

This documentation walks-through the process of cleaning and extracting payment records, and then repricing the resultant payment records in order to support the calculation of monthly rates for service codes subject to the alternative nonresidential services model.

SERVICE CODE LISTING

The following services codes are included in the alternative nonresidential service model:

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|---|---|
| 028 - Socialization Training Program | 510 - Adult Development Center |
| 055 - Community Integration Training Program | 515 - Behavior Management Program |
| 062 - Personal Assistance | 520 - Independent Living Program |
| 063 - Community Activities Support Services | 525 - Social Recreation Program |
| 091 - In-Home/Mobile Day Program | 635 - Independent Living Specialist |
| 093 - Parent-Coordinated Personal Assist Service | 645 - Mobility Training Services Agency |
| 094 - Creative Arts Program | 650 - Mobility Training Specialist |
| 102 - Individual or Family Training | 805 - Infant Development Program |
| 103 - Specialized Health, Treatment & Training Svcs | 858 – Homemaker |
| 106 - Specialized Recreational Therapy | 860 - Homemaker Services |
| 108 - Parenting Support Services | 862 - In-Home Respite Services Agency |
| 110 - Program Support Group-Day Service | 868 - Out-of-Home Respite |
| 111 - Program Support Group-Other Services | 869 - Respite Facility |
| 115 - Spec Ther Svc 3 Yrs Up To Not Incl 21 Yrs | 882 - Transportation-Assistant |
| 116 - Spec Ther Svc <3 Yrs old | 950 - Supported Employment-Group |
| 117 - Spec Ther Svc 21 Yrs and Over | 952 - Supported Employment-Individual |
| 505 - Activity Center | 954 - Rehab Work Activity Program |

EXCLUDED SUB-CODES

The following sub-codes are excluded from the alternative nonresidential service model:

Sub-Code	Applicable Service Code	Sub-Code	Applicable Service Code
ASSES	All Services	EVL	All Services
ASMT	All Services	I1	All Services
ASMNT	All Services	I2	All Services
ASSMT	All Services	ICI	All Services
CEVAL	All Services	ICP	All Services
CIE12	All Services	INAS	635
CIE6	All Services	INTRN	All Services
CIEP	All Services	MILE	All Services
DEDI	All Services	PIP	All Services
EVAL	All Services	SEPIP	All Services

DATA PREPARATION

From the purchase of service data, payment records are extracted for each service code subject to the alternative nonresidential services model. The following fields are pulled:

1. UCI
2. RCAbrv
3. Vendor
4. SvsCd
5. Sub
6. ServDate
7. ClaimDt
8. Billed (Units)
9. Claim (Payments)

DATA CLEAN-UP

The data clean-up process is intended to compile clean, consolidated payment records for each month for the combination of UCI, vendor, Regional Center, service code, and sub-code.

1. If payment amount is negative and the unit amount is positive, then multiply the unit amount by (-1)

Before			After		
ServDate	Claim	Billed	ServDate	Claim	Billed
Aug. 2019	-173.8	10	Aug. 2019	-173.8	-10

2. Calculate an effective per-unit rate for each payment record by dividing payment amount by units
3. Count number of payment records within each service month for the unique combination of UCI, Regional Center, Vendor, and Sub-code

The remaining steps vary based on the number of payment records within the service month.

One Payment Record in the Month

4. No changes to the record

Two Payment Records in the Month

5. The effective rates for both records are equal. Then, the records are combined with the payment amounts and the units added.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Feb 2020	167.56	2	83.78				
Feb 2020	167.56	2	83.78	Feb 2020	335.12	4	83.78

6. Units for both records are equal AND the lower effective rate is less than 20 percent of the higher effective rate. Then, the smaller payment is considered to be an adjustment to the larger payment so the records are combined with the payment amounts added, but only the units from the larger payment counted.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Mar 2019	94.08	21	4.48				
Mar 2019	3,165.75	21	150.75	Mar 2019	3,259.83	21	155.23
June 2019	2,483.68	16	155.23	June 2019	2,483.68	16	155.23
Aug 2019	1,707.53	11	155.23	Aug 2019	1,707.53	11	155.23

