’s Advisory Committee consist of:

- a. a parent of a child who utilizes services or an actively involved relative of such child
- b. a member of the education system
- c. an early childhood advocate
- d. a child welfare advocate
- e. a children’s behavioral health service provider
- f. a member of the juvenile court
- g. a pediatrician
- h. a child care provider
- i. a local law enforcement representative
- j. a CSS board member

Since the makeup of the local advisory committees may change from time to time, the Annual Service and Budget Plan will contain a list of the areas the local area advisory committees cover, as well as a contact name for each local area advisory committee.

The Adult Advisory Committee shall appoint the following representatives to the CSS Board:

- a. an individual who utilizes mental health and disability services, or an actively involved relative of such an individual
- b. an individual representing a provider of adult services

The Children’s Advisory Committee shall appoint the following representatives to the CSS Board:

- c. parents/actively involved relatives of a child who utilizes children’s behavioral health services
- d. an individual representing a provider of children’s behavioral health services
- e. a representative from the Education system

**Chief Executive Officer**

The CSS Board will appoint the Chief Executive Officer (CEO) as referenced in IAC 441—25.12 (e). The CEO functions are supervised and evaluated by the CSS Board. The CEO will be the single point of accountability for the Region and shall be responsible for entering into performance-based contracts with the Department of Human Services. The CEO shall report to the CSS Board and will serve as the contact person for all requests for information or other inquiries from the Department of Human Services or the State of Iowa regarding provision of services, quality of services and expenditures of Regional funds. The CEO shall serve at the pleasure of the CSS Board and shall be under its direct supervision, evaluation and control.

**Administrative Entity**

The CSS Board entered into a 28E Intergovernmental Agreement establishing CSS as the regional administrative entity. The administrative staff shall include a Coordinator of Mental Health & Disability Services and a Coordinator of Children’s Behavioral Health Services, who shall be under the supervision of the CEO. The Governing Board may adopt such policies, rules, regulations, procedures and other actions as are necessary in the operation of the Region that are not inconsistent with the law or the 28E Agreement. The Regional Administrative Entity will perform all the duties required by statute and administrative rule and in conformance with the Regional Management Plan. The Governing Board shall also provide for support staff as determined necessary, who shall be under the supervision of the CEO. The duties of the Regional Administrative Entity will be coordinated and assigned by the Governing Board in a manner deemed to be in the best interests of the Region and to ensure as much efficiency as is practicable. These duties will include but are not limited to: care coordination, quality assessments, service development, performance outcomes, referrals, claims processing, budget and forecasting, implementation of best practice models, development of policy, intake procedures and access to services, development/expansion of crisis services and development of new services models that will meet the needs of the residents of the Region. The CEO, the Coordinator of Mental Health & Disability Services, the Coordinator of Children’s Behavioral Health Services, and all support staff will be employees, or contractors, of CSS.

**B. Service System Management**

CSS shall directly administer the Regional MHDS Plan through the local county offices and contract with service providers to meet the service needs of individuals living in the region. CSS shall provide adequate credentialed staff to carry out the administration of this Plan. The staff delegated to perform the functions of Coordinator of Mental Health & Disability Services and Coordinator of Children’s Behavioral Health Services shall have the qualifications required by Iowa Code 331.390(3)b and IAC 441-25.12(2)e, f.

<b>County Office</b>	<b>Address</b>	<b>Phone</b>
Allamakee County	110 Allamakee Street Waukon, IA 52172	563-568-6227
Black Hawk County	1407 Independence Ave Waterloo, IA 50703	319-292-2272
Butler County	315 N. Main Street Allison, IA 50602	319-267-2663
Cerro Gordo County	525 9 <sup>th</sup> St SE Mason City, IA 50401	641-210-7015

Chickasaw County	114 N. Vine St. PO Box 269 West Union, IA 52175	563-422-5047
Clayton County	<to be determined> Guttenberg, IA 52052	563-252-3215
Emmet County	609 1 <sup>st</sup> Ave N, Suite 5 Estherville, IA 51334-2255	712-362-2452
Fayette County	114 N. Vine St., PO Box 269 West Union, IA 52175	563-422-5047
Floyd County	1206 S. Main St., Suite D Charles City, IA 50616	641-257-6363
Grundy County	706 H Avenue, Ste 1 Grundy Center, IA 50638	319-824-6779
Hancock County	545 State St. Suite 1 Garner, Iowa 50438	641-590-2340
Howard County	205 2 <sup>nd</sup> Street E. Cresco, IA 52136	563-547-9207
Humboldt County	203 Main Street, PO Box 100 Dakota City, IA 50529	515-332-5205
Mitchell County	415 Pleasant St. Osage, IA 50461	641-832-2615
Pocahontas County	23 3 <sup>rd</sup> Ave NE Pocahontas, IA 50574	712-335-3269
Tama County	211 W. State St. Toledo, IA 52342	641-484-4191
Webster County	308 Central Avenue Fort Dodge, IA 50501	515-573-1485
Winneshiek County	602 Washington St. Decorah, IA 52101	563-387-4144
Wright County	120 1 <sup>st</sup> Ave NW Clarion, IA 50525	515-532-3309

**Risk Management and Fiscal Viability (Iowa Code 331.25.21(1)f)**

CSS does not intend to contract management responsibility for any aspect of the regional system of care to any agency or entity. The CSS Board shall retain full authority for the regional system of care and the associated fixed budget.

**Conflict of Interest**

Funding authorization decisions shall be made by CSS administrative staff, who shall have no personal or financial interest in the services or supports to be provided. In the event that such a situation occurs, that interest must be fully disclosed to the individuals, counties and other stakeholders.

**C. System Management**

**System of Care Approach Plan (IAC 441-25.21(1)h)**

CSS provides leadership and management at the local level for designing a regional system of care for Mental Health and Disability Services. The design of the system is based on the expectation that individuals and families have multi-occurring issues and incorporates an organized quality

improvement partnership process to achieve the vision defined in this plan.

Within this vision, CSS will work in partnership with providers and other stakeholders to further develop services that are:

- Welcoming and accessible
- Able to emphasize integrated screening, early identification and early intervention
- High quality and, wherever possible, evidence based
- Organized into a seamless continuum of community-based support
- Individualized to each person with planning that expands the involvement of the individual
- Provided in the least restrictive, appropriate setting
- Designed to empower individuals and families as partners in their own care
- Designed to leverage multiple financing strategies within the region including increased use of Medicaid funded services and Iowa Health and Wellness Plan
- Supported by provision of training and technical assistance to individuals and families, as well as to providers and other partners.

**Developing an Integrated Multi-Occurring Capable Trauma Informed System of Care:  
Implementation of Interagency and Multi-system Collaboration and Care Coordination (IAC 441-25.21(1)n; 441-25.21(1)m)**

An individual with multi-occurring conditions is defined as any person of any age with ANY combination of any MH condition (including trauma) and/or developmental or cognitive disability (including Brain Injury) and/or any Substance Abuse condition, including gambling and nicotine dependence, whether or not they have already been diagnosed. Individuals with multi-occurring conditions commonly also have medical, legal, housing, financial, and parenting issues and other complex needs.

CSS shall maintain a service delivery approach that builds partnerships within a quality improvement framework to create a broad, integrated process for meeting multiple needs. This approach is based on the principles of interagency collaboration; individualized, strengths-based practices; cultural competence; community-based services; accountability; and full participation of individuals served at all levels of the system. CSS shall work to build the infrastructure needed to result in positive outcomes for individuals served. In order to accomplish this, CSS will coordinate the implementation of quality improvement processes and engage its provider network in the process. CSS will create a mechanism for collecting quality improvement data and communicating that out to the stakeholders. CSS will encourage all providers to participate in this process and to develop multi-occurring capability for each program provided.

In addition, CSS shall partner with courts to ensure alternatives to commitment and to coordinate funding for services for individuals under commitment. CSS shall collaborate with the Iowa Department of Human Services, Iowa Department of Public Health, Department of Corrections, Iowa Medicaid Enterprise, managed care organizations, other regions, service providers, case management, Integrated Health Homes, individuals, families and advocates to ensure the authorized services and supports are responsive to individuals' needs consistent with system principles and cost effective.

CSS may create committees that focus on training, communications, finance, policy development, information systems, resource development, service delivery system design, quality improvement,

and other committees as indicated to organize the tasks, activities, and functions associated with building, implementing, and sustaining systems of care. CSS may also engage other funders, other regional service systems, service providers, case management, individuals and their families or authorized representative, and advocates to participate in these committees. These committees will ensure that authorized services and supports are responsive to individuals' needs, consistent with system principles and are cost-effective by soliciting input from committee members and others concerned with the service system. All recommendations impacting policy and procedure made by the committees will be reported back to the Adult and Children's Advisory Committees and the CSS Board for incorporation in future planning.

Nationally, CSS is a member of the National START program, which originated out of the University of New Hampshire. In 2016, the START model was identified as best practice by the National Academy of Sciences Institute of Medicine. I-START was launched in November 2016 and became nationally certified in June 2020. I-START provides community-based crisis prevention and intervention services for individuals with intellectual and developmental disability and mental health needs through crisis response, training and consultation. I-START works to enhance the ability of the system of care to successfully support individuals with IDD and multi-occurring mental health needs in the community. Our goal is to create a support network that has the information needed to prevent crisis but also has the tools to most effectively manage crisis if it should occur. I-START is one evidence-based practice in Iowa designed for individuals with IDD. I-START partners with community-based providers to build systemic capacity to serve individuals with complex needs in their homes. It is also identified as the clinical wrap around to deliver Intensive Residential Services.

Statewide, the CEO will take the lead on collaboration with the other region CEOs, DHS, IME and the managed care organizations, attending regularly scheduled, and informal, meetings. CSS, along with the other regions, has entered into memorandums of understanding with the Area Agencies on Aging and the managed care organizations to achieve a fully integrated statewide system. In addition, all region CEOs have entered into a memorandum of understanding with each other for the purposes of collaboration. The CEO will also be available to legislators and provide them with the most objective and accurate information possible, as directed by the CSS Board, to make important legislative decisions. CSS also participates in the Iowa Community Services Association Board and its subcommittees, as well as the CSN database committees.

Locally CSS is in partnership with the Area Agencies on Aging, the Brain Injury Alliance of Iowa, and our local and state NAMI organizations.

