How to use the Provider Directory

REGIONAL CENTERS

Created by the Department of Developmental Services for Regional Centers

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Department of Developmental Services

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How to Use this Guide

This guide provides step-by-step instructions to help you review and respond to a vendor change request, as well as tips to help you work smart.

Through the guide, you'll find icons and callouts highlighting important and helpful information. To help you navigate this guide, here are the icons and what they signify:

Icons

= Important Notes

= Helpful Hints

= Definitions

Colored callouts

Action = Action to be taken

Information = Information

REGIONAL CENTERS

Disclaimer: All screenshots contain test data and do not reflect actual provider data.

Module 1 – Log In and Orientation

This module will guide log in and provide orientation of Workspace and Details Tab.

> DDS recommends using Google Chrome or Microsoft Edge to access the Provider Directory. If you are having issues accessing or viewing the Provider Directory in your browser, try clearing your browsing data (this clears your history, cookies, cache, etc.).

1:1 Log In

1. Open a browser and copy and paste https://caddsprod.servicenowservices.com/ into the search bar.
2. You will be automatically logged in.

1:2 Workspace Home Page

You will land on your case management workspace home page (Figure 1.2). It is segmented to help you navigate and manage your workload. Tip: If you are not automatically logged into the CSM/FSM Configurable Workspace, navigate to “CSM/FSM Configurable Workspace” before working any cases. (Figure 1.1)

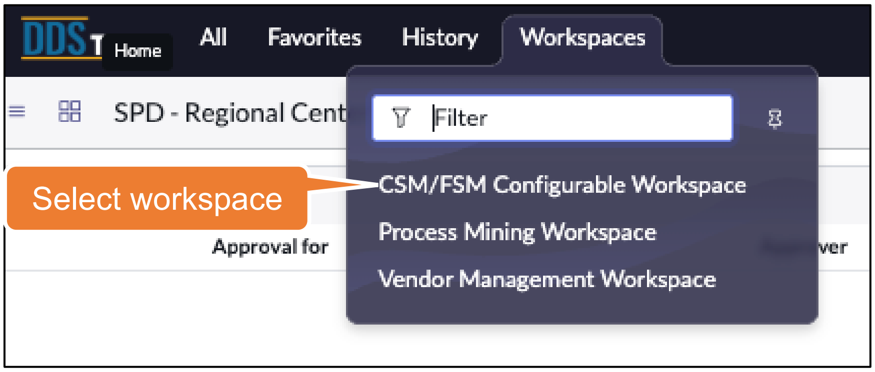


Figure 1.1: CSM/FSM Configurable Workspace

Provider Directory uses three distinct case ID prefixes to categorize cases submitted by applicants and service providers. Each case is labeled according to its type:

NWVN	EXVN	RITM*
• Application for vendorization	• Vendor record submission • User vendorization request	• Vendor record submission (historical cases only)

*In Q1 2025, Provider Directory transitioned from using Request Item Number (RITM) to case ID and the prefix EXVN for vendor record changes. This legacy case type remains accessible for reference but is no longer used for new submissions.

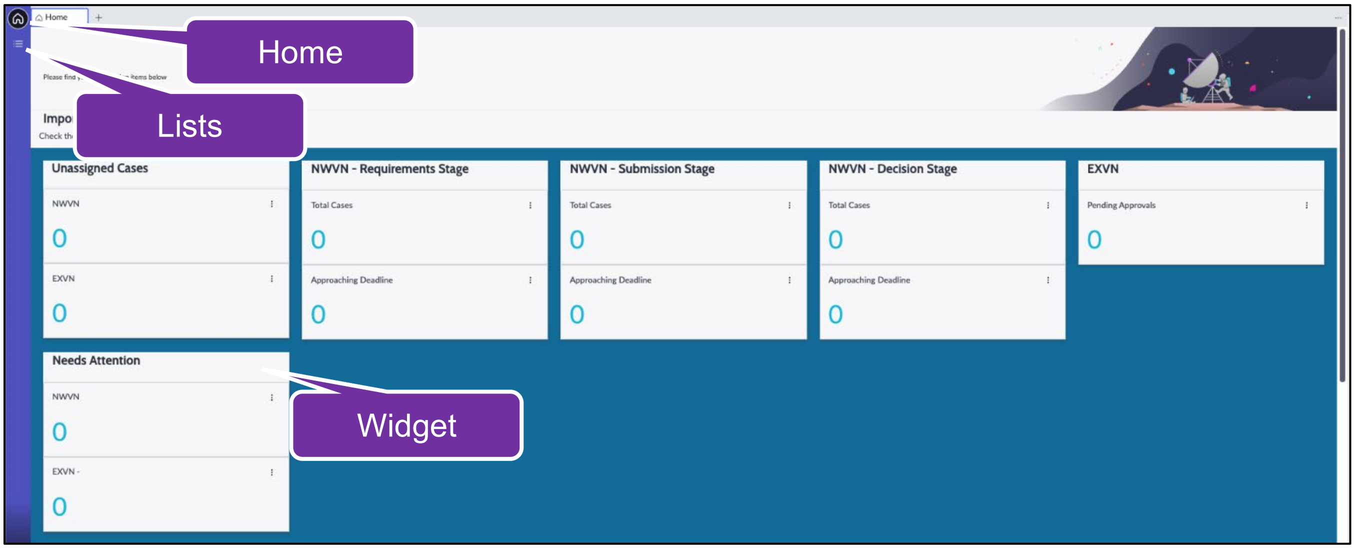


Figure 1.2: Workspace Home Page –Top Section

The top section of the workspace home page provides access and visibility into cases. The following are some key components:

- Each section of a widget contains a specified list view. For example, “NWVN - Requirements stage” contains a list of all cases in the Requirements stage of the Vendorization application process.
- The home icon directs you to the workspace home page.
- Lists (hamburger icon) - This feature links you to all pre-defined lists: pending approvals, cases (both open & closed), all provider locations & historic requests. (Figure 1.7)
- Tab View – Similar to a web browser, this feature allows you to open and switch between multiple tabs. You can work across cases, requests, approvals, or locations without losing progress in each tab. (Figure 1.7).

At the center of the workspace are widgets that report cases counts for various case types.