7. Units for both records are not equal to 1 AND the lower effective rate is at least 20 percent of the higher effective rate. Then, no changes are made.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Oct 2019	314.8	20	15.74	Oct 2019	314.8	20	15.74
Dec 2019	377.76	24	15.74	Dec 2019	377.76	24	15.74
Dec 2019	519.42	30.5	17.03	Dec 2019	519.42	30.5	17.03
Feb 2020	579.02	34	17.03	Feb 2020	579.02	34	17.03

In this example, it appears that the January 2020 rate increase (8.2 percent for this service) was prematurely paid for December services; however, the methodology will not reduce the December payment amounts.

8. Units for the record with the smaller payment amount are equal to 1 AND the units for the other record are greater than 1 AND the effective rate for the record with the smaller payment amount is less than 20 percent or more than 120 percent of the effective rate for the other record. Then, the smaller payment is considered to be an adjustment so the records are combined with the payment amounts added, but only the units for the larger payment are counted.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Jun 2019	37.12	1	37.12				
Jun 2019	1,062.4	64	16.6	Jun 2019	1,099.52	64	17.18
Jul 2019	1,082.34	63	17.18	Jul 2019	1,082.34	63	17.18
Aug 2019	1,099.52	64	17.18	Aug 2019	1,099.52	64	17.18

9. Units for the record with the smaller payment amount are equal to 0 AND the units for the other record are greater than 0. Then, the smaller payment amount is considered to be an adjustment so the records are combined with the payment amounts added.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Dec 2019	2,173.22	14	155.23	Dec 2019	2,173.22	14	155.23
Jan 2020	313.02	0	N/A				
Jan 2020	2,794.14	18	155.23	Jan 2020	3,107.16	18	172.62
Feb 2020	2,934.54	17	172.62	Feb 2020	2,934.54	17	172.62

10. One of the records has a negative payment amount AND the effective rates for both records are equal. Then, the records are combined with the payment amounts and units added.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Oct 2019	400.00	4	100.00	Oct 2019	400.00	4	100.00
Nov 2019	-100.00	-1	100.00				
Nov 2019	500.00	5	100.00	Nov 2019	400.00	4	100.00
Dec 2019	400.00	4	100.00	Dec 2019	400.00	4	100.00

11. One of the records has a negative payment amount AND the absolute payment amounts for the records are equal AND the absolute units for the records are not equal. Then, the records are combined, resulting in payment amounts cancelling each other out and payment units are reduced to zero.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
May 2019	-385.8	0	N/A				
May 2019	385.8	5	77.16	May 2019	0	0	N/A

12. One of the records has a negative payment amount with absolute units of 1 or 0. Then, the effective units for the record with the negative payment are calculated by dividing the negative payment amount by the effective rate of the other record. If the result is a whole number or divisible by 0.25, then the records are combined with the payment and unit amounts added (including the calculated units for the record with the negative payment amount).

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Sep 2019	441.34	8	55.17	Sep 2019	441.34	8	55.17
Oct 2019	551.67	10	55.17	Oct 2019	551.67	10	55.17
Nov 2019	-220.67	-1	220.67				
Nov 2019	441.34	8	55.17	Nov 2019	220.67	4	55.17

13. One of the records has a negative payment amount with absolute units of 1 or 0. Then, the effective units for the record with the negative payment are calculated by dividing the negative payment amount by the effective rate of the other record. If the result is not a whole number or divisible by 0.25, then the records are combined with the payment amounts added, but only the units for the record with the positive payment are counted.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Aug 2019	412.32	24	17.18	Aug 2019	412.32	24	17.18
Jan 2020	446.16	24	18.59	Jan 2020	446.16	24	18.59
Feb 2020	-33.84	0	N/A				
Feb 2020	446.16	24	18.59	Feb 2020	412.32	24	17.18

In this example, the January 2020 rate increase (8.2 percent for this service) appears to have been backed-out of the February payment for an unknown reason. Although the cleaning process will combine these records, if the effective repayment in 2019 before adjustments for the January 2020 rate increase and minimum wage is equal to the remaining 2020 effective rate – as in this example – the repricing methodology will restore the rate with the 8.2 percent increase.