### **Decentralized Service Provisions (IAC 441-25.21(1)i)**

CSS shall provide services in a decentralized and equitable manner to meet the minimum access standards of core services by utilizing the strengths and assets of the regional service providers. To this end, CSS has organized into service areas to better meet local needs. The following measures will be used to ensure services are accessible in all service areas of the region:

- Analyzing the gaps by assessing unmet needs
- Incorporating feedback from community stakeholders
- Identifying costs and exploring alternative funding streams
- Developing or expanding services to meet gaps
- Identifying service providers willing to provide services within the area
- Ensuring core services are available within 30 miles in urban areas or 45 miles in rural areas

- Exploring technological innovations and modalities to meet needs more efficiently

#### **Utilization and Access to Services (IAC 441-25.21(1)d)**

Within the broad system approach outlined above, CSS will oversee access and utilization to services and population-based outcomes for the MHDS involved population in the region, in order to continuously improve system design and better meet the needs of people with complex challenges. In order to accomplish this, CSS will integrate planning, administration, financing, and service delivery using utilization reports from both the region and the state including the following:

- inventory of available services and providers
- utilization data on the services

Results will be analyzed to determine if there are gaps in services or if barriers exist due to:

- service offered
- adequate provider network
- restrictions on eligibility
- restrictions on availability
- location

This information will be used for future planning in the annual service budget plan, improving the system of care approach plan, collaboration with agencies, decentralizing service provisions, and provider network formation. In addition, the data elements, indicators, metrics and performance improvement for population management will be continuously improved over time as the region develops increasing capability for managing the needs of its population.

#### **D. Financing and Delivery of Services and Support (IAC 441-25.21(1)i)**

**NOTE: This section, and the following sections, except for section I, focus specifically on services directly funded by CSS, within the larger system design partnership described in the previous section.**

January 1, 2020 CSS became the single employer for CSS staff and assumed responsibility as the employer of record and fiscal agent for region funds. Each member county will be responsible for maintaining its own MHDS levy account for the deposit of tax revenues. All MHDS revenues so deposited and maintained, will belong, and be available upon demand, to the CSS Board.

CSS established an independent account for receipt of member county contributions and any state, federal or other funding directed to the region, and for payment of all claims. The CSS account, and CSS member county Fund 10 accounts, shall be under the control of the CSS Board. Each member county shall contribute monies from their MHDS levy account to the CSS account when needed as determined by the CSS Board. CSS will conduct an annual independent audit.

Administrative costs shall be submitted to and paid through the CSS account. Methods for determining allowable administrative costs, billing procedures and payment procedures shall be determined by the CSS Board.

Non-Medicaid Mental Health and Disability Services funding shall be under the control of the CSS Board in accordance with Iowa Administrative Code 441-25.13 (331). The CSS Board shall retain full authority and financial risk for the Plan. The finances of the region shall be

maintained to limit administrative burden and provide public transparency.

The Chief Executive Officer, Finance Manager and Chief Operating Officer shall prepare a proposed annual budget based upon the services outlined in the Annual Service and Budget Plan. Services will be prioritized in the following order:

- Core Services (see Appendix C) to core populations (as defined under Section F. Eligibility)
- Additional Core Services (see Appendix C)
- Additional populations (as defined under Section F. Eligibility)
- Services determined to be necessary for the well-being of individuals living within the region

The proposed budget shall be reviewed by the Governing Board for final approval. The CEO, with assistance from the Chief Operating and Finance Officers, shall be responsible for managing and monitoring the adopted budget.

Services funded by CSS are subject to change or termination with the development of the regional MHDS budget each fiscal year.

Under the direction of the CSS Board, CSS is its own fiscal agent. The CSS Board shall control the transfer of funds between member county MHDS Funds and the CSS account. All expenditures, including funds held by the CSS account and funds held in individual county accounts, shall comply with the guidelines outlined in the Annual Service and Budget Plan.

### **Accounting System and Financial Reporting**

The accounting system and financial reporting to the department conforms to Iowa Code 441- 25.13 (2) (331.391) and includes all non-Medicaid mental health and disability expenditures funded by the Region. Information is separated and identified in the most recent Uniform Chart of Accounts approved by the State County Finance Committee including, but not limited to, the following: expenses for administration; purchase of services; and enterprise costs for which the region may be a service provider or is directly billing and collecting payments.

### **Contracting/Provider Agreements**

CSS will contract with MHDS providers whose base of operation is in the region to meet the service needs of the population. CSS may also honor contracts that other regions have negotiated with their local providers and may choose to contract with providers outside of the region. A contract may not be required with providers that provide one-time or as needed services.

CSS may develop financial incentives for obtaining high performance individual outcomes and cost effectiveness. The region may utilize vouchers and other non-traditional means to fund services.

### **Funding**

Funding shall be provided for appropriate, flexible, cost-effective community services and supports to meet individual needs in the least restrictive environment possible. CSS recognizes the importance of individualized planning for services and supports to empower all individuals to reach their fullest potential.

An individual who is eligible for other funding must apply for, and accept, such funding and support and comply with requirements to maintain eligibility for such funding and support. Failure to do so shall render the individual ineligible for regional funds for services that would have been covered under funding, unless the region is mandated by state or federal law to pay for said services.

Individuals who are in immediate need and are awaiting approval and receipt of assistance under other programs may be considered eligible if all other criteria are met.

CSS shall be responsible for funding only those services and supports that are authorized in accordance with the process described in the MHDS Plan, within the constraints of budgeted dollars. CSS shall be the funder of last resort and regional funds shall not replace other funding that is available.

## **E. Enrollment (IAC441-25.21(1)b)**

### **Application and Enrollment**

Individuals residing within the CSS Region, or their legal representative, may apply for regional funding for services by contacting any local CSS office, calling our 24/7 support line, or by contacting one of the designated access points (Attachment A) to complete an application. Applications are also available online at the CSS website ([www.countysocialservices.org](http://www.countysocialservices.org)).

The CSS Application Form, or another region's application, shall be used for all applications. If language or other barriers exist, the access point shall contact an appropriate person to assist the applicant in the intake process. The completed application shall be forwarded by the access point to the CSS Central Intake staff within three (3) business days.

CSS Central Intake staff shall review the application in a timely manner to determine if all necessary information is present and complete on the application. If the application is incomplete, the applicant will be notified by mail informing them of the additional items that must be submitted. Eligibility determination will be completed within ten (10) business days of receipt of a fully completed application accompanied by a request for service funding, and a notice of decision will be mailed to the individual unless otherwise requested. Failure to respond with necessary information and/or to provide a fully completed application may result in a delay or denial of funding.

### **Residency**

If an applicant has complied with all information requests, his or her access to services shall not be delayed while awaiting a determination of legal residence. In this instance, CSS shall fund services and later seek reimbursement from the region of the county of legal residence.

*"County of residence"* means the county in this state in which, at the time a person applies for or receives services, the person is living and has established an ongoing presence with the declared, good faith intention of living in the county for a permanent or indefinite period of time. The county of residence of a person who is a homeless person is the county where the homeless person usually sleeps. A person maintains residency in the county in which the person last resided while the person is present in another county receiving services in a hospital, a correctional facility, a halfway house for community-based corrections or substance-related treatment, a nursing facility, an intermediate care

facility for persons with an intellectual disability, a residential care facility, or for the purpose of attending a college or university. (Iowa Code 331.394(1)a)

### **Exception to Policy**

An Exception to Policy may be considered in cases when an individual is significantly adversely affected by the regional eligibility policy. To request an Exception to Policy, the individual's care coordinator shall submit the completed "County Social Services Exception to Policy Form" to CSS Central Intake, as indicated on the form.

Criteria used in determining whether or not an exception is granted include:

- Documented need for the service
- Need cannot be met through other community resources
- Justification of the extenuating circumstances
- Exception is a fiscally sound decision for the region

Exceptions are reviewed and determined by the Region's CEO. The CEO will render a decision within ten (10) business days. The exception period may not exceed six months and may be renewed following the Exception to Policy procedure. Exceptions to Policy may not be appealed.

All Exceptions to Policy must be presented to the CSS Board at the next regularly scheduled meeting. Discussion by the CSS Board will help guide future changes in policy.

### **Confidentiality**

CSS is committed to respecting individual privacy. To that end, all persons, including CSS staff, CSS Board, and others with legal access to individual information, shall have an obligation to keep individual information confidential. Information shall only be released in accordance with HIPAA and other federal and state laws and in accordance with professional ethics and standards.

Confidential information may be released without written permission of the individual or their guardian for medical or psychological emergencies and inspection by certifying or licensing agencies of the state or federal government.

Individual files will be maintained for seven years following termination of service to the individual.

Procedures to assure confidentiality shall include:

- Individual's (or their legal guardian's) written consent shall be obtained prior to release of any confidential information, unless an emergency.
- Information or records released shall be limited to only those documents needed for a specific purpose.
- Individual or an authorized representative shall be allowed to request a copy any regionally-generated information in the individual record.
- Individual and related interviews shall be conducted in private settings.
- All discussion and review of individual's status and/or records by CSS staff shall be conducted in private settings.
- All paper and computer files shall be maintained in a manner that prevents public access to them.
- All confidential information disposed of shall be shredded.

- Steps shall be taken to assure that all fax, email, and cellular phone transmissions are secure and private.
- Staff shall receive initial and ongoing training concerning confidentiality and staff shall sign a statement agreeing to confidentiality terms.

In order to determine eligibility for regional funding, perform ongoing eligibility review, and to provide service coordination and monitoring, individuals or their authorized representatives shall be requested to sign release forms. Failure of individuals to sign or authorize a release of information shall not be an automatic reason for denial; however, CSS staff's inability to obtain sufficient information to make an eligibility determination may result in denial of regional funding.

## **F. Eligibility (IAC 441-25.21(1)c)**

**\*All residents are eligible for Information & Referral and Crisis Services regardless of eligibility criteria.\***

### **General Eligibility**

CSS staff shall review the application to determine if the applicant meets the general eligibility criteria of the regional plan.

1. Is at least eighteen years of age or meets the following guidelines:
  - a. An individual who is seventeen years of age, is a resident of this state, and is receiving publicly funded children's services may be considered eligible for services through the regional service system during the three-month period preceding the individual's eighteenth birthday in order to provide a smooth transition from children's to adult services.
2. An individual who is less than 18 years of age, their custodial parent is a resident of a CSS member county and the child is physically present in the state, has a diagnosis of Serious Emotional Disturbance (SED), may be considered eligible for children's behavioral health services
3. Is a resident of one of the counties within the CSS region.
4. Is a United States citizen or in the United States legally.

### **Financial Eligibility**

The household complies with financial eligibility requirements in IAC 441-25.16

1. Income Guidelines: Iowa Code 331.395.1
  - a. Gross income for an adult is 150% or below of the current Federal Poverty Guidelines.
  - b. Adult applicants with household income above 150% may be eligible for regional funding with an individual cost share as specified in this manual under "Cost share for services."
  - c. The child's family has countable household income equal to or less than 500 percent of the federal poverty level. Countable household income and family size shall be determined using the modified adjusted gross income methodology.
  - d. An eligible child whose family countable household income is at least 150 percent and not more than 500 percent of the federal poverty level shall be subject to a cost share.
  - e. The income eligibility standards specified herein shall not supersede the eligibility guidelines of any other federal, state, county, or municipal program. The income guidelines established for programs funded through Medicaid (Waiver programs, Habilitation Services, etc.) shall be followed if different than those established in this manual.

- f. In determining income eligibility, the average monthly income for the past three months will be considered; however, recent employment and/or income changes may be considered by CSS in determining income eligibility. Applicants are expected to provide proof of income, including pay stubs and income tax returns, as requested. See the full definition of Income in the Glossary for more details.