Widget name	Scenario
Unassigned	Number of cases that are not currently assigned to a team member
NWVN – Requirements Stage	Number of cases in the Requirements stage of the Vendorization process
NWVN – Submission Stage	Number of cases in the Submission stage of the Vendorization process
NWVN – Decision Stage	Number of cases in the Decision stage of the Vendorization process
EXVN	Number of cases in Pending Approval status
Needs Attention	Number of cases that need attention from your regional center

Vendorization cases (NWVN) are segmented by stage in the vendorization process. Each widget has two sections. See Figure 4.1 for information about stages of vendorization.

- Top: count of open cases
- Bottom: count of cases within 2-calendar days of the prescribed processing timeline

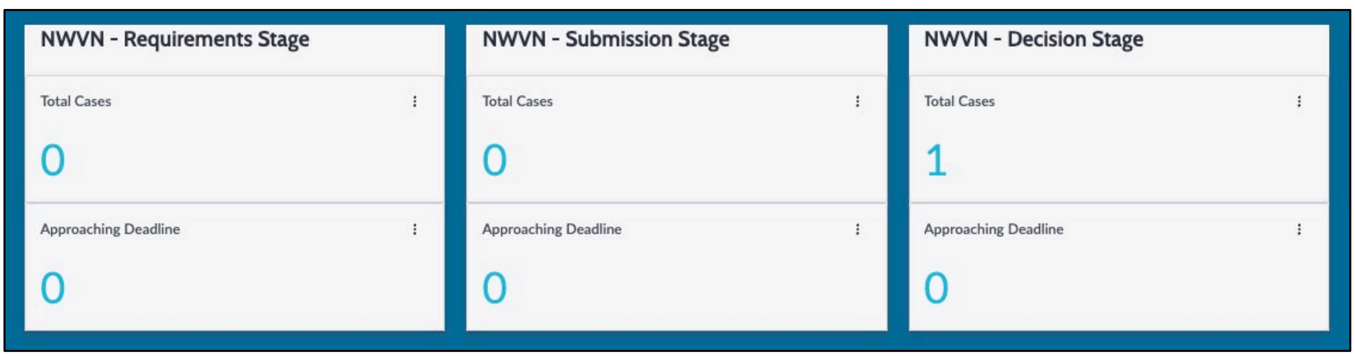


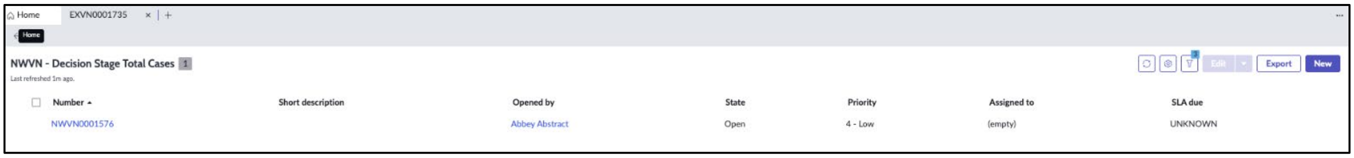
Figure 1.3: NWVN case counts

The Needs Attention widget highlights cases that have activity not tied to the completion of a stage and may otherwise be overlooked. The widget has two sections:

- Top: count of cases in which an applicant has taken an action (e.g., add a comment, uploaded an attachment). Specifically, a case will appear in the count if:
    - The case is in Requirement stage, and the applicant leaves a comment or otherwise updates the case.
    - The case is in Submission stage, but before the applicant completes their submission activities, and the applicant comments or otherwise updates the case.
- Bottom: count of cases in which anyone other than the Assigned To user adds a comment, work note, or email

Figure 1.4: Needs Attention Counts

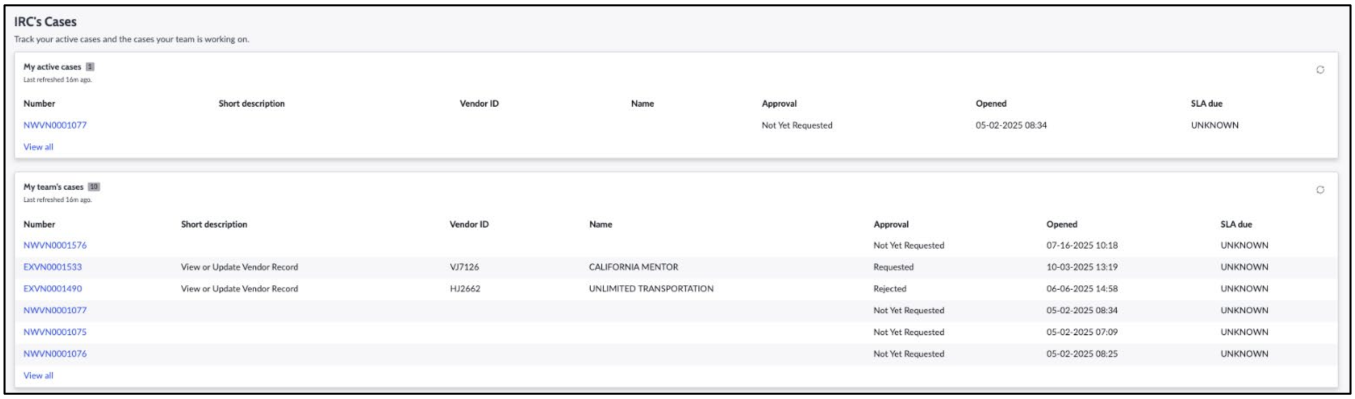
Clicking on the number in any widget will automatically direct you to a list. (Figure 1.5) The information in the list is filtered for that case type. The case ID links to the case.



Number	Short description	Opened by	State	Priority	Assigned to	SLA due
NWVN0001576		Abbey Abstract	Open	4 - Low	(empty)	UNKNOWN

Figure 1.5: NWVN - Decision Stage Total Cases

The bottom section of the workspace homepage includes two tables (Figure 1.6). The top table displays cases assigned to you. The bottom table displays all cases assigned to your regional enter.



Number	Short description	Vendor ID	Name	Approval	Opened	SLA due
NWVN0001077				Not Yet Requested	05-02-2025 08:34	UNKNOWN

View all

My team's cases 10
Last refreshed 16m ago.