Three Payment Records in the Month

14. Absolute units and payments are equal for all three records AND one of the records has a negative payment amount. Then, two of the records are combined, resulting in those records cancelling each other out, and no change is made to the third record.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Mar 2019	-642.72	-8	80.34				
Mar 2019	642.72	8	80.34				
Mar 2019	642.72	8	80.34	Mar 2019	642.72	8	80.34

15. One of the records has a negative payment amount AND the absolute payment amount for that record is equal to one (or both) of the remaining two records. Then, the record with the negative payment amount is combined with a record with a matching positive payment amount, resulting in those records cancelling each other out and units reduced to zero as needed, and no change is made to the third record.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Apr 2019	-595.27	0	N/A				
Apr 2019	595.27	34.75	17.13				
Apr 2019	595.27	34.75	17.13	Apr 2019	595.27	34.75	17.13

16. Two or three of the records have matching units AND the effective rates for the two records with smaller payment amounts are less than 20 percent or more than 120 percent of the effective rate for the record with the largest payment amount. Then, both of the smaller payments are considered adjustments so the payment amounts for all records are combined but only the units for the record with the largest payment amount are counted.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Mar 2019	23.97	17	1.41				
Mar 2019	2,076.38	17	122.14	Mar 2019	2,124.32	17	124.96
Mar 2019	23.97	23	1.04				
Apr 2019	23.97	17	1.41				
Apr 2019	2,076.38	17	122.14	Apr 2019	2,124.32	17	124.96
Apr 2019	23.97	23	1.04				
Jun 2019	2,100.35	17	123.55	Jun 2019	2,100.35	17	123.55

In this example, it appears that the payment adjustment was incorrectly paid twice with one of the records having an incorrect unit count); however, the methodology will count both payments.

17. One record does not have an absolute payment amount or number of units that matches either of the other two records AND the other two records have matching units with the effective rate for the record with the smaller payment amount being less than 20 percent of the effective rate for the record with the larger payment amount. Then, the first record is kept without any changes, and the payment amounts for the other two records are combined (as the record with a smaller payment amount is considered an adjustment) but only the units for the record with the larger payment are counted.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Jan 2020	-72.42	-2	36.21	Jan 2020	-72.42	-2	36.21
Jan 2020	8.22	3	2.74				
Jan 2020	100.41	3	33.47	Jan 2020	108.63	3	36.21
Feb 2020	36.21	1	36.21	Feb 2020	36.21	1	36.21

18. None of the three records have matching units or payment amounts AND the average rates for all three records are equal. Then, the records are combined with the payment amounts and units added.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Feb 2020	251.51	3.5	71.86				
Feb 2020	610.81	8.5	71.86				
Feb 2020	1,796.5	25	71.86	Feb 2020	2,658.82	37	71.86

19. Two records have 0 units AND the third record has a non-zero unit and payment amount. Then, both records with 0 units are considered adjustments, so the records are combined with the payment amounts added.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Jul 2019	17.9	0	N/A				
Jul 2019	11.4	0	N/A				
Jul 2019	157.7	10	15.77	Jul 2019	187	10	18.70
Aug 2019	187.00	10	18.70	Aug 2019	187.00	10	18.70
Oct 2019	93.5	5	18.70	Oct 2019	93.5	5	18.70

20. None of the records have matching units or payment amounts AND one record has 0 or 1 unit AND combining the two records with the smaller payment amounts result in an effective rate equal to the effective rate of the third payment. Then, the record with 0 or 1 unit is considered an adjustment and this record is combined with the record with a smaller average rate.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
May 2019	6.38	1	6.38				
May 2019	182.6	11	16.6	May 2019	188.98	11	17.18
May 2019	274.88	16	17.18	May 2019	274.88	16	17.18
Jul 2019	463.86	27	17.18	Jul 2019	463.86	27	17.18
Dec 2019	395.14	23	17.18	Dec 2019	395.14	23	17.18

21. None of the records have matching units or payment amounts AND one record has 0 or 1 unit AND the effective rates for the other two records are equal AND the effective rate for the record with 0 or 1 unit is less than 20 percent or more than 120 percent of the effective rates for the other two records. Then, the record with 1 or 0 unit is combined with the record with the larger payment amount. (Note that this circumstance has not been identified so the example below is hypothetical.)