2. Resources Guidelines: Iowa Code 331.395

An adult individual must have resources that are equal to or less than \$2,000 in countable value for a single-person household or \$3,000 in countable value for a multi-person household or follow the most recent federal supplemental security income guidelines. CSS may, in the Annual Service and Budget Plan, raise this limit to match the Medicaid for Employed Persons with Disabilities resource guideline when funds are available.

- a. The countable value of all countable resources, both liquid and non-liquid, shall be included in the eligibility determination except as exempted in Iowa Code.
- b. A transfer of property or other assets within five years of the time of application with the result of, or intent to, qualify for assistance may result in denial or discontinuation of funding.
- c. Deposit of funds to a retirement account made within the last year of the date of application that exceed the resource threshold as stated above may result in denial or discontinuation of funding.
- d. The following resources shall be exempt:
  - (1) The homestead, including equity in a family home or farm that is used as the individual household's principal place of residence. The homestead shall include all land that is contiguous to the home and the buildings located on the land.
  - (2) One automobile per licensed adult used for transportation.
  - (3) Tools of an actively pursued trade.
  - (4) General household furnishings and personal items.
  - (5) Burial account or trust limited in value as to that allowed in the Medical Assistance Program.
  - (6) Cash surrender value of life insurance with a face value of less than \$1,500 on any one person.
  - (7) A retirement account that is in the accumulation stage.
  - (8) Any resource determined excludable by the Social Security Administration as a result of an approved Social Security Administration work incentive.
- e. An individual who is eligible for federally funded services and other support must apply for and accept such funding and support. CSS will provide funding for services while the individual is in the process of applying for health insurance. CSS staff may request proof of application and decision of eligibility.

3. Applicant is responsible to report any changes in income, finances, resources, or other changes in eligibility criteria, including household composition. Failure to report may result in repayment to the region and/or denial of service funding.

4. There are no resource limits for the family of a child seeking children's behavioral health services as stated in IAC 441- 25.16(2).

### **Diagnostic Eligibility**

An adult individual must have a diagnosis of Mental Illness (MI) and/or Intellectual Disability (ID). Individuals with an eligible MI or ID diagnosis who also have multi-occurring disorders are welcomed for care and eligible for services. Individuals with a covered diagnosis are eligible for all services

designated in the Annual Service and Budget Plan if the standardized assessment verifies the need for these services.

### **Mental Illness**

Individuals who at any time during the preceding twelve-month period were diagnosed with a mental health, behavioral, or emotional disorder or, in the opinion of a mental health professional, may now have such a diagnosable disorder. The diagnosis shall be made in accordance with the criteria provided in the most recent Diagnostic and Statistical Manual of Mental Disorders published by the American Psychiatric Association, and shall not include the manual's "V" codes identifying conditions other than a disease or injury. The diagnosis shall also not include substance-related disorders, dementia, antisocial personality, or developmental disabilities, unless co-occurring with another diagnosable mental illness.

### **Intellectual Disability**

Individuals who meet the following three conditions:

1. Significantly sub average intellectual functioning: an intelligence quotient (IQ) of 70, with a margin of error of plus or minus five (5) points, or below on an individually administered IQ test (for infants, a clinical judgment of significantly sub average intellectual functioning) as defined by the most recent Diagnostic and Statistical Manual of Mental Disorders published by the American Psychiatric Association.
2. Concurrent deficits or impairments in present adaptive functioning (i.e., the person's effectiveness in meeting the standards expected for the person's age by the person's cultural group) in at least two of the following areas: communication, self-care, home living, social and interpersonal skills, use of community resources, self-direction, functional academic skills, work, leisure, health, and safety.
3. The onset is before the age of 18.

The results of a standardized assessment must support the need for intellectual disability or mental illness services of the type and frequency identified in the individual's case plan.

A child with a diagnosis of a serious emotional disturbance (SED) is eligible for children's behavioral health services.

### **Serious Emotional Disturbance**

"Serious emotional disturbance" (SED) means a diagnosable mental, behavioral, or emotional disorder of sufficient duration to meet diagnostic criteria specified within the most current diagnostic and statistical manual of mental disorders published by the American psychiatric association that results in a functional impairment. SED does not include substance use and developmental disorders unless such disorders co-occur with such a diagnosable mental, behavioral, or emotional disorder.

### **Acceptable verification for Diagnostic requirements**

If a psychological or psychiatric evaluation or other acceptable verification of diagnosis is not available, CSS may refer the applicant to an appropriate mental health professional for evaluation to verify and document a diagnosis.

### **Assistance to Other than Core Populations (IAC441-25.21(1)g)**

If funds are available, CSS shall fund services to populations of individuals who have a diagnosis of a developmental disability other than an intellectual disability as defined in Iowa Administrative Code 441--24.1 (225C) and brain injury as defined in Iowa Code 83.81 and also to children not identified above to the extent allowable by law. These populations were funded in at least one member county's

MHDS plan prior to July 1, 2014. The additional populations covered will be determined annually and specified in the Annual Service and Budget Plan.

*“Persons with developmental disabilities”* means a person with a severe, chronic disability which:

1. Is attributable to mental or physical impairment or a combination of mental and physical impairments.
2. Is manifested before the person attains the age of 22.
3. Is likely to continue indefinitely.
4. Results in substantial functional limitations in three or more of the following areas of life activity: self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, and economic self-sufficiency.
5. Reflects the person’s need for a combination and sequence of services which are of lifelong or extended duration.

*“Persons with brain injury”* means an individual with clinically evident damage to the brain resulting directly or indirectly from trauma, infection, anoxia, vascular lesions or tumor of the brain, not primarily related to degenerative or aging processes, which temporarily or permanently impairs a person’s physical, cognitive, or behavioral functions as defined in Iowa Code section 83.81.

### **Notice of Decisions/Timeframes**

Once a fully completed application is received in a local county office, the Chief Operating Officer or designee shall determine if the applicant meets the general eligibility criteria within ten (10) business days. A Notice of Decision shall inform the individual of the eligibility determination.

For outpatient services, a Notice of Decision will be mailed to the individual in a timely manner. This Notice of Decision will include the authorized category of services (outpatient) and service provider. Necessary and immediate services (as determined by the Service Coordinator/Designee) will be approved within ten (10) business days. In the event of an emergency, the approval process will be expedited.

For services other than outpatient, a summary of the initial assessment, including diagnosis, will be requested by CSS. If the individual requires further services, the individual will be referred to a CSS service coordinator, a managed care organization or the appropriate Integrated Health Home. Additional services will be approved within ten (10) business days from the receipt of a Funding Request submitted by the service coordinator/case manager. The applicant shall be sent a copy of the region’s appeal process and informed that they have the right to appeal the decision.

### **Service and Functional Assessment (IAC441-25.21(1)o)**

Standardized functional assessment methodology designated by the director of the Iowa Department of Human Services shall be completed on individuals requesting services more intense than outpatient therapy and psychiatry. The assessment will be completed within ninety (90) days of application. The results will determine if there is a need for services, including the type and frequency of service. Individuals eligible for services more intensive than outpatient therapy and psychiatry may be referred to service coordination, care coordination or case management.

The assessment will be conducted by an impartial trained care coordinator. The Inter-RAI will be the tool used for individuals with MI and the CSS Comprehensive Assessment will be the tool used for all other populations served. CSS also has a standardized crisis assessment that shall be used for crisis intervention. CSS will use the START Comprehensive Assessment for individuals referred to I-START, as well as individuals enrolled in Intensive Residential Services. Where a standardized assessment has been recently completed by another agency, IHH care coordinator or the managed care organization,

an attempt will be made to secure that document as opposed to conducting our own assessment.

### **Service Funding Authorization**

For an individual who has had a functional assessment completed, the Service Notice of Decision shall inform the individual of the action taken on the application, reason for the action, authorized service provider, authorized service(s) and units of services approved based on results of the standardized assessment, contingent on availability of funding. This Service Notice of Decision will be issued within ten (10) days of receipt of the functional assessment. The applicant shall be sent a copy of the CSS's appeal process and informed that they have the right to appeal the decision. (See Appeal Process)

All individuals who receive ongoing CSS-funded services more intensive than outpatient therapy and psychiatry, providers and/or care coordinators may be required to submit a service plan prior to funding authorization which shall identify the individual's needs and desires and establish goals with action steps to meet those goals. As with the application and enrollment process, individuals will be informed of their right to appeal any service planning/service authorization decision.

### **Cost share for services**

Any cost share or other client participation required by any federal, state, region, or municipal program in which the individual participates shall be required to be paid by the individual. Such co-payments include, but are not limited to:

- Client participation for maintenance in a residential care facility through the state supplementary assistance program
- The financial liability for institutional services paid by counties as provided in Iowa Code section 230.15
- The financial liability for attorney fees related to commitment as provided by Iowa Code section 229.19
- Cost share for outpatient services based on a sliding fee scale (Appendix B) if the client income is over the established guidelines. This sliding fee scale will be updated and included in the Annual Service and Budget Plan.
- Cost share for services other than outpatient for those adult individuals with incomes between 150%-300% of federal poverty level. This amount is collected by the service agency. The amount of the cost share is equal to the individual's income, less a \$250.00 wage earner's disregard where applicable, and the current calendar year's Federal Poverty Guidelines for the appropriate household size.
- Cost share for children's behavioral health services for those families with incomes between 150-500% of federal poverty level. This amount is collected by the service agency. The cost share amount, based on the family's household income, is documented in the Iowa Administrative Code 441-25.16(3)(b) and may also be found in Attachment C of this document.

No cost share shall be assessed to individuals with income equal to or less than 150 percent of the federal poverty level, as defined by the most recently revised poverty income guidelines published by the U.S. Department of Health and Human Services.

### **HCBS Waiver Waiting List**

CSS will fund essential services for eligible individuals that have been placed on an HCBS Waiver waiting list based on the criteria specified in this policy. The intent of CSS is to assure safety to individuals, avoid institutional levels of support and promote community living and employment opportunities.

The following are required for CSS to fund services for individuals on the HCBS Waiver waiting lists:

- The individual must meet all of the eligibility criteria of the CSS Annual Service and Budget Plan (income, resources, age, residence).
- The individual must meet the diagnostic criteria as specified in the CSS Annual Service and Budget Plan; and, the diagnosis must be substantiated by a written evaluation by a qualified professional within six years from date of application.
- The individual's need for services must be substantiated by an assessment (CSS Comprehensive Assessment, or other designated assessment tool) completed by a Care Coordinator or a contracted organization.

## **G. Appeals Process (IAC 441-25.21(1))**

### **Non-Expedited Appeals Process**

Individuals, families, and individual representatives (with the consent of the individual) may appeal the decisions of the region or any of its designees or contractors at any time.