Number	Short description	Vendor ID	Name	Approval	Opened	SLA due
NWVN0001576				Not Yet Requested	07-16-2025 10:18	UNKNOWN
EXVN0001533	View or Update Vendor Record	VJ7126	CALIFORNIA MENTOR	Requested	10-03-2025 13:19	UNKNOWN
EXVN0001490	View or Update Vendor Record	HJ2662	UNLIMITED TRANSPORTATION	Rejected	06-06-2025 14:58	UNKNOWN
NWVN0001077				Not Yet Requested	05-02-2025 08:34	UNKNOWN
NWVN0001075				Not Yet Requested	05-02-2025 07:09	UNKNOWN
NWVN0001076				Not Yet Requested	05-02-2025 08:25	UNKNOWN

View all

Figure 1.6: Workspace Home– Bottom Section

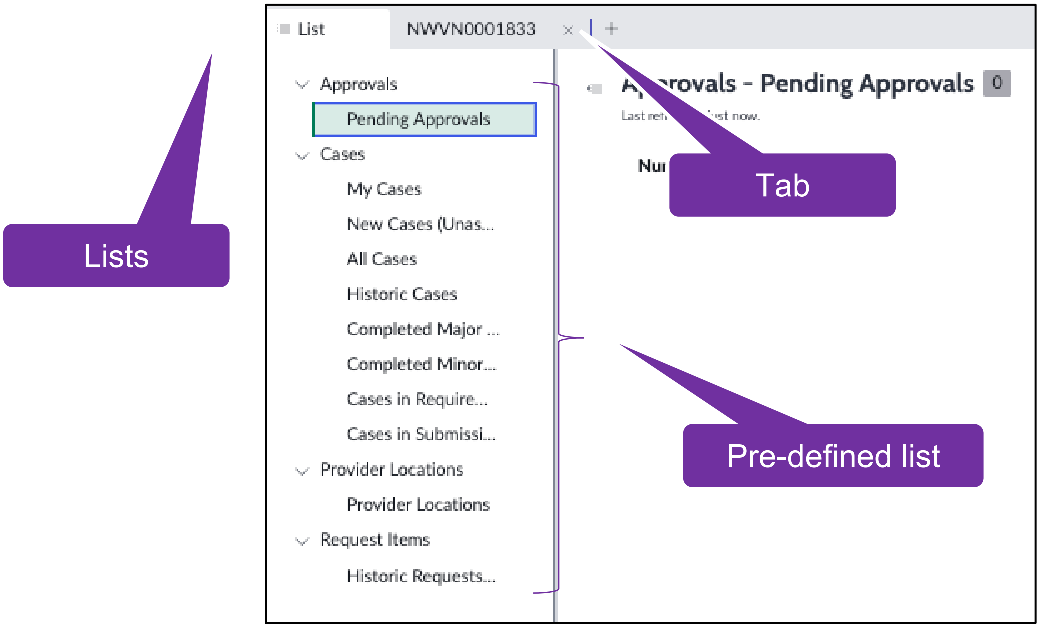


Figure 1.7: Lists

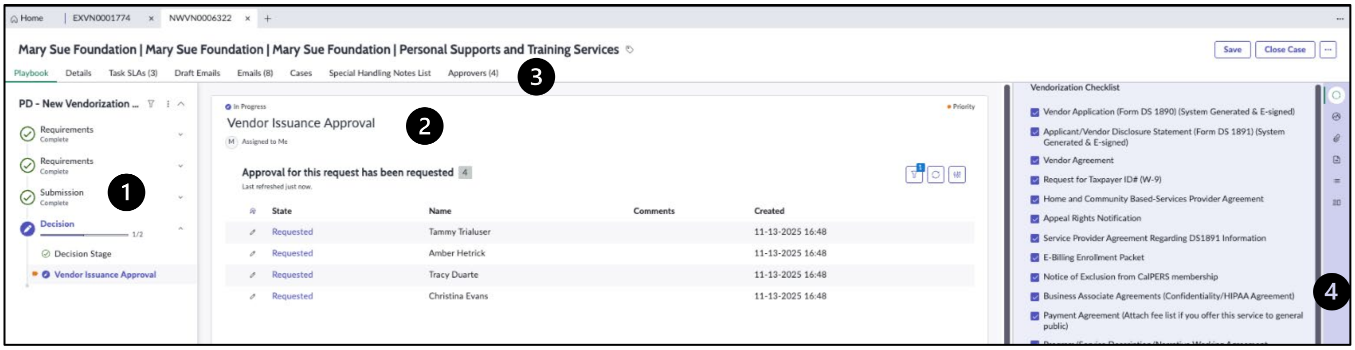
Except for the Provider Locations list view, all other lists display data that is specific to your vendoring regional center. In contrast, the Provider Locations list includes all service providers in the Provider Directory, regardless of their vendoring regional center. The following is a brief description of the contents of each list (Figure 1.7):

Table	Case Type(s)	Description
Pending Approvals	EXVN	List of all open requests with major changes that require the regional center to either approve or reject the case or request item.
My Cases	EXVN, NWVN	List of all cases assigned to me.
New Cases (Unassigned)	EXVN, NWVN	List of all unassigned cases for my vendoring regional center.
All Cases	EXVN, NWVN	List of all cases for my vendoring regional center.
Historic Case Approvals	EXVN	List of all closed or cancelled cases for my vendoring regional center.
Completed Major Cases	EXVN	List of cases submitted with major changes and processed by my regional center.
Completed Minor or Insignificant Cases	EXVN	List of cases submitted with minor or insignificant changes. This case type is automatically approved. There is no action for my regional center to take in the Provider Directory.
Cases in Requirements	NWVN	List of all vendorization applications in the Requirements stage for my vendoring regional center.
Cases in Submission	NWVN	List of all vendorization applications in the Submission stage for my vendoring regional center.
Provider Locations	n/a	List of all vendors across the 21 Regional Centers in the Provider Directory.
Historic requests (closed)	RITM	List of all closed request items (RITM) for my vendoring regional center.

The accuracy of each vendor record listed in Provider Locations depends on how well the provider maintains their information.

1:3 Vendorization Layout

The Vendorization process utilizes a playbook to guide you through each step. It helps you know what to do next, stay organized, and make sure nothing important is missed when processing a vendorization application.