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
May 2019	3.15	1	3.15				
May 2019	188.98	11	17.18	May 2019	188.98	11	17.18
May 2019	274.88	16	17.18	May 2019	278.03	16	17.38

22. None of the records have matching units or payment amounts AND one record has 0 or 1 unit AND the effective rate for the record with 0 or 1 unit is greater than 20 percent and less than 120 percent of the effective rates for the other two records. Then, no changes are made. (Note that this circumstance has not been identified so the example below is hypothetical.)

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
May 2019	17.08	1	17.08	May 2019	17.08	1	17.08
May 2019	182.6	11	16.60	May 2019	182.6	11	16.60
May 2019	274.88	16	17.18	May 2019	274.88	16	17.18

23. One record has a negative payment amount with 0 units AND the other two records have the same effective rate. Then, effective units for the record with the negative payment amount are calculated by dividing the negative payment amount by the effective rate for the other two records and the record with the negative payment amount – including the calculated number of negative units – is combined with the record with the larger payment.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Dec 2019	1,075.62	21	51.22	Dec 2019	1,075.62	21	51.22
Jan 2020	-460.98	0	N/A				
Jan 2020	307.32	6	51.22	Jan 2020	307.32	6	51.22
Jan 2020	1,075.62	21	51.22	Jan 2020	614.64	12	51.22
Feb 2020	973.18	19	51.22	Feb 2020	973.18	19	51.22

24. One record has a negative payment amount with 0 units AND the other two records have different effective rates. Then, effective units for the record with the negative payment amount are calculated by dividing the negative payment amount by both effective rates. If either result is a whole number or divisible by 0.25 then the record with the negative payment amount is combined with the record with the rate that produced a unit value that is a whole number or divisible by 0.25. If not, the record with the negative payment amount and the record with the largest payment are combined (Note that this circumstance has not been identified so the example below is hypothetical.)

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Jan 2020	-153.66	0	N/A				
Jan 2020	307.32	6	51.22	Jan 2020	153.66	3	51.22
Jan 2020	1,000.00	20	50.00	Jan 2020	1,000.00	20	50.00

25. All records have matching units AND the effective rate for the record with the smallest payment is less than 20 percent of effective rates for other two records. If the sum of the effective rates for the records with the two lower payment amounts matches the effective rate for the record with the highest payment amount, then the two records with smaller payment amounts are combined but only the units for the record with the larger payment amount are counted. Otherwise, the record with the smallest payment amount is combined with the record with the largest payment amount with the payment amounts added but only the units from the record with the largest payment counted.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Aug 2019	6.82	2	3.41				
Aug 2019	72.78	2	36.39	Aug 2019	79.6	2	39.8
Aug 2019	79.6	2	39.8	Aug 2019	79.6	2	39.8
Sep 2019	278.6	7	39.8	Sep 2019	278.6	7	39.8
Oct 2019	358.2	9	39.8	Oct 2019	358.2	9	39.8

Four or More Payment Records in the Month

26. One record has a negative payment amount with an absolute value equal to the payment amount of another record. Then, the record with a negative payment amount is combined with one of the records with a matching payment amount, cancelling each other out with units reduced to zero as needed. If remaining records have the same effective rate, then the records are combined with the payment and unit amounts added; if the remaining records do not have the same effective rate, no changes are made.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Mar 2019	-209.84	0	N/A				
Mar 2019	209.84	12.25	17.13				
Mar 2019	209.84	12.25	17.13				
Mar 2019	1,181.97	69	17.13	Mar 2019	1,391.81	81.25	17.13