**How to Appeal:** An appeal may be submitted in writing to any County Social Services office within ten (10) working days of receipt of the Notice of Decision. It may also be mailed to our Winneshiek County office, 602 Washington St., Decorah, IA 52101. The written appeal shall include:

- The reason for the appeal, including the specific action by CSS that is being appealed
- Contact information of appellant, including address and telephone number
- Signature of appellant
- Date

If an individual is unable to submit an appeal in writing, they may contact CSS Central Intake at 563-387-4144 for assistance in completing the Appeals Process.

### **Reconsideration**

After an appeal is received by CSS, the CEO or designee will contact the individual within five (5) business days to schedule a meeting to discuss the appeal. The individual may be asked for additional information and other sources may be contacted if permission is given. Following a review of additional information and all relevant facts, a written decision shall be issued no later than five (5) business days following the contact with the individual. A copy of the decision shall be sent to the individual or his/her legal guardian by regular mail.

### **Administrative Law Judge**

If a resolution is not agreed upon through the Reconsideration process, then the individual or guardian may pursue an appeal hearing through a state Administrative Law Judge (ALJ). The decision of the state ALJ shall be the final decision. County Social Services will not provide or fund legal assistance. Legal Services of Iowa (1-800-532-1275 or <http://www.iowalegalaid.org/>) or Iowa Protection and Advocacy (1-800-779-2502) may provide legal assistance. An individual is not

required to have a legal representative but may if he/she wishes. An individual may contact County Social Services at 855-266-1257 for any assistance.

### **Expedited Appeals Process**

This appeals process shall be performed by a mental health professional who is either the Administrator of the Division of Mental Health and Disability Services of the Iowa Department of Human Services or the Administrator's designee. The process is to be used when the decision of CSS concerning an individual varies from the type and amount of service identified to be necessary for the individual in a clinical determination made by a mental health professional and the mental health professional believes that the failure to provide the type and amount of service identified could cause an immediate danger to the individual's health and safety.

#### **How to Appeal:**

Written appeal forms may be requested from CSS staff (see above chart).

1. The appeal shall be filed within five (5) business days of receiving the Notice of Decision by CSS. The expedited review by the Division Administrator or designee shall take place within two (2) business days of receiving the request, unless more information is needed. There is an extension of two (2) business days from the time the new information is received.
2. The Administrator shall issue an order, including a brief statement of findings of fact, conclusions of law, and policy reasons for the order, to justify the decision made concerning the expedited review. If the decision concurs with the contention that there is an immediate danger to the individual's health or safety, the order shall identify the type and amount of service, which shall be provided for the individual. The Administrator or designee shall give such notice as is practicable to individuals who are required to comply with the order. The order is effective when issued.
3. The decision of the Administrator or designee shall be considered a final agency action and is subject to judicial review in accordance with section 17A.19.

## **H. Provider Network Formation and Management (IAC 441-25.21 (1)i)**

County Social Services continues to build a welcoming, multi-occurring, trauma informed provider network that will exceed national standards for excellence. Partners will work together, incorporating people with lived experience into all parts of the system to bring about better outcomes for all individuals.

In partnership with all stakeholders, CSS offers a system of care that is individualized, offers integrated services and incorporates evidence-based practices that have been independently verified by the region as meeting established fidelity to evidence-based service models including, but not limited to, assertive community treatment or strengths-based case management; integrated treatment of co-occurring substance abuse and mental health disorders; supported employment; family psychoeducation; illness management and recovery; and permanent supportive housing, as indicated in IAC 441-25.4(3). We are collaborating among all members so that every provider and every person is equipped to succeed. We involve people who use the services in planning and service delivery. All members of the region work together to create an atmosphere of hopefulness and trust for all parties.

CSS expects a welcoming, respectful attitude among all stakeholders. We work together to

implement a vision of accessibility, integration, cooperation and financial accountability.

CSS encourages providers to participate in a quality improvement partnership for system development in the region to become welcoming, person/family centered, trauma informed, and multi-occurring capable. CSS will provide opportunities for training, mentoring and support so that all providers will have opportunity to increase their capabilities and enhance the skills of their workforce. CSS has an excellent provider network and we believe that the provider network that exists today will continue to exist in the future.

CSS maintains a network of licensed and accredited, contracted service providers to meet the continuum of service needs of individuals and to provide each service in the required core service domains. CSS retains the right to authorize providers of service and all must be approved network providers in order to be eligible for regional funding. Payment for commitment related sheriff transportation, court-appointed attorneys, and other incidental, temporary or emergency services may be exempt from this policy.

To be included in the regional MHDS provider network, a provider must meet at least one of the following criteria:

- Currently licensed, accredited or certified by the State of Iowa, or
- Currently enrolled as a Medicaid provider, or
- Currently accredited by a recognized state or national accrediting body (Joint Commission on Accreditation of Health Care Organization-JCAHO, Council on Rehabilitation Facilities-CARF, etc.)
- Currently has a contract with any Iowa region

All providers included in the CSS provider network subject to licensure or accreditation shall meet all applicable standards and criteria and must maintain their license or accreditation to remain network providers. If the situation warrants an immediate change in providers, the region shall assist in the transfer of individuals to another network provider.

CSS will make efforts to recruit and approve non-traditional provider agencies as part of the service provider network. The following is the criteria and process for selecting and approving providers not currently subject to license, certification, or other state approval standards:

- All applicants will provide:
  1. A personal or organizational history
  2. A description of prior experience in working with individuals with complex needs
  3. A description of special skills, education and/or experience that qualifies them to provide the given service(s)
  4. References
- All applicants will provide evidence that they have no current record in any of the following registries:
  - Criminal
  - Sex offender
  - Child abuse/dependent adult abuse
- All applicants shall provide evidence of applicable insurance (including liability insurance) and the mental/physical abilities or other qualifications needed to perform the service (i.e. driver's

license, ability to lift, ability to read label, etc.) and that they are not barred from Medicaid reimbursement.

New providers may be added to the provider network if it is determined either a particular individual will benefit from the service (as determined by the individual's inter-disciplinary team), or that the provider will provide service(s) that will enhance the service system. New network providers shall be approved through the following process:

1. A referral or request for a new network provider may be made by an individual (or authorized representative), individual's case manager or coordinator, or directly by a provider. All requests to become a member shall be directed to the Region's Contract Manager.
2. Provider applicant shall be screened by the Region's CEO. Provider may be asked to meet for an interview or provide additional information.
3. The Region shall inform the provider of acceptance or denial.
4. New network providers shall receive appropriate orientation and training concerning CSS's Management Plan.

CSS shall manage the provider network to ensure individual needs are met. CSS shall ensure an adequate number of providers are available to avoid waiting lists by contracting with outpatient mental health providers, Community Mental Health Centers, at least one inpatient psychiatric hospital within reasonably close proximity and other providers of core services.

## **I. Quality Management and Improvement (IAC 441-25.21(1)e)**

CSS shall have a quality improvement process that provides for ongoing and periodic evaluation of the service system and of the providers of services and supports in the system. Stakeholders, with emphasis on individual input, shall be involved in the development and implementation of the quality improvement program. The basic framework of the quality improvement process will be aligned with the Multi-Occurring Capabilities process.

### **System Evaluation**

The system evaluation shall include, but not be limited to, outcome and performance in the following domains:

- access to service
- life in the community
- person centeredness
- health and wellness
- quality of life and safety
- family natural supports

Annually, the CSS Board shall evaluate the region's performance and develop a list of priority areas needing improvement. CSS staff shall participate in developing a plan that includes measurable goals and action steps with a process of collecting data. Based on the data, areas needing improvement shall be addressed. The CEO shall evaluate the levels of improvement resulting from the program plan and determine if further action is needed. This shall be documented in the Annual Report.

### **Quality of Provider Services**

The services and supports evaluation shall include, but not be limited to:

- evaluation of the quality of provider services and supports based on individual satisfaction and achievement of desired individual outcomes
- number and disposition of appeals of provider actions and the implementation of corrective action plans based on these appeals
- cost-effectiveness of the services and supports developed and provided by individual providers
- extent to which the provider implements trauma informed, multi-occurring, evidence-based practices

The evaluations shall ensure that services and supports are provided in accordance with provider contracts.

### **Methods Utilized for Quality Improvement**

- direct interaction and feedback from individuals, families, providers, case managers, service coordinators, and other stakeholders
- use of needs assessments, satisfaction surveys, and other written questionnaires
- use of the multi-occurring capability toolkit and program tracking tools to monitor progress on the implementation of multi-occurring capability
- establishment and maintenance of a data collection and management information system oriented to the needs of individuals, providers, and other programs or facilities
- tracking changes and trends in the disability services system and providing reports to the Department of Human Services as requested for the following information for each individual served:
  - demographic information
  - expenditure data
  - data concerning the services and other support provided to each individual, as specified in administrative rule adopted by the Commission

### **Central Data Repository Regional Requirements**

- CSS has contracted with ISAC to use the Community Services Network Database (CSN) as the data collection and management information system. It has the capacity to exchange information with the department, counties and regions, contractors, and others involved with services to persons with a disability who have authorized access to the central data repository.
- CSS will support the integration of CSN with DHS data gathering to provide the most consistent and transparent reporting of data to stakeholders. CSS further supports the direct reporting from CSN to DHS to reduce duplication of effort.
- The information exchanged shall be labeled consistently and share the same definitions.
- The outcome and performance measures applied to the regional service system shall utilize measurement domains. The department may identify other measurement domains in consultation with system stakeholders to be utilized in addition to the following initial set of measurement domains:
  - Access to services
  - Life in the community
  - Person-centeredness

- Health and wellness
- Quality of life and safety
- Family and natural supports
- Education

## **J. Service Provider Payment Provisions (IAC 441-25.21(1)k)**

Each service provider shall provide monthly billing invoices and other information requested of the provider for utilization review. The monthly billings shall include the following information:

- name and unique identifier of each individual served during the reporting period
- identifier and name of service(s) provided
- number of units of service, unit rate and total cost of units provided to each individual
- reimbursement billed to other sources (including client participation or co-pay), and therefore deducted from the county costs, for each individual
- actual amount to be charged to the Region for each individual for the period
- unique invoice number
- when requested, attendance records and/or other documentation substantiating service provision

Providers will be encouraged to submit billings in an electronic format if possible. CSS claims staff will provide the format and an initial electronic claim. Providers may choose to file utilizing an 837 Health Care Claim. All paper claims should be e-mailed (via secure e-mail) to [claims@countysocialservices.org](mailto:claims@countysocialservices.org) or be submitted to Central Billing (address given at contracting time).

Providers are expected to submit invoices within sixty (60) days of the service unless the provider is waiting for third party payment. No bill will be paid that is over one year old from the date of service unless there is a statutory obligation.

CSS claims staff shall review the billings and additional utilization information in comparison with service funding authorizations in place. CSS will only reimburse for those services that are authorized and at the rate approved. CSS will reimburse out-of-region providers according to the terms and rates outlined in the host region contract. Services delivered without service funding authorization shall be deducted from the billing, unless otherwise contracted.

It is the intent of CSS that only CSS staff shall authorize services for residents of the region. CSS will reimburse another region for services paid while a determination of residency is being made.

