



Policy:	PA.2022
Title:	Service Determination Request (SDR)
Department:	CalOptima Health PACE
Section:	Not Applicable
CEO Approval:	<i>/s/ Michael Hunn 10/31/2024</i>
Effective Date:	09/01/2022
Revised Date:	01/01/2025
Applicable to:	<input type="checkbox"/> Medi-Cal <input type="checkbox"/> OneCare <input checked="" type="checkbox"/> PACE <input type="checkbox"/> Administrative

I. PURPOSE

This Policy outlines the components of the CalOptima Health Program of All-Inclusive Care for the Elderly (PACE) procedures for identifying and processing Service Determination Requests (SDR).

II. POLICY

- A. Once the initial Plan of Care has been developed by the Interdisciplinary Team (IDT) in accordance with CalOptima Health Policies PA.2001: Interdisciplinary Team (IDT) & Participant Assessments and PA.2002: Care Planning and shared with the Participant, a SDR can be initiated by the Participant or the Participant's designated Representative or Caregiver, if something they desire is not included in the Plan of Care. This request may include but is not limited to:
1. A request to initiate a service;
 2. A request to modify an existing service, including to increase, reduce, eliminate, or otherwise change a service; or
 3. A request to continue coverage of a service that the CalOptima Health PACE organization is recommending be discontinued or reduced.
- B. Requests to initiate, modify, or continue a service do not constitute a SDR if the request is made prior to completing the development of the initial Plan of Care. However, for all requests identified during the initial care planning process, the IDT must:
1. Document the request; and
 2. Discuss the request during the care planning meeting, and either:
 - a. Approve the requested service and incorporate it into the Participant's initial Plan of Care; or
 - b. Document their rationale for not approving the service in the initial Plan of Care.

III. PROCEDURE

- A. A Service Determination Request (SDR) may be initiated orally or in writing by the Participant, the Participant's designated Representative, or the Participant's Caregiver.
- B. Receipt of a SDR:
 - 1. Any CalOptima Health PACE employee or contractor of CalOptima Health PACE that provides direct care to a Participant in the Participant's residence, the CalOptima Health PACE Center, or while transporting Participants may receive a SDR from a Participant.
 - 2. The person receiving the SDR needs to provide the SDR to the IDT as expeditiously as the Participant's condition requires, but no later than three (3) calendar days from the time that the request was made.
 - 3. The IDT must render a decision within three (3) calendar days from when IDT received the request.
- C. Rendering SDR decisions by an individual IDT member:
 - 1. An individual member of the IDT can approve a SDR in full, at the time of the request, without needing to bring it to the full IDT for approval if it's within their scope of practice.
 - 2. If the individual IDT member provides immediate approval of the SDR, a reassessment is not required.
 - 3. The individual IDT member must fulfill the following:
 - a. Provide the Participant or designated Representative with notice of the decision to approve a SDR request and explain the conditions of the approval in understandable language. This can be done either orally or in writing.
 - b. Provide a timeline of when the Participant may expect to receive the requested service.
 - c. Adhere to CalOptima Health PACE recordkeeping requirements in accordance with CalOptima Health Policy PA.6001: Medical Records Maintenance.
 - 4. If the individual member of the IDT is unable to provide full approval of the request without modifications, the SDR must be submitted to the full IDT for consideration.
- D. Reassessments in response to a SDR:
 - 1. If an individual member of the IDT is unable to approve the request then the full IDT must review and discuss each SDR and decide to approve, deny, or partially deny the request based on that review.
 - 2. The IDT must consider all relevant information when evaluating an SDR, including, but not limited to, the findings and results of any reassessments.
 - 3. The IDT may conduct a reassessment prior to approving an SDR, either in-person or through the use of remote technology, if the team determines that a reassessment is necessary, and the IDT has approved the use of remote technology.

4. When remote technology is used to perform a reassessment, the IDT must document the Participant or designated Representative's approval of the use of remote technology.
5. If the IDT expects to deny or partially deny a SDR request, the appropriate members of the IDT, as identified by the IDT, must conduct an in-person reassessment before the IDT makes a final decision. The team members performing the reassessment must evaluate whether the requested service is necessary to meet the Participant's medical, physical, emotional, and social needs.
6. An in-person reassessment will be conducted when Participant or their designated Representative declines the use of remote technology.
7. For any SDR related reassessments, regardless of mode (face-to-face or remote technology) CalOptima Health PACE is required to:
 - a. Obtain approval from the Participant and/or designated Representative to perform a reassessment.
 - b. Document in the Participant's Medical Record in accordance with CalOptima Health Policy PA.6001: Medical Records Maintenance.
 - c. Enter the SDR information into the CalOptima Health PACE internal tracking/record keeping log (Attachment A).

E. Extensions:

1. The IDT may extend the timeframe for review and notification by up to five (5) calendar days if either of the following occur:
 - a. The Participant or designated Representative requests the extension.
 - b. The extension is in the Participant's interest because the IDT needs additional information from an individual not directly employed by CalOptima Health PACE, that may change the IDT decision to deny a service.
2. The IDT must document the circumstances that led to the extension and demonstrate how the extension is in the Participant's best interest.
 - a. When the IDT extends the timeframe, it must notify the Participant or designated Representative either orally or in writing no later than twenty-four (24) hours after the IDT extends the timeframe. The reason for the delay must be clearly stated, explaining why the extension is needed.
 - b. If the IDT is unable to reach a decision within the additional five (5) calendar days of requesting the extension, IDT must issue a denial of the SDR and notify the Participant or designated Representative.

F. Notifications and Provision of Approved SDR's:

1. Participant or designated Representative will be notified orally or in writing of the approved request and the conditions of the approval in understandable language, including when the Participant may expect to receive the approved service.