27. Two or more records have matching absolute units AND the effective rates for the record(s) with smaller payments are less than 20 percent of the effective rates for the record(s) with corresponding units. Then, the smaller payment amounts are considered adjustments and payment amounts for all records with matching units are combined but only the units for the records with larger payments are counted.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Jun 2019	456.57	27	16.91	Jun 2019	456.57	27	16.91
Jul 2019	13.25	25	0.53				
Jul 2019	422.75	25	16.91	Jul 2019	436	25	17.44
Jul 2019	14.31	27	0.53				
Jul 2019	456.57	27	16.91	Jul 2019	480.88	27	17.44
Aug 2019	480.88	27	17.44	Aug 2019	480.88	27	17.44

28. One record has 1 or 0 units AND the effective rate for that record is less than 20 percent or more than 120 percent of the effective rate for the record with the largest payment AND there are at least two records with matching units. First, records with matching units are combined with the payment amounts added but only the units from the larger payment are counted. Second, the record with 1 or 0 units is combined with the remaining record with the payment amounts added and the units from the remaining record counted if it results in an equalized rate. Otherwise, the record with 1 or 0 units is combined with the record with the highest payment amount.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Mar 2019	88.92	1	88.92				
Mar 2019	1,230.06	78	15.77	Mar 2019	1,318.98	78	16.91
Mar 2019	136.80	120	1.14				
Mar 2019	1,892.40	120	15.77	Mar 2019	2,029.20	120	16.91
Apr 2019	2,215.21	131	16.91	Apr 2019	2,215.21	131	16.91
May 2019	2,215.21	131	16.91	May 2019	2,215.21	131	16.91

29. One record has a negative payment amount with 1 unit and an absolute value that matches the payment amount for another record AND other records have matching effective rates and adjustments with matching units that are less than 20 percent of corresponding higher effective rates. First, the record with a negative payment amount and the record with a matching payment are combined resulting in payment amounts cancelling each other out and payment units reduced to zero as needed. Second, the adjustments are combined with the corresponding records based on matching units and the units for the record with larger payments are counted. Third, no changes are made to the remaining records.

Before				After			
ServDate	Claim	Billed	Eff. Rate	ServDate	Claim	Billed	Eff. Rate
Jan 2020	-1,393.70	1	-1,393.70				
Jan 2020	89.32	77	1.16	Jan 2020	89.32	77	1.16
Jan 2020	1,393.70	77	18.10				
Jan 2020	103.82	89.5	1.16				
Jan 2020	1,619.95	89.5	18.10	Jan 2020	1,723.77	89.5	19.26
Feb 2020	2,070.45	107.5	19.26	Feb 2020	2,070.45	107.5	19.26

In this example, it appears that a payment adjustment attached to a payment that was later reversed was not also reversed as it should have been; however, the methodology will not reduce this payment amount.

EXTRACT ADJUSTED PAYMENT RECORDS

Re-run the query based on the adjusted payment records, pulling the following fields:

- a. UCI
- b. RCABrv
- c. Vendor
- d. SvsCd
- e. Sub
- f. ServDate
- g. Billed (Units)
- h. Claim (Payments)

CLAIMS RE-PRICING AND ALTERNATIVE MONTHLY PAYMENT CALCULATIONS:

This process is designed to adjust, as practicable, effective payment rates to reflect prevailing rates as of May 2020 by accounting for bridge funding, January 2020 rate increases, and minimum wage adjustments. This process does not change effective payment rates that are higher than or substantially lower than other payment rates for the corresponding RC, Vendor, UCI, and Sub combination.