## **K. Waiting List Criteria (IAC 441-25.21(1)r)**

The CSS Board will designate reserves annually to provide at risk assurance that a waiting list will not be implemented in the period covered by the approved Annual Service and Budget Plan. However, in the event that these reserves are depleted, and encumbered expenses in the given fiscal year exceed available regional funds, the following waiting list criteria would be utilized.

Core Services (Appendix C) to core populations (Individuals with an eligible MI or ID diagnosis) will be a priority. Additional Core Services (Appendix D) will be the next priority. Additional populations served,

as defined starting on page 15, will be the next priority and other services determined to be necessary for the well-being of individuals living in the region will be the final priority.

If a waiting list is implemented, individuals placed on the waiting list will be notified and provided the estimated length of time before funding will be available. When funding becomes available, CSS will determine the services and individuals approved for funding in accordance with the date placed on the waiting list and on emergency need.

The waiting list applies to all new recipients, individuals requesting an increase in services or additional services, and may include renewal of identified services. Exceptions may be granted based on vital need and/or safety or when mandated by Iowa Code. The waiting list shall be centrally maintained by the CEO or their designee.

Any waiting list that may exist shall be reviewed annually when planning for future budgeting needs and future development of services. Data from any implemented waiting list will be compiled and used in any future planning.

#### **L. Amendments (IAC 441-25.21(3))**

This manual has been approved by the CSS Board and by the Director of the Iowa Department of Human Services.

Amendments to this Policy and Procedures Manual shall be reviewed by the Adult and Children's Advisory Committees, who shall make recommendations to the CSS Board. After approval by the CSS Board, amendments shall be submitted to the Director of the Iowa Department of Human Services for approval at least forty-five (45) days before the planned date of implementation.

## Attachment A

### County Social Services Designated Access Points

Applications may be completed by contacting any listed access point.

Access Point	Location	Contact Information
CSS Support Line	N/A	855-266-1257
<b>County Social Services Local County Offices</b>		
Allamakee County	110 Allamakee Street Waukon, IA 52172	563-568-6227
Black Hawk County	1407 Independence Ave. Waterloo, IA 50703	319-292-2272
Butler County	315 N. Main Street Allison, IA 50602	319-267-2663
Cerro Gordo County	525 9 <sup>th</sup> Street SE Mason City, IA 50401	641-210-7015
Chickasaw County	114 N. Vine Street West Union, IA 52175	563-422-5047
Clayton County	<location to be determined> Guttenberg, IA 52052	563-252-3215
Emmet County	609 1st Ave N, Ste. 5 Estherville, IA 51334	712-362-2452
Fayette County	114 N. Vine Street West Union, IA 52175	563-422-5047
Floyd County	1206 S. Main St., Ste D Charles City, IA 50616	641-257-6363
Grundy County	706 H Avenue, Suite 1 Grundy Center, IA 50638	319-824-6779
Hancock County	545 State St., Suite 1 Garner, IA 50438	641-590-2340
Howard County	205 2nd Street E Cresco, IA 52136	563-547-9207
Humboldt County	203 Main Street Dakota City, IA 50529	515-332-5205
Mitchell County	415 Pleasant Street Osage, IA 50461	641-832-2615
Pocahontas County	23 3rd Ave NE Pocahontas, IA 50574	712-335-3269
Tama County	211 W. State Street Toledo, IA 52342	641-484-4191
Webster County	308 Central Ave. Fort Dodge, IA 50501	515-573-1485
Winneshiek County	607 Washington St. Decorah, IA 52101	855-266-1257
Wright County	120 1st Ave NW Clarion, IA 50525	515-532-3309

Designated Mental Health Center Access Points		
Black Hawk-Grundy Mental Health Center (Black Hawk, Grundy)	3251 West 9th St. Waterloo, IA 50702	800-583-1526
Center Associates (Tama)	1309 S. Broadway Toledo, IA 52342	800-896-2055
Northeast Iowa Behavioral Health (Allamakee, Clayton, Howard, Fayette, Winneshiek)	905 Montgomery St. Decorah, IA 52101	800-400-8923
Pathways Behavioral Services (Butler, Chickasaw)	111 10th St. SW Waverly, IA 50677-0114	800-879-1372
Prairie Ridge Integrated Behavioral (Cerro Gordo, Floyd, Hancock, Mitchell)	32 N. Eisenhower Ave Mason City, IA 50401	866-429-2391
Seasons Center for Behavioral Health (Emmet)	201 E. 11th Street Spencer, IA 51301	800-242-5101
UnityPoint Health – Berryhill Center (Humboldt, Pocahontas, Webster, Wright)	720 S. Kenyon Rd. Fort Dodge, IA 50501	800-482-8305

#### Adult Crisis Service Access Points

Adult Crisis Stabilization Center (ACSC)	Phone: 319-291-2455 1440 W. Dunkerton Road Waterloo, Iowa 50703
Community and Family Resources (CFR)	Phone: 515-576-7261 726 S 17th St. Fort Dodge, IA 50501

#### Children’s Crisis Service Access Points

Lutheran Services in Iowa (Bremwood Campus)	Phone: 319-85-3549 106 16 <sup>th</sup> St. SW Waverly, IA 50677
Youth & Shelter Services (Francis Lauer-Mason City)	Phone: 641-423-7362 50 N. Eisenhower Ave. Mason City, IA 50401
Youth Shelter Care of North Central Iowa, Inc.	Phone: 515-955-4222 301 Ave M West Fort Dodge, IA 50501

**Attachment B**

County Social Services

2020 Sliding Fee Schedule for CMHC Outpatient Services

	<b>Household Size:</b>								
<b>Client Cost Share</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>% Poverty</b>
	<b>Income listed is the upper threshold for that cost share.</b>								
<b>No Fee</b>	\$1,595	\$2,155	\$2,715	\$3,275	\$3,835	\$4,395	\$4,955	\$5,515	150%
<b>\$10</b>	\$1,808	\$2,442	\$3,077	\$3,712	\$4,346	\$4,981	\$5,616	\$6,250	170%
<b>\$20</b>	\$2,020	\$2,730	\$3,439	\$4,148	\$4,858	\$5,567	\$6,276	\$6,986	190%
<b>\$30</b>	\$2,233	\$3,017	\$3,801	\$4,585	\$5,369	\$6,153	\$6,937	\$7,721	210%
<b>\$40</b>	\$2,446	\$3,304	\$4,163	\$5,022	\$5,880	\$6,739	\$7,598	\$8,456	230%
<b>\$50</b>	\$2,658	\$3,592	\$4,525	\$5,458	\$6,392	\$7,325	\$8,258	\$9,192	250%
<b>\$60</b>	\$2,871	\$3,879	\$4,887	\$5,895	\$6,903	\$7,911	\$8,919	\$9,927	270%
<b>\$70</b>	\$3,084	\$4,166	\$5,249	\$6,332	\$7,414	\$8,497	\$9,580	\$10,662	290%
<b>\$80</b>	\$3,296	\$4,454	\$5,611	\$6,768	\$7,926	\$9,083	\$10,240	\$11,398	310%
<b>\$90</b>	\$3,509	\$4,741	\$5,973	\$7,205	\$8,437	\$9,669	\$10,901	\$12,133	330%
<b>\$100</b>	\$3,722	\$5,028	\$6,335	\$7,642	\$8,948	\$10,255	\$11,562	\$12,868	350%
<b>Full Fee</b>	<b>&gt;\$3,722</b>	<b>&gt;\$5,028</b>	<b>&gt;\$6,335</b>	<b>&gt;\$7,642</b>	<b>&gt;\$8,948</b>	<b>&gt;\$10,255</b>	<b>&gt;\$11,562</b>	<b>&gt;\$12,868</b>	<b>&gt;350%</b>

\*monthly gross income

**Income listed is the upper threshold for that cost share.**

100% Poverty	\$1,063	\$1,437	\$1,810	\$2,183	\$2,557	\$2,930	\$3,303	\$3,677
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**Attachment C**  
**Children’s Behavioral Health Services: Cost-Share for Family**

<b>Family Income as a % of FPL</b>	<b>Cost Share % Paid by Family</b>
0 to 150%	0%
151 to 200%	10%
201 to 250%	15%
251-300%	20%
301-350%	35%
351-400%	50%
401-450%	65%
450-500%	80%
Over 500%	100%

### Attachment D : Services Matrix

Eligibility for services will be based on the standardized assessment of the individual. Individuals with multi-occurring conditions may receive services other than those listed under their primary diagnosis. Service availability changes from time to time. See ASBP for current availability.

**County Social Services funds many other additional support services which are found in the Annual Service & Budget Plan.**

#### Core Services

Service	Description	Eligible Diagnostic Groups					Access Standards
		MI	ID	DD	BI	Children	
<b>Domain: Treatment</b>							
Assessment and Evaluation and Early Identification	The clinical review by a mental health professional of the current functioning of the individual using the service in regard to the individual's situation, needs, strengths, abilities, desires and goals to determine the appropriate level of care. Detecting developmental delays or untreated conditions that may indicate the need for further evaluation.	x	x	x	x	x	An individual who has received inpatient services shall be assessed and evaluated within 4 weeks.
Mental health outpatient treatment	Evaluation and treatment services provided on an ambulatory basis for the target population. Outpatient services include psychiatric evaluations, medication management, and individual, family, and group therapy. Outpatient services shall provide elements of diagnosis, treatment, and appropriate follow-up.	x	x	x	x	x	Emergency within 15 minutes of telephone contact; Urgent within one hour of presentation or telephone contact; Routine within 4 weeks of request for appointment.
Medication management	Services provided directly to, or on behalf of, the individual by a licensed professional as authorized by Iowa law including, but not limited to, monitoring effectiveness of and compliance with a medication regimen; coordination with care providers, investigating potentially negative or unintended psychopharmacologic or medical interactions; reviewing lab reports; and activities pursuant to licensed prescriber orders.	x	x	x	x	x	
Medication prescribing	Services with the individual present provided by an appropriately licensed professional as authorized by Iowa law including, but not limited to, determining how the medication is affecting the individual; determining any drug interactions or adverse drug effects on the individual; determining the proper dosage level; and prescribing medication for the individual for the period of time before the individual is seen again.	x	x	x	x	x	
Mental health inpatient treatment	Inpatient psychiatric services to treat an acute psychiatric condition provided in a licensed hospital with a psychiatric unit or licensed freestanding psychiatric hospital	x	x	x	x	x	An individual in need of emergency inpatient services shall receive treatment within 24 hours.