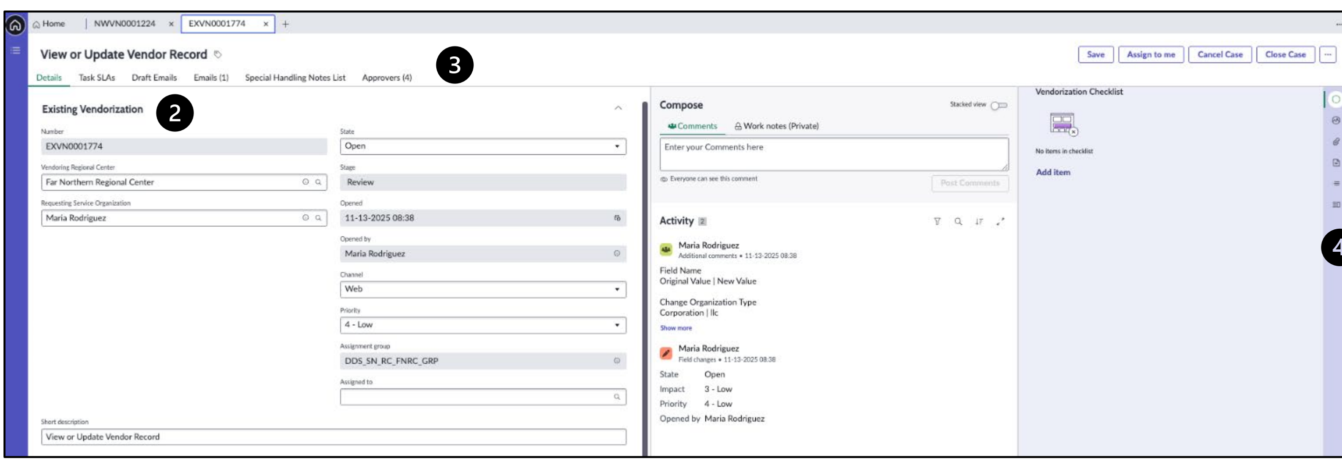
1.8 Vendorization Layout

Some key components are:

1. Stage and activity tracker
2. Activity view
3. Related lists
4. Side panel

1:4 Change Request Layout

The change request process does not utilize playbook. Instead, the default view is case details.



1.9 Change Request Layout

1:5 Related Lists

Related lists (Figure 1.8/9, component 3) contain information and tools to help you process cases. The table below outlines the contents of each tab and indicates whether it applies to the vendorization process, the change request process, or both.

Tab	Vendorization	Change Request	Description
Details	Yes	Yes	Contains Activity View which allows you to view and act on key information in the case
Task SLAs*	Yes	No	List of applicable SLAs, content varies dependent upon stage.
Draft Emails	Yes	Yes	List of draft emails
Emails	Yes	Yes	List of emails sent and received
Special Handling Notes List	Yes	Yes	List of any special notes that have been added to a vendor's record or case.
Approvers	No	Yes	List of regional center users that can approve or reject change request

**See Module 4: Vendorization; Section: Processing Timeline Requirements for information about SLAs.*

1:6 Side Panel

Side panel (Figure 1.8/9, component 4) includes information and tools to help you process applications and requests. The table below outlines the contents of each item in the side panel and indicates whether it applies to the vendorization process, the change request process, or both.

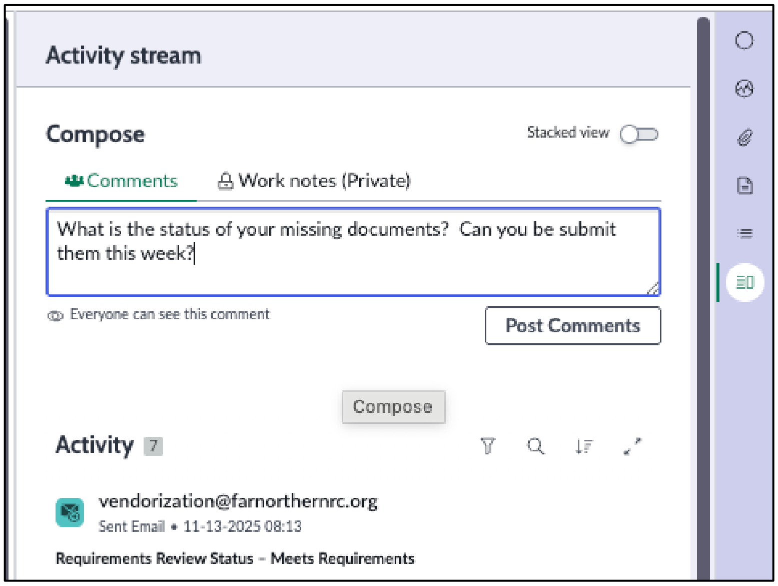
Item	Vendorization	Change Request	Description
Vendorization checklist	Yes	No	Checklist with the standard documents needed for an application
Record information	Yes	Yes	Reports case priority and state
Attachments	Yes	Yes	List of attachments and tool to upload
Templates	Yes	Yes	(not configured)
Related records	Yes	No	(not configured)
Activity stream	Yes	Yes	Contains all activity related to the case. Can compose comments and work notes.

1:7 Comments, Work Notes and Attachments

> **!** Comments and attachments enable communication and information exchange within the Provider Directory. There are no limits on the number of comments per case.
>
> Comments on **closed** cases do not trigger notification emails and are discouraged for initiating dialogue.

Comments

1. To add a comment, navigate to Activity Stream. If it is not open, click Activity stream icon in the side panel (Figure 1.10).
2. Type your message in the comments dialogue box.
3. Click Post Comments button.
4. The comment will be added to the activity stream and visible to the applicant/provider. They will also receive an automated email notification.