1. Delete payment records with zero units AND zero payment amounts
2. The *Year* field lists the year appearing in the date field for ServDate.
3. The *Flag* field is used to determine whether payment records will proceed through the full repricing or only adjusted for the January 2020 rate increase, as applicable:
 - a. “0 unit” – records with zero in the Billed (units) field; 2019 payment amounts will be adjusted for the January 2020 rate increase as applicable while 2020 payment amounts will be unchanged (skip to steps 19-20)
 - b. “No unit” – records with no value in the Billed (units) field; 2019 payment amounts will be adjusted for the January 2020 rate increase as applicable while 2020 payment amounts will be unchanged (skip to steps 19-20)
 - c. “\$1 rate” – records for which the Billed (units) field is equal to the Claim (payments) field; 2019 payment amounts will be adjusted for the January 2020 rate increase as applicable while 2020 payment amounts will be unchanged (skip to steps 19-20)
 - d. “1 unit” – records for which the Billed (units) field is equal to one for all months AND the payment amounts are different for each month; 2019 payment amounts will be adjusted for the January 2020 rate increase as applicable while 2020 payment amounts will be unchanged (skip to steps 19-20)
 - e. “Include” – All other records not categorized above (proceed to steps 4-18)

Look-ups utilized within calculations or for reference purposes:

Values from in Steps 4, 5, and 6 are utilized at various points throughout the analysis to adjust payment rates in order to determine the appropriate rate for re-pricing payment records.

4. The *January 2020 Rate Increase* field denotes the percentage increase approved by DDS for the service code beginning January 1, 2020 (that is, the legislated rate increase of up to 8.2 percent).
5. The *Bridge Funding* field denotes the dollar amount of any applicable bridge funding increase by matching the RCABrv and Vendor fields from the payment record to the listing of approved bridge funding increases provided by DDS.
6. The *Post-Bridge Funding May 2020 Rate* field lists the applicable May 2020 rate for services that received bridge funding without the bridge funding increase amount identified in Step 5 (that is, the rate after bridge funding has expired and includes adjustments for January 2020 rate increase and minimum wage as applicable) by matching the RCABrv and Vendor fields from the payment record against the data provided by DDS.

Calculated fields utilized to determine rates for use in re-pricing:

For all 2019 payment records categorized as “Include”

7. The *Effective Payment Rate for 2019 Records* field calculates the effective paid rate for each payment record by dividing payment amount by unit amount, rounded to two decimal places.
8. The *Mode of Included 2019 Payment Records* field reports the most frequent effective rate for the 2019 payment records (from Step 7) sharing the same combination of UCI, RCABrv, Vendor, and Sub as the record being reviewed. If an error occurs in the calculation of the Mode (when there is no effective rate with a frequency greater than one), the value will be set equal to the value in the *Effective Payment Rate for 2019 Records* field
9. The *2019 Adjusted Rate* field compares the *Effective Payment Rate for 2019 Records* to the *Mode of Included 2019 Payment Records*:
 - a. If the *Effective Payment Rate for 2019 Payment Records* is less than 20 percent OR greater than 100 percent of the *Mode of Included 2019 Payment Records*, the *2019 Adjusted Rate* field will be equal to the value in the *Effective Payment Rate for 2019 Records* field
 - b. Otherwise, the *2019 Adjusted Rate* field will be equal to the value in the *Mode of Included 2019 Payment Records* field

Step 9 is intended to identify and correct instances in which the effective rate for a payment record has been ‘under-valued’ for some reason. This is achieved by assigning the higher of the calculated effective rate for the payment record and the ‘typical’ (mode) 2019 rate for that individual’s services. No adjustments are made when it appears that the effective payment rate may have been over-valued (that is, when the effective payment rate is greater than the mode)

No adjustments are made when it appears that the payment record almost certainly paid for something different than the other related payment records (i.e., when the effective payment rate is less than 20 percent of the mode). Adjustments for bridge funding and minimum wage described in subsequent steps are not applied to these records.

10. The *2019 Adjusted Rate w/o BF* field updates the *2019 Adjusted Rate* field by removing any applicable bridge funding:
- a. If the *2019 Adjusted Rate* is greater than or equal to the value in the *Post-Bridge Funding May 2020 Rate* field after removing the January 2020 rate increase (by dividing by 1 plus the January 2020 rate increase), the value of the *2019 Adjusted Rate w/o BF* field will be the greater of the value of the *2019 Adjusted Rate* field less the bridge funding amount and the *Post-Bridge Funding May 2020 Rate* field after removing the January 2020 rate increase
 - b. Otherwise, the value of the *2019 Adjusted Rate w/o BF* field will be equal to the value in the *2019 Adjusted Rate* field.