Domain: Crisis Services							
24 Hour Access to Crisis Response	The individual will have 24/7 access to the processed used with an individual to collect information related to the individual's history and needs, strengths, and abilities in order to determine appropriate services or referral during an acute crisis episode.	x	x	x	x	x	24 hours a day, seven days a week, 365 days a year.
Crisis evaluation	The process used with an individual to collect information related to the individual's history and needs, strengths, and abilities in order to determine appropriate services or referral during an acute crisis episode.	x	x	x	x	x	Within 24 hours.
23 Hour Crisis Observation and Holding	A level of care provided for up to 23 hours in a secure and protected, medically staffed, psychiatrically supervised treatment environment.	x	x	x	x		An individual who has been determined to need 23-hour observation and holding shall receive the service within 120 minutes of referral. Service is located within 120 miles from the individual's residence.
Mobile Response	A mental health service which provides on-site, face-to-face mental health crisis services for an individual experiencing a mental health crisis. Crisis response staff providing mobile response have the capacity to intervene wherever the crisis is occurring, including but not limited to the individual's place of residence, an emergency room, police station, outpatient mental health setting, school, recovery center or any other location where the individual lives, works, attends schools, or socializes	x	x	x	x	x	Face to face contact with the individual in crisis within 60 minutes from dispatch.
Crisis Stabilization community-based services	Short-term services designed to de-escalate a crisis situation and stabilize an individual following a mental health crisis and provided where the individual lives, works or recreates	x	x	x	x	x	An individual who has been determined to need CSCBS shall receive face-to-face contact from the CSCBS provider within 120 minutes from the time of referral. <b>Up to three days per episode regardless of eligibility guidelines.</b> Extended stays beyond three days must be requested through the prior approval process and eligibility criteria of the Plan.
Crisis Stabilization Residential-based services	Short-term alternative living arrangement designed to de-escalate a crisis situation and stabilize an individual following a mental health crisis and is provided in organization-arranged settings of no more than 16 beds	x	x	x	x	x	An individual who has been determined to need CSRS shall receive CSRS within 120 minutes of referral. The service shall be located within

							120 miles from the residence of the individual. <b>Up to three days per episode regardless of eligibility guidelines.</b> Extended stays beyond three days must be requested through the prior approval process and eligibility criteria of the Plan.
Access Centers	Coordinated provision of intake assessment, screening for multi-occurring conditions, care coordination, crisis stabilization residential services, subacute mental health services, and substance abuse treatment for individuals experiencing a mental health or substance use crisis who do not need inpatient psychiatric hospital treatment but who do need significant amounts of supports and services not available in other home-and-community based settings.	x	x	x	x		No residential facility-based setting with more than 16 beds; accredited to provide crisis stabilization residential services; provide subacute mental health services; shall be licensed as a substance abuse treatment program pursuant to Iowa Code Chapter 125 or have a cooperative agreement with and immediate access to licensed substance abuse treatment services or medical care that incorporates withdrawal management
Personal emergency response system	An electronic device connected to a 24-hour staffed system which allows the individual to access assistance in the event of an emergency.	x	x	x	x		
<b>Domain: Support for Community Living</b>							
Home and vehicle modification	A service that provides physical modifications to the home or vehicle that directly address the medical health or remedial needs of the individual that are necessary to provide for the health, welfare, and safety of the member and to increase or maintain independence.	x	x	x	x		Lifetime limit equal to that established for the HCBS waiver for individual with intellectual disabilities. Provider payment will be no lower than that provided through the HCBS waiver.
Home health aide	Unskilled medical services which provide direct personal care. This service may include assistance with activities of daily living, such as helping the recipient to bathe, get in and out of bed, care for hair and teeth, exercise, and take medications specifically ordered by the physician.	x	x	x	x		

Respite	A temporary period of relief and support for individuals and their families provided in a variety of settings. The intent is to provide a safe environment with staff assistance for individuals who lack an adequate support system to address current issues related to a disability. Respite may be provided for a defined period of time; respite is either planned or provided in response to a crisis.	x	x	x	x		
Supported community living	Services provided in a non-institutional setting to adult persons with mental illness, an intellectual disability, or developmental disability to meet the person's daily living needs.	x	x	x	x		The first appointment shall occur within four weeks of the individual's request for the service.
Intensive Residential Services	Intensive, community-based services provided 24 hours a day, 7 days a week, 365 days a year to individuals with a severe and persistent mental illness who have functional impairments and may also have multi-occurring conditions. Providers of intensive residential service homes are enrolled with Medicaid as providers of HCBS habilitation or HCBS intellectual disability waiver supported community living and meet additional crisis specified in sub-rule 25.6(8).	x	x	x	x		Service is provided within 4 weeks of referral. Service is available within 2 hours from the individual's residence.

<b>Domain: Support for Employment</b>							
Day habilitation	Services that assist or support the individual in developing or maintaining life skills and community integration. Services shall enable or enhance the individual's functioning, physical and emotional health and development, language and communication development, cognitive functioning, socialization, and community integration, functional skill development, behavior management, responsibility and self-direction, daily living activities, self-advocacy skills, or mobility.	x	x	x	x		
Job development	Services that assist individuals in preparing for, securing and maintaining gainful, competitive employment. Employment shall be integrated into normalized work settings, shall provide pay of at least minimum wage, and shall be based on the individual's skills, preferences, abilities and talents. Services assist individuals seeking employment to develop or re-establish skills, attitudes, personal characteristics, interpersonal skills, work behaviors, and functional capacities to achieve positive employment outcomes.	x	x	x	x		The initial referral shall take place within 60 days of the individual's request for support for employment.
Prevocational services	Services that focus on developing generalized skills that prepare an individual for employment. Prevocational training topics include but are not limited to attendance, safety skills, following directions, and staying on task.	x	x	x	x		
Supported employment	An approach to helping individuals participate as much as possible in competitive work in integrated work settings that are consistent with the strengths, resources, priorities, concerns, abilities, capabilities, interests, and informed choice of the individuals. Services are targeted for individuals with significant disabilities for whom competitive employment has not traditionally occurred; or for whom competitive employment has been interrupted or intermittent as a result of a significant disability including either individual or group supported employment, or both, consistent with evidence-based practices.	x	x	x	x		The initial referral shall take place within 60 days of the individual's request for support for employment.
<b>Domain: Recovery Services</b>							
Family Support	Services provided by a family support peer specialist that assists the family of an individual to live successfully in the family or community including, but not limited to, education and information, individual advocacy, family support groups, and crisis response.	x	x	x	x		An individual shall not have to travel more than 30 miles if living in an urban area or 45 miles if residing in a rural area to receive services.

Peer Support	A program provided by peer support specialists including, but not limited to, education and information, individual advocacy, family support groups, crisis response, and respite to assist individuals in achieving stability in the community.	x	x	x	x		An individual shall not have to travel more than 30 miles if living in an urban area or 45 miles if residing in a rural area to receive services.
<b>Domain: Service Coordination</b>							
Case management (includes targeted case management and region strength-based case management)	Services provided by a case manager who assists an individual in gaining access to needed medical, social, educational and other services through assessment, development of a care plan, referral, monitoring and follow-up using a strengths-based service approach that helps the individual achieve specific desired outcomes leading to a health self-reliance and interdependence with their community	x	x	x	x		An individual shall not have to travel more than 30 miles if living in an urban area or 45 miles if residing in a rural area to receive service coordination. An individual shall receive service coordination within 10 days of the initial request or being discharged from an inpatient facility.
Health homes	A service model that facilitates access to an interdisciplinary array of medical care, behavioral health care, and community-based social services and supports for both children and adults with chronic conditions. Service may include comprehensive care management; care coordination and health promotion; comprehensive transitional care from inpatient to other settings, including appropriate follow-up; individual and family support, which includes authorized representatives; referral to community and social support services, if relevant; and the use of health information technology to link services, as feasible and appropriate.	x	x	x	x		
<b>Domain: Sub-Acute Services</b>							
Subacute services	A comprehensive set of wraparound services to adults who have had or are at imminent risk of having acute or crisis mental health symptoms. Includes both facility-based and community-based settings	x	x	x	x		An individual shall not have to travel more than 30 miles if living in an urban area or 45 miles if residing in a rural area to receive service coordination. An individual shall receive service coordination within 10 days of the initial request or being discharged from an inpatient facility.
<b>Domain: Core Evidence Based Treatment</b>							

Education & Training Services-provider competency	Educational and training services means training related to provider competency in delivering co-occurring integrated services, trauma-informed services and evidence-based practices.	x	x	x	x		
Supported Housing	A combination of housing and services intended as a cost-effective way to help people live more stable, productive lives.	X					
Assertive community treatment	A team treatment approach designed to provide comprehensive, community-based psychiatric treatment, rehabilitation, and support to persons with serious and persistent mental illness.	x					
Family psychoeducation	Services including the provision of emotional support, education, resources during periods of crisis, and problem-solving skills consistent with evidence-based practice standards published by SAMHSA.	X					

#### Additional Core Services

Service	Description	Eligible Diagnostic Groups					Access Standards
		MI	ID	DD	BI	Children	
<b>Domain: Justice system-involved services</b>							
Coordination services	Coordination services provided to individuals involved in the justice system.	x	x	x	x		
24-hour crisis line	24/7 hotline for all CSS residents to access in times of crisis.	x	x	x	x	x	This service is provided by YourLifelowa. Also, each designated community mental health center within the CSS region will provide 24/7 crisis phone access.
Warm Line	Telephone line staffed by individuals with lived experience who provide nonjudgmental, nondirective support to an individual experiencing a crisis.	x	x	x	x	x	
Mental health services in jail	Mental health services provided to individuals in the criminal justice system. Goal is to address signs and symptoms, provide psychiatric evaluation and medication management to address needs while in jail.	x	x	x	X		
Crisis prevention training	Educational and training services for law enforcement, first responders, etc. regarding mental health awareness, such as Crisis Intervention Training (CIT).	x	x	x	x		

Civil commitment prescreening	Evaluations completed prior to commitment in an attempt to divert an individual from the commitment process.	X					
<b>Domain: Evidence based treatment</b>							
Peer self-help drop-in centers	A program that offers a safe, supportive environment within the community for individuals who have experienced mental/emotional problems.	x	x	x	x		
Psychiatric rehabilitation	Services designed to restore, improve, or maximize level of functioning, self-care, responsibility, independence, and quality of life; to minimize impairments, disabilities, and disadvantages of people who have a disabling mental illness.	X					
<b>Domain: Other Informational Services</b>							
Prevention	Efforts to increase awareness and understanding of the causes and nature of conditions or situations which affect an individual's functioning in society. Convey information about the cause of conditions, situation, or problems, that interfere with occurrence or reduce their effort and may include training events, webinars, presentations, and public meetings					x	At least 4 times per year
Early Intervention	Services designed to address the social, emotional, and developmental needs of children at their earliest stages to decrease long-term effects and provide support in meeting developmental milestones					x	Within 4 weeks of the time the request for such services is made

County Social Services also funds the institutional services mandated in Iowa Code for involuntary civil commitment.

County Social Services funds many other additional support services as detailed in the Annual Service & Budget Plan. These services are integral to providing proper support to individuals that is person-centered. These services also fill support gaps to help individuals remain in the most inclusive and community-based settings possible.

Glossary  
**DEFINITIONS**

**Access point** -- a provider, public, or private institution, advocacy organization, legal representative, or educational institution with staff trained to complete applications and guide individuals with a disability to needed services.