1.10 Activity Stream

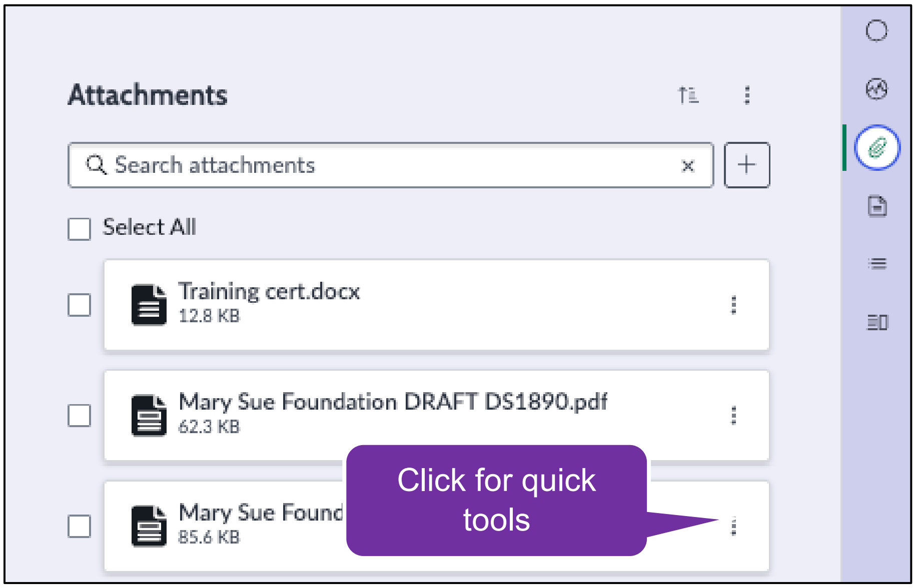
Work Notes

Work notes are **internal** notes for communication **visible to all regional centers**. Work notes <u>cannot</u> be seen by applicants and service providers.

1. The add a work note, navigate to the Activity Stream. If it is not open, click Activity stream icon in the side panel.
2. Click Work notes (Private). Type your message in the dialogue box.
3. Click Post Work notes (Private) button.
4. The work note will be added to the activity stream.

Attachments

1. To access attachments, navigate to side panel and click Attachments icon.
2. To view, click on an attachment, it will load in the native browser. Click x to close.
3. To access quick tools - download, delete and rename - click the 3 dots on the right of the attachment.
4. To quickly access what you are looking for, type search term in to search bar.
5. To add an attachment, click the plus sign (+) and follow the steps to upload. Each attachment will be added to the activity stream and this list. You will have the opportunity to rename the file. When renaming, keep the file extension (e.g., .doc). If you accidently delete it, you will get a red banner warning.



1.11 Attachments

1:8 Notifications

Notifications are in-app alerts to draw your attention to real-time updates. The majority of these notifications are sent to all users within a regional center. Personal notifications are also possible. Email notifications are not sent for these events.

To manage a notification:

1. Click the bell icon in the top-right corner to view a list. (Figure 1.5). Notification counts temporarily disappear when you open the list and return when a new notification is generated.
2. To remove a notification, click the “x” in the right corner of that notification. While notifications are sent to all users, deleting a notification only removes it from your list.

Notifications enable direct access to the case. Click the notification to be directed to the associated case.

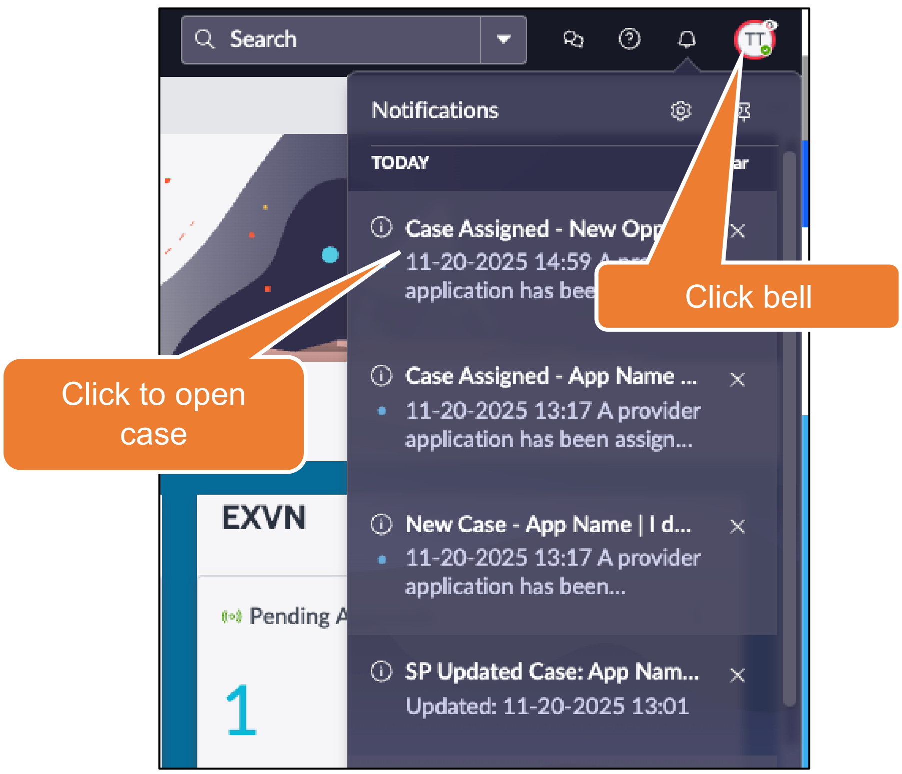


Figure 1.12: Notifications

The table below outlines key in-app notifications used within the Directory. Each entry includes the notification name, the event or condition that triggers it, and the intended recipients—whether all users in a regional center or specific individuals.

Recipients are defined as follows:

- “Assigned to” refers to the individual that the case is currently is assigned to.
- “Assignment group” refers to the regional center group.
- “Opened by” refers to the individual that opened the case.

In-app Notification Name	Trigger event or condition	Recipient(s)
Case Assigned	“Assigned to” status change	Assigned to
New Case	When the Assignment Group* on a NWVN record changes	Assignment Group
SP Update Case	When the person who opened the NWVN case updates the case	Assigned to
15-Day Reminder	If a case has not been actioned in 15 days after assignment	Assigned to; Assignment Group
Approval Required	When an EXVN has entered the Review stage and been submitted for approval (change request)	Assignment Group
Cancelled Case	An EXVN moves to canceled/closed (specifically built for User but will work on any)	Opened by
New Assigned Case	When the Assignment Group changes on an EXVN record change case	Assignment group

Module 2 – Change Request

This module will walk you through how to access, review, and accept or reject a service provider change request.