Step 10 adjusts the rate from Step 9 by removing any applicable bridge funding since this was one-time funding that was not intended to be a permanent rate increase. The rate is not reduced below the ‘expected’ rate (that is, the *Post-Bridge Funding May 2020 Rate*). This becomes the base rate for further adjustments to account for any applicable January 2020 rate increases and 2020 minimum wage adjustments.

11. The *2019 Adjusted Rate w/ Rate Inc. & BF* field reprices the effective payment rates to account for the January 2020 rate increase using the following formula:
- a. If the *2019 Adjusted Rate* is less than 20% of the *Mode of Included 2019 Payment Records*, the value of the *2019 Adjusted Rate w/ Rate Inc. & BF* field will be equal to:
$$[2019 \text{ Adjusted Rate } w/o \text{ BF } * (1 + (\text{January 2020 Rate Increase}))] \text{ rounded to two decimal places}$$
(since it has been assumed that effective rates that are less than 20 percent of the 2019 mode for included payment records did not receive bridge funding, the adjustment only includes the addition of any applicable January 2020 rate increase)
 - b. Otherwise, the value for *2019 Adjusted Rate w/ Rate Inc. & BF* field will be equal to:
$$[2019 \text{ Adjusted Rate } w/o \text{ BF } * (1 + (\text{January 2020 Rate Increase}))] + \text{Bridge Funding}$$
 rounded to two decimal places (producing a repriced rate that includes both bridge funding and the January 2020 rate increase)

Step 11 adds any applicable January 2020 rate increase. The January 2020 rate increase was not applied to the bridge funding amount. However, after adding any applicable January 2020 rate increase to the base rate (without bridge funding), the bridge funding amount is added back for comparative purposes for later steps (because the January and February 2020 payments will have both bridge funding and the January 2020 rate increase).

12. The *Rate Prior to Minimum Wage Adjusted Rate* and *Minimum Wage Adjusted Rate* fields determine whether an approved minimum wage rate applies by matching key fields from the payment record to the data provided by DDS.
- a. If there is a match based on Vendor and Sub or – when there are multiple matches based on Vendor and Sub – there is a match based on Regional Center, Vendor, and Sub, the fields reflect the reported rates
 - b. If there is not a match using the Sub field as described in a. AND the payment record contains a non-blank value in the Sub field, there is a check to see whether there is a match to a minimum wage record with a blank value for the subcode based on Vendor and rate (comparing the 2019 effective rate in the payment record to the Prior Rate field in the minimum wage file); if so, the fields reflect the reported rates. Note that if multiple minimum wage records occur, this match also incorporates a check to match Regional Center.

13. The *2019 Adjusted Rate w/ Rate Inc, BF & MW* field compares the amounts in the *2019 Adjusted Rate w/ Rate Inc & BF* and *Minimum Wage Adjusted Rate* fields:
- a. If the amount in the *2019 Adjusted Rate w/ Rate Inc & BF* field is less than 20 percent of the *Minimum Wage Adjusted Rate*, the value for the *2019 Adjusted Rate w/ Rate Inc, BF & MW* field will be equal to the amount in the *2019 Adjusted Rate w/ Rate Inc & BF* field
 - b. Otherwise, the value for the *2019 Adjusted Rate w/ Rate Inc, BF & MW* field will be equal to the amount in the greater of:
 - i. The *Minimum Wage Adjusted Rate* field, and
 - ii. The *2019 Adjusted Rate w/ Rate Inc & BF* plus the reported marginal increase for the minimum wage adjustment [*Minimum Wage Adjusted Rate* less (subtract) *Rate Prior to Minimum Wage Adjusted Rate*]

Step 13 determines whether any rate from the minimum wage records should be used. If the rate that was calculated with bridge funding and January 2020 rate increase (from Step 11) is greater than the rate from the minimum wage file, that rate is used; otherwise, the minimum wage adjusted rate is substituted.