**Applicant** -- an individual who applies to receive services and supports from the service system.

**Assessment and evaluation** -- a service as defined in 441-25.1.

**Assistive technology account** -- funds in contracts, savings, trust or other financial accounts, financial instruments, or other arrangements with a definite cash value that are set aside and designated for the purchase, lease, or acquisition of assistive technology, assistive technology services, or assistive technology devices. Assistive technology accounts must be held separately from other accounts. Funds must be used to purchase, lease, or otherwise acquire assistive technology services or devices for a working individual with a disability. Any withdrawal from an assistive technology account other than for the designated purpose becomes a countable resource.

**Authorized representative** -- a person designated by the individual or by Iowa law to act on the individual's behalf in specified affairs to the extent prescribed by law.

**Chief Executive Officer** -- the individual chosen and supervised by the governing board who serves as the single point of accountability for the mental health and disability services region including, but not limited to, planning, budgeting, monitoring county and regional expenditures, and ensuring the delivery of quality services that achieve expected outcomes for the individuals served.

**Choice** -- the individual or authorized representative chooses the services, supports, and goods needed to best meet the individual's goals and accepts the responsibility and consequences of those choices.

**Clear lines of Accountability** -- the structure of the governing board's organization makes it evident that the ultimate responsibility for the administration of the non-Medicaid funded mental health and disability services lies with the governing board and that the governing board directly and solely supervises the organization's chief executive officer.

**Conflict Free Case Management** -- there is no real or seeming incompatibility between the case managers other interests and the case managers duties to the person served determination for services; establishing funding levels for the individual's services; and include requirements that do not allow the case manager from performing evaluations, assessments, and plans of care if the case manager is related by blood or marriage to the individual or any of the individual's paid caregivers, financially responsible for the individual, or empowered to make financial or health-related decisions on behalf of the individual.

**Community** -- an integrated setting of an individual's choice.

**Coordinator of disability services** -- as defined in Iowa Code 331.390.3.b.

**Countable resource** -- means all liquid and nonliquid assets owned in part or in whole by the individual household that could be converted to cash to use for support and maintenance and that the individual household is not legally restricted from using for support and maintenance.

**County of residence** -- means the county in this state in which, at the time a person applies for or receives services, the person is living and has established an ongoing presence with the declared, good faith intention of living in the county for a permanent or indefinite period of time. The county of residence of a person who is a homeless person is the county where the homeless person usually sleeps. A person maintains residency in the county in which the person last resided while the person is present in another county receiving services in a hospital, a correctional facility, a halfway house for community-based corrections or substance-related treatment, a nursing facility, an intermediate care

facility for persons with an intellectual disability, or a residential care facility, or for the purpose of attending a college or university.

**Empowerment** -- that the service system ensures the rights, dignity, and ability of individuals and their families to exercise choices, take risks, provide input, and accept responsibility.

**Exempt resource** -- a resource that is disregarded in the determination of eligibility for public funding assistance and in the calculation of client participation amounts

**Household** -- for an individual who is 18 years of age or over, the individual, the individual's spouse or domestic partner, and any children, stepchildren, or wards under the age of 18 who reside with the individual. For an individual under the age of 18, household -- the individual, the individual's parents (or parent and domestic partner), step-parents or guardians, and any children, step-children, or wards under the age of 18 of the individual's parents (or parent and domestic partner), step-parents, or guardians who reside with the individual.

**Income** -- all gross income received by the individual's household, including but not limited to wages, income from self-employment, retirement benefits, disability benefits, dividends, annuities, public assistance, unemployment compensation, alimony, child support, investment income, rental income, and income from trust funds prior to any deductions. Household income includes any Social Security benefits and wages of any adult in the household, related or not related, who would normally be responsible for the person's bills, such as a spouse or significant other. It does not include wages of individuals under the age of 18 or full-time students, educational loans, grants, work-study programs or scholarships. Deductions from gross income include alimony, child support and payroll garnishments.

**Individual** -- any person seeking or receiving services in a regional service system.

**Individualized services** -- services and supports that are tailored to meet the personalized needs of the individual.

**Liquid assets** -- assets that can be converted to cash in 20 days. These include but are not limited to cash on hand, checking accounts, savings accounts, stocks, bonds, cash value of life insurance, individual retirement accounts, certificates of deposit, and other investments.

**Managed care** -- a system that provides the coordinated delivery of services and supports that are necessary and appropriate, delivered in the least restrictive settings and in the least intrusive manner. Managed care seeks to balance three factors: achieving high-quality outcomes for participants, coordinating access, and containing costs.

**Managed system** -- a system that integrates planning, administration, financing, and service delivery. The system consists of the financing or governing organization, the entity responsible for care management, and the network of service providers.

**Medical savings account** -- an account that is exempt from federal income taxation pursuant to Section 220 of the United States Internal Revenue Code (26 U.S.C. §220) as supported by documentation provided by the bank or other financial institution. Any withdrawal from a medical savings account other than for the designated purpose becomes a countable resource.

**Mental health professional** -- the same as defined in Iowa code section 228.1.

**Non-liquid assets** -- assets that cannot be converted to cash in 20 days. Non-liquid assets include, but are not limited to, real estate, motor vehicles, motor vessels, livestock, tools, machinery, and personal property.

**Population** -- as defined in Iowa Code 331.388.

**Provider** -- an individual, firm, corporation, association, or institution which is providing or has been approved to provide medical assistance, is accredited under Chapter 24, holds a professional license to provide the services, is accredited by an national insurance panel, or holds other national accreditation or certification".

**Regional administrator or Regional administrative entity** -- the administrative office, or organization formed by agreement of the counties participating in a mental health and disability services region to function on behalf of those counties.

**Regional services fund** -- the mental health and disability regional services fund created in Iowa code section 225C.7A.

**Regional service system management plan** -- the regional service system plan developed pursuant to Iowa Code 331.393 for the funding and administration of non-Medicaid funded mental health and disability services including an annual service and budget plan, a policy and procedure manual, and an annual report and how the region will coordinate with the Department in the provision of mental health and disability services funded under the medical assistance program.

**Resources** -- all liquid and non-liquid assets owned in part or in whole by the individual household that could be converted to cash to use for support and maintenance and that the individual household is not legally restricted from using for support and maintenance.

**Retirement account** -- any retirement or pension fund or account listed in Iowa Code section 627.6(8)“f”.

**Retirement account in the accumulation stage** -- a retirement account into which a deposit was made in the previous tax year. Any withdrawal from a retirement account becomes a countable resource.

**Service system** -- the mental health and disability services and supports administered and paid from the regional services fund.

**State case status** -- the standing of an individual who has no county of residence.

**State commission** -- MHDS Commission as defined in Iowa Code 225C.5.

**System of Care** -- the coordination of a system of services and supports to individuals and their families that ensures they optimally live, work, and recreate in integrated communities of their choice.

**System principles** -- practices that include individual choice, community and empowerment.

### **New definitions for Children’s Behavioral Health Services 441-25.1(331)**

**Behavioral health inpatient treatment or mental health inpatient treatment-** inpatient psychiatric services to treat an acute psychiatric condition provided in a licensed hospital with a psychiatric unit or a licensed freestanding psychiatric hospital.

**Behavioral health outpatient therapy or outpatient services-** described in Iowa Code section 230A.106(2)

**Child or children-** a person or persons under eighteen years of age.

**Children’s behavioral health services** - services for children with a serious emotional disturbance.

**Children’s behavioral health system or children’s system-** the behavioral health service system for children implemented pursuant to Iowa Code chapter 225C.

**Early Identification-** the process of detecting development delays or untreated conditions that may indicate the need for further evaluation.

**Early Intervention-** services designed to address the social, emotional, and developmental needs of children at their earliest stages to decrease long-term effects and provide support in meeting developmental milestones.

**Education services-** activities that increase awareness and understanding of the causes and nature of conditions or factors which affect an individual’s development and functioning.

**Prevention-** efforts to increase awareness and understanding of the causes and nature of conditions or situations which affect an individual’s functioning in society. Prevention activities are designed to convey

information about the cause of conditions, situations, or problems that interfere with an individual's functioning or ways in which that information can be used to prevent their occurrence or reduce their effect and may include, but are not limited to, training events, webinars, presentations, and public meetings.

**Serious emotional disturbance-** a diagnosable mental, behavioral, or emotional disorder of sufficient duration to meet diagnostic criteria specified within the most current diagnostic and statistical manual of mental disorders published by the American psychiatric association that results in a functional impairment. "Serious emotional disturbance" does not include substance use and developmental disorders unless such disorders co-occur with such a diagnosable mental, behavioral, or emotional disorder.

**State board-** the children's behavioral health system state board created in section 225C.51.

# Forms

Application for Subsidized Funding	Pages 43-45
Notice of Decision Funding Authorization	Generated from CSN
Release of Information	Page 46



# COUNTY SOCIAL SERVICES APPLICATION

Today's Date: \_\_\_\_\_

Legal Name: \_\_\_\_\_ DOB: \_\_\_\_/\_\_\_\_/\_\_\_\_

Preferred Name: \_\_\_\_\_ SSN: \_\_\_\_--\_\_\_\_--\_\_\_\_ U.S. Citizen?  Yes  No

I identify my gender as:  Male  Female  Non-Binary  Not listed: \_\_\_\_\_

Pronouns: \_\_\_\_\_ Are you under the care of a mental health professional?  Yes  No

If yes, what is the name of your current provider? \_\_\_\_\_

If no, are you interested in having assistance finding a provider?  Yes  No

Current Address: \_\_\_\_\_ County: \_\_\_\_\_  
Street Address City State Zip

When did you move to this address? \_\_\_\_/\_\_\_\_/\_\_\_\_ Preferred phone number: \_\_\_\_\_  
Month Day Year

Residence Type:  Private Residence  Correctional Facility  Homeless/Shelter  24-Hour Habilitation or Waiver Setting  
 Foster Care/Family Life Home  Residential Care Facility  Other (Please Specify) \_\_\_\_\_

Previous Address: \_\_\_\_\_ County: \_\_\_\_\_  
Street Address City State Zip

Begin Date \_\_\_\_/\_\_\_\_/\_\_\_\_ End Date \_\_\_\_/\_\_\_\_/\_\_\_\_  
Month Day Year Month Day Year

Residence Type:  Private Residence  Correctional Facility  Homeless/Shelter  24-Hour Habilitation or Waiver Setting  
 Foster Care/Family Life Home  Residential Care Facility  Other (Please Specify) \_\_\_\_\_

Race \_\_\_\_\_ Marital Status \_\_\_\_\_ Veteran?  Yes  No

### Health Insurance Information:

Primary Insurance (pays first)	Secondary Insurance (pays second)
<input type="checkbox"/> Iowa Health & Wellness <input type="checkbox"/> Iowa Medicaid <input type="checkbox"/> Medicare	<input type="checkbox"/> Iowa Health & Wellness <input type="checkbox"/> Iowa Medicaid <input type="checkbox"/> Medicare
<input type="checkbox"/> Private Third Party <input type="checkbox"/> I do not have insurance	<input type="checkbox"/> Private Third Party
MCO or other Carrier Name: _____	MCO or other Carrier Name: _____
Medicaid State ID# or Policy#: _____	Medicaid State ID# or Policy#: _____

Level of Education:  Currently in school  None  H.S. Diploma  GED  Associates  Bachelors or higher

### CURRENT EMPLOYMENT STATUS (if minor, this would be parent/guardian employment status)

\_\_\_\_ Unemployed  Student  Retired  
\_\_\_\_ Employed (Circle one)  Supported Employment  Other (please specify below)  
Full Time Part Time/Seasonal  Prevocational Work Services \_\_\_\_\_

Employer Name: \_\_\_\_\_ Hours/Week \_\_\_\_\_ Hourly Wage \$ \_\_\_\_\_

### LIST ALL PEOPLE LIVING IN HOUSEHOLD: (must list dates of birth for dependents) Use back if more room needed

Name	Relationship	Date of Birth
_____	_____	____/____/____
_____	_____	____/____/____
_____	_____	____/____/____
_____	_____	____/____/____

Are you waiting for a Social Security Disability determination?  No  Yes

Do you have a Social Security Representative Payee?  No  Yes If yes, who is your payee?