2. CalOptima Health PACE must furnish any services included in an approved SDR to the Participant as expeditiously as the Participant's health condition requires and following the timeframes for arranging and providing services outlined in CalOptima Health Policy PA.1007: Delivery of PACE Services.

G. Notification of Denied or Partially Denied SDR's:

1. If the IDT decides to deny or partially deny a service, the Participant or designated Representative will be notified orally and in writing of the denied request using a Notice of Action document (NOA) (Attachment B).
 - a. The NOA will include:
 - i. The reason for the denial, including why the service is not necessary to maintain or improve the Participant's overall health status, taking into account the Participant's medical, physical, emotional, and social needs, and the results of the reassessment(s) in understandable language;
 - ii. Inform the Participant or designated Representative of their right to appeal the decision;
 - iii. Information about the standard and expedited Appeals process;
 - iv. For a Medicaid Participant, inform the Participant of both of the following:
 - a). Their right to continue receiving disputed services during the appeals process until issuance of the final determination; and
 - b). The conditions for continuing to receive disputed services.

H. Failure to meet Processing timeframes:

1. If the IDT fails to provide the Participant with timely notice of the resolution of the request or does not furnish the services required by the revised Plan of Care, this failure constitutes an adverse decision, and the Participant's request must be automatically processed as an Appeal, in accordance with CalOptima Health Policy PA.7002: Appeal Process.

I. Record Keeping:

1. The IDT will document, track, and maintain records related to all processing requirements for SDRs received both orally and in writing using the CalOptima Health PACE SDR IDT Internal Tracking Log (Attachment A) including:
 - a. The SDR request;
 - b. IDT's identification of IDT Member(s) to undertake the reassessment(s);
 - c. IDT determination;
 - d. Reassessment(s) conducted;
 - e. Information related to any extension, if applicable;
 - f. All notifications provided to the Participant or designated Representative;

- g. Provision of service(s) when SDR is approved;
- h. Oral and written requests for services will be maintained in their original form in the Participant's medical record; and
- i. The record keeping requirement applies both in situations in which the SDR is approved by an individual IDT Member at the time it is made and when the determination is made by the full IDT.

IV. ATTACHMENT(S)

- A. CalOptima Health PACE SDR IDT Internal Tracking Log
- B. Notice of Action (NOA) for Service or Payment Request

V. REFERENCE(S)

- A. CalOptima Health Policy PA.1007: Delivery of PACE Services
- B. CalOptima Health Policy PA.2001: Interdisciplinary Team (IDT) & Participant Assessments
- C. CalOptima Health Policy PA.2002: Care Planning
- D. CalOptima Health Policy PA.6001: Medical Records Maintenance
- E. CalOptima Health Policy PA.7002: Appeal Process
- F. Title 42, Code of Federal Regulations (CFR), §460.121

VI. REGULATORY AGENCY APPROVAL(S)

None to Date

VII. BOARD ACTION(S)

Date	Meeting
09/01/2022	Regular Meeting of the CalOptima Health Board of Directors

VIII. REVISION HISTORY

Action	Date	Policy	Policy Title	Program(s)
Effective	09/01/2022	PA.2022	Service Determination Request (SDR)	PACE
Revised	05/01/2023	PA.2022	Service Determination Request (SDR)	PACE
Revised	07/01/2023	PA.2022	Service Determination Request (SDR)	PACE
Revised	06/01/2024	PA.2022	Service Determination Request (SDR)	PACE
Revised	01/01/2025	PA.2022	Service Determination Request (SDR)	PACE

IX. GLOSSARY

Term	Definition
Appeal	A Member's action taken with respect to the CalOptima Health PACE organization's noncoverage of, modification of, or nonpayment for, a service including denials, reductions or termination of services, as defined by federal PACE regulation 42 CFR Section 460.122.
Caregiver	Broadly defined as family members, friends or neighbors who provide unpaid assistance to a person with a chronic illness or disabling condition.
Interdisciplinary Team (IDT)	Team composed of at least the following Members to comprehensively assess and meet the individual needs of each Participant: <ol style="list-style-type: none"> 1. Primary Care Provider; 2. Registered Nurse; 3. Social Worker; 4. Physical Therapist; 5. Occupational Therapist; 6. Recreational Therapist or Activity Coordinator; 7. Dietician; 8. CalOptima Health PACE Center Manager; 9. Home Care Coordinator; 10. Personal Care Attendant or their representative; and 11. Driver their representative.
Medical Records	Written documentary evidence of treatments rendered to plan Members.
Participant	An individual enrolled in the CalOptima Health PACE program.
Plan of Care	As defined in Title 42, section 460.106 of the Code of Federal Regulations, a comprehensive care plan developed by the interdisciplinary team for each Participant to identify the care needed to meet the medical, physical, emotional, and social needs of the Participant, as identified in the initial comprehensive assessment.
Program of All-Inclusive Care for the Elderly (PACE)	PACE is a long-term comprehensive health care program that helps older adults to remain as independent as possible. PACE coordinates and provides all needed preventive, primary, acute and long-term care services so seniors can continue living in their community.
Representative	A person who is acting on behalf of or assisting a Participant, and may include, but is not limited to, a family member, a friend, a CalOptima Health PACE staff member, or a person legally identified in a Power of Attorney for Health Care/Advanced Directive, Conservator, Guardian, etc.
Service Determination Request (SDR)	A request to initiate a service; a request to modify an existing service, including to increase, reduce, eliminate, or otherwise change a service. The SDR can also be defined as a request to continue coverage of a service that the CalOptima Health PACE Interdisciplinary Team (IDT) recommends be discontinued or reduced.