When vendorization was added to the Provider Directory, new required fields were introduced. Service providers are prompted to complete the new required fields when submitting a change request.

2:1 Access a Change Request

1. From the workspace, click the number in the EXVN module. Alternatively, you can click the list (hamburger icon) in the left column and select the Pending Approvals list view or locate and click the notification.
2. From the Pending Approvals list view, click the case ID link to be directed to the View or Update Vendor Record page.

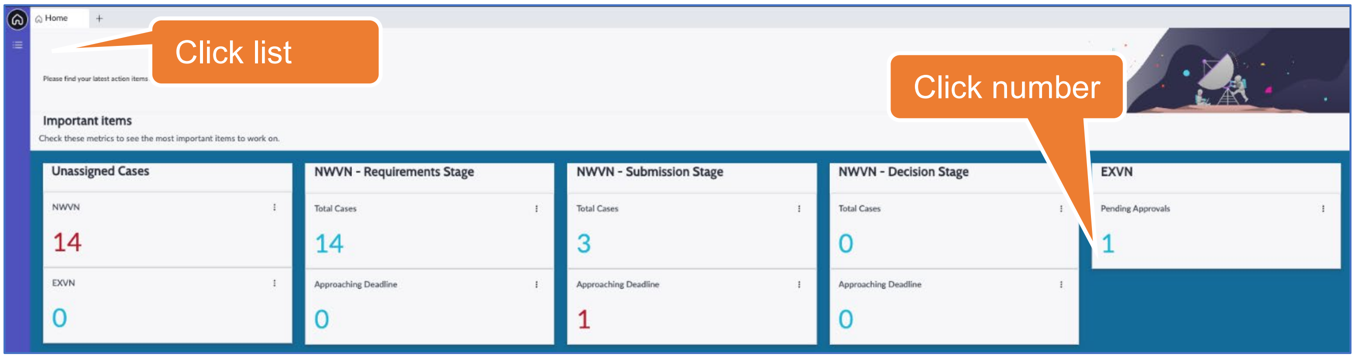


Figure 2.1: Access change request

Change request notifications are now sent to regional centers through in-app alerts only; email notifications are no longer used.

2:2 Approve or Reject Change Request

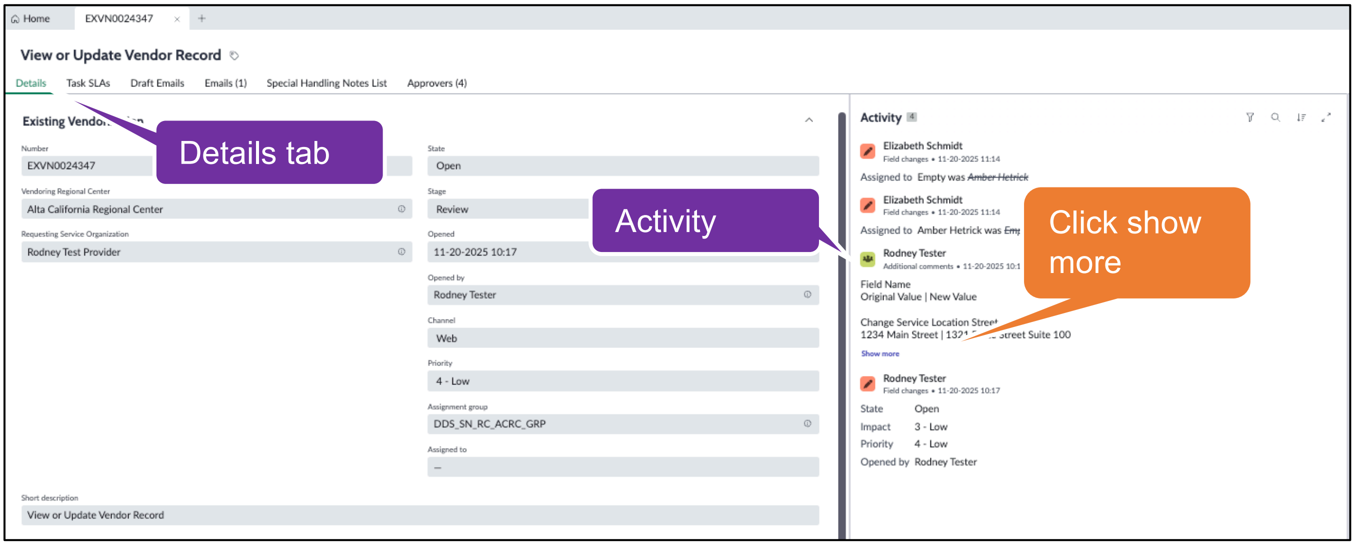


Figure 2.2: View or Update Vendor Record

1. Go to the section labeled Activity Stream (Figure 2.2) in the right column and locate the activity (Figure 2.3). Click the "show more" link to open the activity summary.
2. Review changes. (Figure 2.3)
    a. For each change, the original entry will appear on the left of a vertical line, and the change entry will appear on the right.
    b. The list includes only "major" changes. See section 2:3 Minor or Insignificant vs. Major Change Requests for change classifications.