Name: \_\_\_\_\_ Phone #: \_\_\_\_\_

Do you have a Legal Guardian? (Parent info if applicant is a minor)  No  Yes If yes, who is your guardian?

Name: \_\_\_\_\_ Phone #: \_\_\_\_\_

Who is your emergency contact?

Name: \_\_\_\_\_ Phone #: \_\_\_\_\_ Relationship: \_\_\_\_\_

\*Note: Others in Household Income Amount should include whoever is claiming the applicant as a dependent on their tax return, if applicable.

<b>GROSS MONTHLY INCOME</b> (before taxes):	<b>Applicant Amount</b>	<b>*Others in Household Amount</b>
Employment Wages	\$ _____	\$ _____
Social Security	\$ _____	\$ _____
SSI	\$ _____	\$ _____
SSDI	\$ _____	\$ _____
Veteran's Benefits	\$ _____	\$ _____
Child Support	\$ _____	\$ _____
FIP	\$ _____	\$ _____
Pension	\$ _____	\$ _____
Rental Income	\$ _____	\$ _____
Workers Compensation	\$ _____	\$ _____
Family/Friends	\$ _____	\$ _____
Dividends, Interest, Etc.	\$ _____	\$ _____
Other _____	\$ _____	\$ _____
<b>TOTAL MONTHLY INCOME</b>	\$ _____	\$ _____

<b>HOUSEHOLD RESOURCES:</b>	<b>Amount</b>	<b>Location</b>
Cash	\$ _____	_____
Checking Account	\$ _____	_____
Savings Account	\$ _____	_____
Stocks and Bonds	\$ _____	_____
Certificates of Deposit	\$ _____	_____
Life Insur. (cash value)	\$ _____	_____
Trust Funds	\$ _____	_____
Burial Contracts	\$ _____	_____
Recreational Vehicles	\$ _____	_____
Real Estate (non-residence)	\$ _____	_____
Other _____	\$ _____	_____
<b>TOTAL RESOURCES</b>	\$ _____	

## COUNTY SOCIAL SERVICES APPLICATION

### OUTCOMES ASSESSMENT

<b>Housing</b> : Are you residing in safe, affordable, accessible housing?	<input type="checkbox"/> Homeless	<input type="checkbox"/> In Placement	<input type="checkbox"/> Staying w/friends or family	<input type="checkbox"/> Housed	Safe? Yes <input type="checkbox"/> No <input type="checkbox"/> Affordable? Yes <input type="checkbox"/> No <input type="checkbox"/> Accessible? Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Medical Care</b> : How often do you see a primary care physician?	<input type="checkbox"/> Never	<input type="checkbox"/> Less than once a year	<input type="checkbox"/> Once a year	<input type="checkbox"/> More than once a year	If never or less than once a year, why?
<b>Employment</b> : Are you successfully employed?	<input type="checkbox"/> Unemployed	<input type="checkbox"/> Pre-vocational	<input type="checkbox"/> Supported Employment	<input type="checkbox"/> Community Employment	Hourly Wage: \$ _____ Hours / Week _____
<b>Community Integration</b> : Are you participating in integrated community activities?	<input type="checkbox"/> Clubs/Social Groups	<input type="checkbox"/> Church	<input type="checkbox"/> Community Activities/Events	<input type="checkbox"/> Volunteer	<input type="checkbox"/> Other : describe _____
Please complete if applicant is a minor or is an adult who is still in school:					
<b>School Attendance</b> : I consistently attend school	<input type="checkbox"/> Strongly Disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree	
<b>School Performance</b> : I take responsibility for completing my school assignments	<input type="checkbox"/> Strongly Disagree	<input type="checkbox"/> Disagree	<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly Agree	

I hereby attest that the information I have provided is true and I also give County Social Services permission to release this information to verify and/or communicate eligibility for the assistance requested. I also understand that this is a government document and I may be subject to prosecution if knowingly provide false information.

I also acknowledge I have been given a copy of the County Social Services Notice of Privacy Practices. \_\_\_\_\_  
(please initial)

Applicant's (or Guardian's) Signature: X \_\_\_\_\_  
(Application must be signed or witnessed and dated to be considered for assistance.)

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

**For Staff Use Only**

Assisted with Iowa Health & Wellness Plan enrollment (if applicable)

**What is the disability?** (circle one) Mental Illness/SED Intellectual Disability Developmental Disability Brain Injury

**If the individual self-reported a diagnosis, please list it here:** \_\_\_\_\_

**Primary Case Worker** \_\_\_\_\_ (if this is blank, no case worker will be assigned in CSN)

## COUNTY SOCIAL SERVICES RELEASE OF INFORMATION

Black Hawk County Social Services, 1407 Independence Ave, Waterloo, IA 50704

Consumer: \_\_\_\_\_

Medicaid Number: \_\_\_\_\_ D.O.B.: \_\_\_\_\_

I, the undersigned, hereby authorize \_\_\_\_\_ staff to release and/or obtain verbal, electronic, or written information indicated below, regarding, the above named consumer, with:

Name of Person or Agency \_\_\_\_\_

Complete Mailing Address \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

The Information being released will be used for the following purpose:

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Planning and implementation of individual support plan | <input type="checkbox"/> Referral for new services | <input type="checkbox"/> Legal                |
| <input type="checkbox"/> Coordination of services                               | <input type="checkbox"/> Financial                 | <input type="checkbox"/> Other(Specify) _____ |
| <input type="checkbox"/> Monitoring of services                                 | <input type="checkbox"/> Medical                   | <input type="checkbox"/>                      |

**INFORMATION TO BE RELEASED FROM THE PROGRAM:**

**INFORMATION TO BE OBTAINED FROM THE AGENCY INDICATED ABOVE:**

- | YES                      | NO                       |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | SOCIAL HISTORY  |
| <input type="checkbox"/> | <input type="checkbox"/> | PROGRESS SUMMARY REPORT                                 |
| <input type="checkbox"/> | <input type="checkbox"/> | INDIVIDUAL COMPREHENSIVE PLAN ASSESSMENT                |
| <input type="checkbox"/> | <input type="checkbox"/> | DISCHARGE SUMMARY                                       |
| <input type="checkbox"/> | <input type="checkbox"/> | FINANCIAL/BENEFITS                                      |
| <input type="checkbox"/> | <input type="checkbox"/> | RE-RELEASE OF 3 <sup>RD</sup> PARTY INFO(SPECIFY) _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | COURT RECORDS _____                                     |
| <input type="checkbox"/> | <input type="checkbox"/> | SCHOOL RECORDS _____                                    |
| <input type="checkbox"/> | <input type="checkbox"/> | OTHER(SPECIFY) _____                                    |

- | YES                      | NO                       |                                   |
|--------------------------|--------------------------|-----------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | SOCIAL HISTORY                    |
| <input type="checkbox"/> | <input type="checkbox"/> | PROGRESS SUMMARY                  |
| <input type="checkbox"/> | <input type="checkbox"/> | EDUCATIONAL/VOCATIONAL PLANS      |
| <input type="checkbox"/> | <input type="checkbox"/> | PSYCHOLOGICAL EVALUATIONS/REPORTS |
| <input type="checkbox"/> | <input type="checkbox"/> | PSYCHIATRIC ASSESSMENT REPORTS    |
| <input type="checkbox"/> | <input type="checkbox"/> | MEDICAL HISTORY                   |
| <input type="checkbox"/> | <input type="checkbox"/> | TREATMENT PLAN                    |
| <input type="checkbox"/> | <input type="checkbox"/> | DISCHARGE SUMMARY                 |
| <input type="checkbox"/> | <input type="checkbox"/> | FINANCIAL/BENEFITS                |
| <input type="checkbox"/> | <input type="checkbox"/> | COURT DOCUMENTS                   |
| <input type="checkbox"/> | <input type="checkbox"/> | SCHOOL RECORDS                    |
| <input type="checkbox"/> | <input type="checkbox"/> | OTHER(SPECIFY) _____              |

This authorization shall expire on \_\_\_\_\_ (not to exceed 12 calendar months from date of signature) No express revocation shall be needed to terminate my consent, I understand that this consent is voluntary and I may revoke this consent at any time by sending a written notice to the service coordinator. I understand that any information released prior to the revocation may be used for the purpose listed above, and does not constitute a breach of my rights to confidentiality. I understand that any disclose of information carried with it the potential for unauthorized re-disclosure and once the information is disclosed, it may no longer be protected by federal privacy regulations. I understand that I may review the disclosed information by contacting the recipient named, or service coordinator. I understand that I can refuse to sign this authorization, but failure to provide access to information necessary for the funding and Implementation of services may be a basis for denial of services.

**SPECIFIC AUTHORIZATION FOR RELEASE OF INFORMATION PROTECTED BY STATE OF FEDERAL LAW**

SIGNATURE OF CONSUMER OR LEGAL GUARDIAN: \_\_\_\_\_ DATE: \_\_\_\_\_  
 RELATIONSHIP IF NOT CONSUMER: \_\_\_\_\_

**SPECIFIC AUTHORIZATION FOR RELEASE OF INFORMATION PROTECTED BY STATE OF FEDERAL LAW**

I SPECIFICALLY AUTHORIZE THE RELEASE OF DATA AND INFORMATION RELATING TO:

- |  |       |                              |       |       |
|--|-------|------------------------------|-------|-------|
| <input type="checkbox"/> SUBSTANCE ABUSE         | _____ | CONSUMER SIGNATURE           | _____ | DATE: |
| <input type="checkbox"/> MENTAL HEALTH           | _____ | CONSUMER/GUARDIAN SIGNATURE  | _____ | DATE: |
| <input type="checkbox"/> HIV-RELATED INFORMATION | _____ | CONSUMER /GUARDIAN SIGNATURE | _____ | DATE: |

A photocopy of this signed authorization shall have the same force and effect as the original.