

# AFH Exceptions

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## What is an exception? OAR 411-027-0050

- (1) Service payment exceptions may only be granted if the Department determines:
  - (a) The individual has service needs, documented in the service plan, that warrant a service payment exception; and
  - (b) The provider actually provides the exceptional service.
- (2) Service payment exceptions shall be based on the additional hours of services required to meet the individual's assessed and verified ADL and IADL service needs. Exceptional hours are not allowed based solely on choice of the individual. The Department and ADA local office staff must monitor the individual service needs and recommend adjustments to the plan when appropriate.
- (3) Service payment exceptions in Adult Foster Homes and Residential Care Facilities may be authorized only for individual service needs that are not paid for by the base rate or any of the three available add-on payments.

# Service Needs

Assessed Activities of Daily Living (ADLs)

- ▶ Mobility
- ▶ Ambulation, Transfers
- ▶ Eating
- ▶ Elimination
- ▶ Bladder, Bowel, Toileting
- ▶ Cognition
- ▶ Self-Preservation, Decision Making, Make Self Understood, Challenging Behaviors
- ▶ Bathing
- ▶ Personal Hygiene
- ▶ Dressing
- ▶ Grooming

# ADL's only in facility settings

- ▶ Instrumental Activity of Daily Living (IADL) - already incorporated into room and board payments and base rates in a facility
- ▶ Housekeeping
- ▶ Laundry
- ▶ Meal Preparation
- ▶ Medication Management
- ▶ Shopping
- ▶ Transportation

## Services that do not rise to the level of an Exception

- ▶ Personal grooming (nail care, oral care)
- ▶ Monitoring during mealtime for clients with aspiration or choking risk
- ▶ Catheter/ostomy care - considered part of the base rate for bladder
- ▶ Digital stimulation, suppository insertion, ostomy care, enemas - considered part of the base rate for bowel
- ▶ Feeding tube set-up - considered part of the base rate for eating
- ▶ Medication management - (IADL)
- ▶ Any other needs that are not an assessed ADL (range of motion exercises, assistance with smoking).

## Exceptions for ADL Needs

- ▶ ADL Care Requiring 2 Caregivers
  - ▶ Transfers
  - ▶ Bathing
  - ▶ Dressing
  - ▶ Toileting
- ▶ Other care needs (not necessarily 2 caregivers)
  - ▶ Eating
  - ▶ Ambulation
  - ▶ Night needs
  - ▶ Transport/accompany to medical appointments

## Behavioral Exceptions

- ▶ Assumes 1:1 staffing for the behavioral need.
- ▶ The behavioral episode must be quantified, for example:
  - ▶ How long does it last? Are there multiple occurrences per day?
  - ▶ Is there a pattern to the behavioral episodes?
- ▶ What does the CG do during this time? How does the CG respond to soothe/calm/redirect/distract the client? How does the client respond?
- ▶ Has BSS worked engaged with the consumer or provider? If so, what are their recommendations? (Include a copy of the plan.) If not, the exception will be temporary.
- ▶ Has the provider implemented the BSS recommendations? Exceptional hours can be used for implementing BSS strategies.

## How do I request an exception?

- ▶ Contact the case manager
- ▶ Discuss the needs of the consumer and complete the form 514a
- ▶ Provide the case manager with the information they will need - Frequency (how often) and duration (how long) needed to complete the care tasks?

# Providing exceptional service: Staffing exceptions

For any exception, a secondary caregiver must be identified on the 514a. The secondary caregiver cannot be anyone named on the license (Licensee, Co-Licensee, Resident Manager, Shift Caregiver).


The second caregiver may be the primary caregiver's spouse if that person is not listed on the AFH license and if that person doesn't have a job outside the home that obviously conflicts with hours worked inside the home.

For a behavioral exception, the primary care provider (Licensee, Co-Licensee, Resident Manager, Shift Caregiver) may provide the 1:1 care with the client. The second caregiver is the person who "takes their place" to do normal AFH duties while the primary is occupied solely with one client, or is resting and/or off duty.

- Secondary caregiver(s) must not be named on the license.
- List the care tasks with which the second caregiver will assist.
- List the hours per day and number of days per week (in the designated fields) during which the second caregiver will assist.

# Tips for the 514A

**Exception Request Worksheet**



Date completed: \_\_\_\_\_  
 Consumer name: \_\_\_\_\_  
 Provider name: \_\_\_\_\_  
 Prime ID: \_\_\_\_\_  
 Provider number: \_\_\_\_\_

Weekly hours	# of days per week	Hours per day	Tasks	Secondary caregiver's name
0.00				
0.00				
0.00				
0.00				
0.00				
0.00				
0.00				

Case manager signature: \_\_\_\_\_  
 Case manager E-mail: \_\_\_\_\_  
 Provider signature: \_\_\_\_\_

Hours approved will be paid per rate schedule. OAR 411-027-0050

SOS 0514A (10/15)

## documentation tips

- OAR 411-027-0050(1)(b): The provider actually provides the exceptional service. This is a rule requirement and the expectation when exceptional hours are authorized. They must be used to bring on additional staff.
- Repeated observations of insufficient staffing by Department staff will be reported to Central Office, and may result in a request for staffing verification (payroll records).
- An exception will be terminated if the Department confirms that the additional staffing is not in place.

## A note about staffing

## Commonly asked questions

- What about Adult Day Services?
  - If the AFH has an exception, and the Adult Day Services overlap the exception, it will be reduced.
  - Can exceptions be transferred between homes owned by the same provider?
    - Yes. This will require a new 514a to identify the staff. Exceptions are attached to a provider number, and do not automatically follow the consumer.

## Reimbursement

- Per the AFH collective bargaining agreement, the current hourly rate for AFH exceptions is \$13.11/hour. Central Office has no ability to increase the hourly rate.
- The total number of monthly hours is calculated using 4.3 weeks (not 31 days per month).



Questions

Thank you!