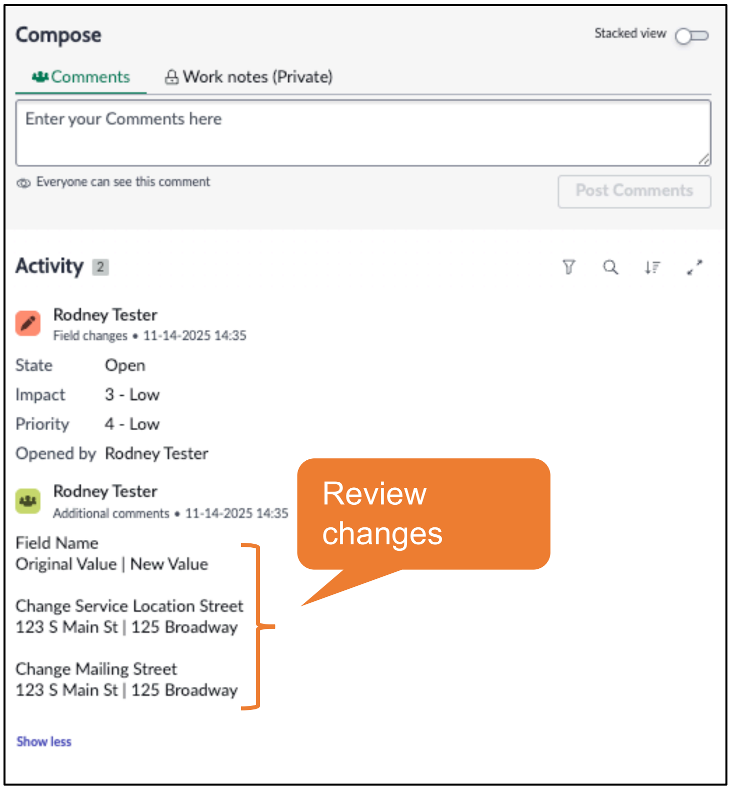


Figure 2.3: View or Update Vendor Record: Activity Stream

3. When you are ready to decide, click the Approvers tab. (Figure 2.4)
4. Locate your name and click the Requested link in the row. (Figure 2.4)

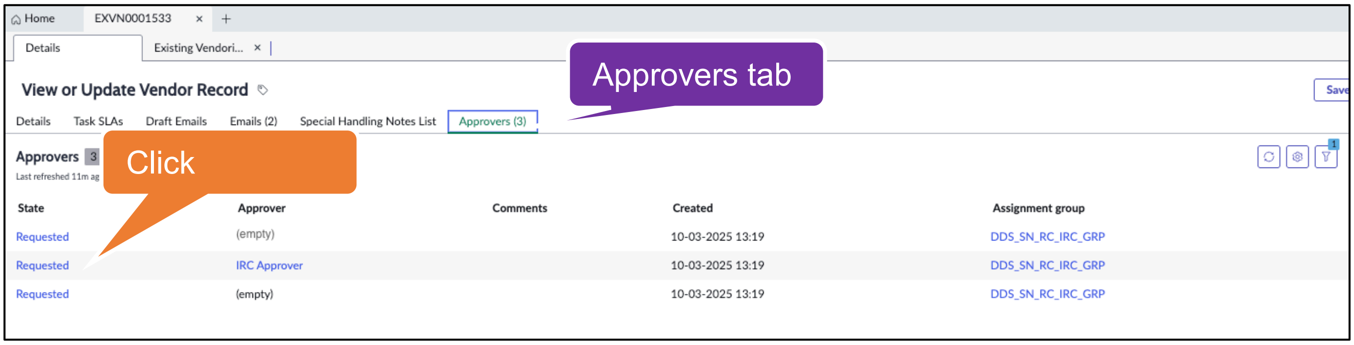


Figure 2.4: View or Update Vendor Record: Activity Stream

5. You will be directed to the Approval Details tab. (See Figure 2.5)
6. Click the RC Response pulldown and select an option. See section 2.4 for Regional Center Response option guidance.
7. Click approve or reject button.
   a. Click the **Approve** button if you selected “approved with no modifications” or “approved with modifications.”

b. Before clicking the **Reject** button, enter the reason for rejection in the Comment box located below the dropdown. Then, click Reject if you selected "Rejected with corrections needed" or "Reject – please contact the Regional Center."

The case will automatically close and an email will be sent to the service provider informing them of your decision.

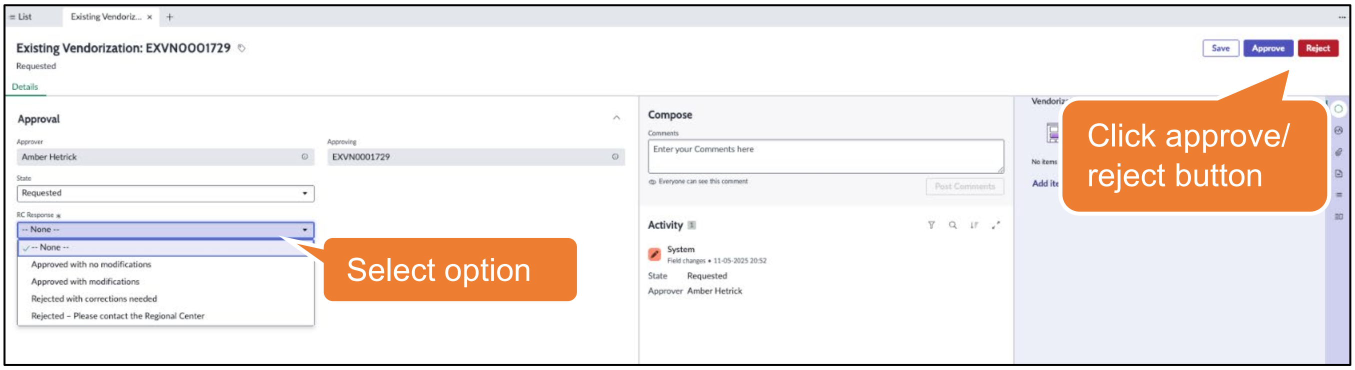


Figure 2.5: Case Details – Approve or Reject

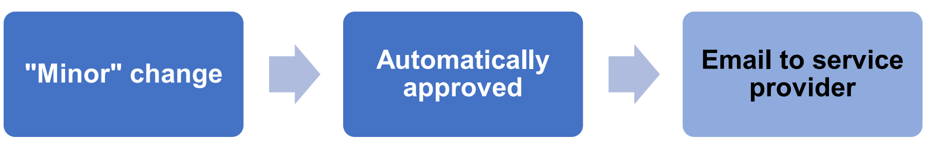
2:3 Minor or Insignificant vs. Major Change Requests

A service provider can submit a case with no changes or make changes and then submit. Changes are classified as 1) Minor or Insignificant or 2) Major.