14. The *2019 Final Rate* field determines the final rate to be used to reprice 2019 services:
- a. If the *2019 Adjusted Rate* is less than 20 percent of the *Mode of Included 2019 Payment Records*, set the value for the *2019 Final Rate* field equal to amount in the *2019 Adjusted Rate w/ Rate Inc, BF & MW* field
 - b. Otherwise, set the value equal to the *2019 Adjusted Rate w/ Rate Inc, BF & MW* less (subtracting) *Bridge Funding*.

Step 14 sets the final rate for repricing 2019 records by removing any applicable bridge funding.

For all 2020 records categorized as “Include”

15. The *Effective Payment Rate for 2020 Records* field calculates the effective paid rate for each payment record by dividing payment amount by unit amount, rounded to two decimal places
16. The *Mode of 2019 Adjusted Rate w/ Rate Inc, BF & MW* reports the most frequent repriced rate for 2019 payment records prior to the removal of bridge funding (the *2019 Adjusted Rate w/ Rate Inc, BF & MW* field)
- a. The mode is based on the combination of UCI, RCABrv, Vendor, and Sub
 - b. If an error occurs in the calculation of the Mode (when there is no effective rate with a frequency greater than one), the value for the *Mode of 2019 Adjusted Rate w/ Rate Inc, BF & MW* field will be equal to the value in the *Effective Payment Rate for 2020 Records* field

Step 16 reports the mode of the 2019 adjusted rates with bridge funding, January 2020 rate increase, and minimum wage adjustments because this is the ‘expected’ effective rate for January and February 2020 payment records when all of these rate adjustments were in effect.

17. The *2020 Adjusted Rate* field compares the *Effective Payment Rate for 2020 Records* field to the *Mode of 2019 Adjusted Rate w/ Rate Inc, BF & MW* field
- a. If the value in the *Effective Payment Rate for 2020 Records* field is less than 20 percent OR greater than 100 percent of the value in the *Mode of 2019 Adjusted Rate w/ Rate Inc, BF & MW* field, the *2020 Adjusted Rate* field will be equal to the value in the *Effective Payment Rate 2020 Records* field
 - b. Otherwise, the *2020 Adjusted Rate* field will be equal to the value in the *Mode of 2019 Adjusted Rate w/ Rate Inc, BF & MW* field

Step 17 reports the higher of the actual effective rate or the expected rate.

18. The *2020 Final Rate* field determines the final rate to be used to reprice services in 2020 as follows:
- a. If the *Effective Payment Rate for 2020 Records* is less than 20 percent of the *Mode of 2019 Adjusted Rate w/ Rate Inc, BF & MW*, the value for the *2020 Final Rate* field will be equal to the value in the *2020 Adjusted Rate* field
 - b. Otherwise, the value for the *2020 Final Rate* field will be equal to the *2020 Adjusted Rate* less (subtracting) *Bridge Funding*.

As in Step 14 above, in Step 18 the final adjusted rate for included 2020 records is determined by removing any applicable bridge funding.

For all records NOT categorized as "Include"

19. The *2019 Adjusted Payment* field calculates the value of 2019 records not repriced as described above based on the following formula:
- [payment amount * (1 + (*January 2020 Rate Increase*))] rounded to two decimal places
20. The *2020 Adjusted Payment* returns the unchanged payment amount of 2020 records not repriced as described above.

For payment records without units, with units equal to payments, or with a monthly rate that varies every month, Steps 19 and 20 will determine the adjusted payment amount. For records with 2019 service dates, any applicable January 2020 rate increase is applied to the entirety of the payment amount to determine the *2019 Adjusted Payment*. For records with 2019 service dates, the original payment amount is unchanged.

For all records

21. The *Total Adjusted Payment* field is calculated as follows:
- a. For 2019 records categorized as Include, set the value to:
[units * *2019 Final Rate*]
 - b. For 2020 records categorized as Include, set the value to:
[units * *2020 Final Rate*]
 - c. For 2019 records NOT categorized as Include, set the value to the *2019 Adjusted Payments* field
 - d. For 2019 records NOT categorized as Include, set the value to the *2020 Adjusted Payments* field