"**Minor**" changes include edits to any or all the following fields:

- Service Location Phone Number
- Service Location Email Address
- Point of Contact
- NPI
- Date of birth
- Consultant, Subcontractor & Community Resource Types to be Used by Vendor
- Website
- Preferred name/DBA
- Languages of Services Delivered

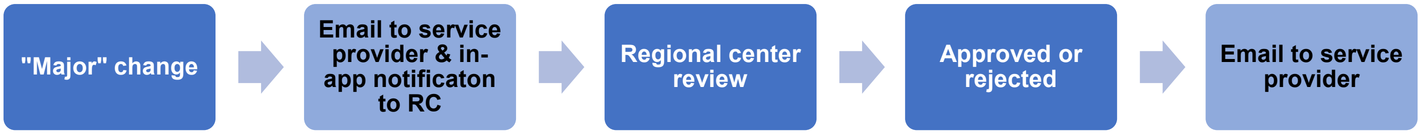
If a service provider **only** makes "**Minor**" change(s), the change is automatically approved, and the Provider Directory sends an email confirmation to the service provider. No action is needed from the regional center.



"**Major**" changes are those that include changes to any or all of the below fields and need to be reviewed by the regional center:

- Vendor Name
- Applicant (Owner or Executive)
- Name of Governing Body
- Name Registered w/Secretary of State
- Organization Type
- Federal Tax ID / SSN
- Service Location Street, City, State, Zip Code, County
- Mailing Street, City, State, Zip Code, County
- License and Certification
- Facility Capacity

If a service provider makes a "**Major**" change, the request will go to the vendoring regional center for review and approval or rejection. The Provider Directory sends an email notification to the service provider and the regional center receives an in-app notification. When the regional center approves or rejects the vendor record, the Provider Directory sends an email confirmation to the service provider.



2:4 Regional Center Response Scenarios

When making a change request decision, you have four response options to choose from. The following are suggested uses and scenarios for each option.

Note: The automated decision email notification to the service provider includes the full response, but a provider cannot view that specificity in the Directory. For example, the provider will see “approved” for both “approved with no modifications” and “approved with modifications.”

Regional center response option	Suggested use	Example scenarios
Approved with no modifications	Approve major change as submitted	Major change can be approved
Approved with modifications	Approve major change as submitted but tasks outside of the Provider Directory may be required	Major change may impact provider’s record (e.g., program director, administrator, staffing credentials/licenses) and follow up is needed
Rejected with corrections needed	Reject major change as submitted and prescribe changes to be made using comments within the Provider Directory	Major change signals information or changes needed (e.g., information does not match records on file, such as disclosure, contract amendment, program design)
Rejected – please contact the Regional Center* ***Warning** – the data record will be locked, and no additional changes can be submitted by the service provider. **Please use this option only if locking the record is required.**	Reject major change as submitted and lock the vendor record from additional change requests or updates.	Major change signals a new vendorization is required or the resource is closed.

Module 3 – (Intentionally Blank)

Module 4 – Vendorization Application

This module will walk you through how to process a vendorization application, which is summarized in the visual below. (Figure 4.1)

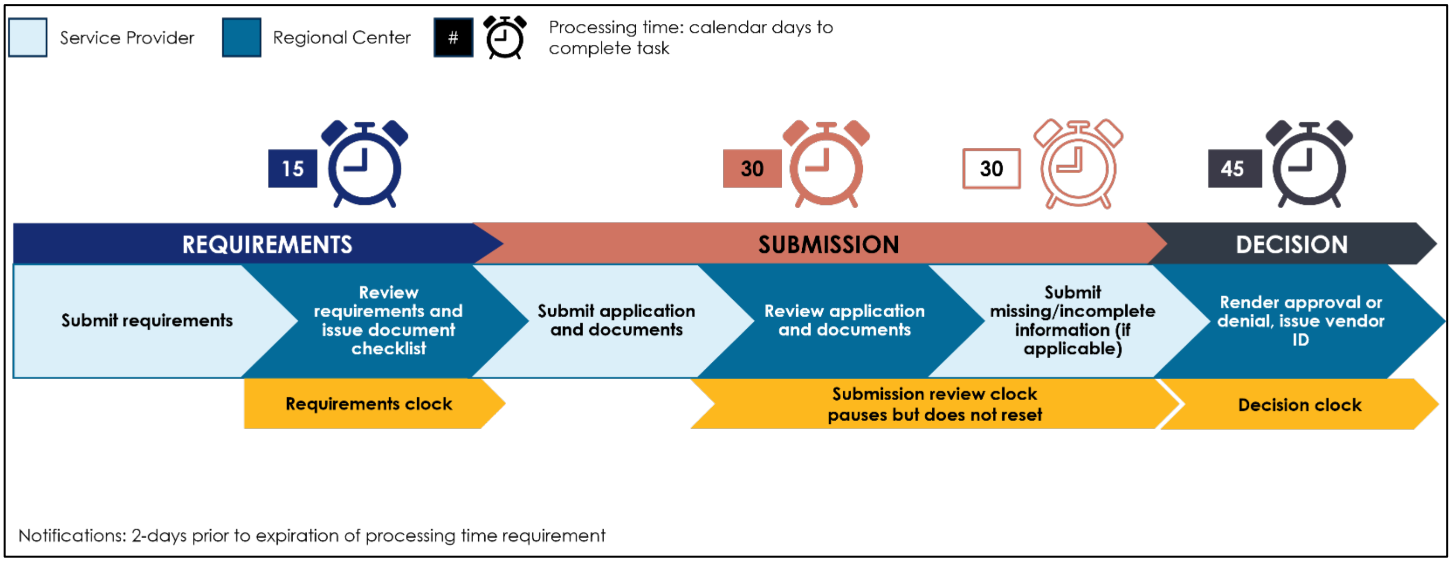


Figure 4.1 Vendorization Stages and Processing Time Requirements

Progress in the application process is visible and synchronized in the stage and activity tracker, keeping you and the applicant informed. (Figure 4.2). The tracker groups activities into the three stages: Requirements, Submission and Decision. Submission and Decision stages populate after the Prepare Vendorization Checklist activity is marked complete.

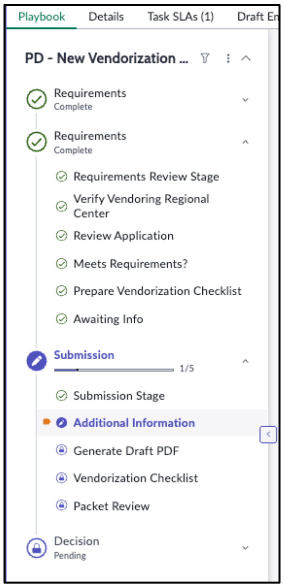


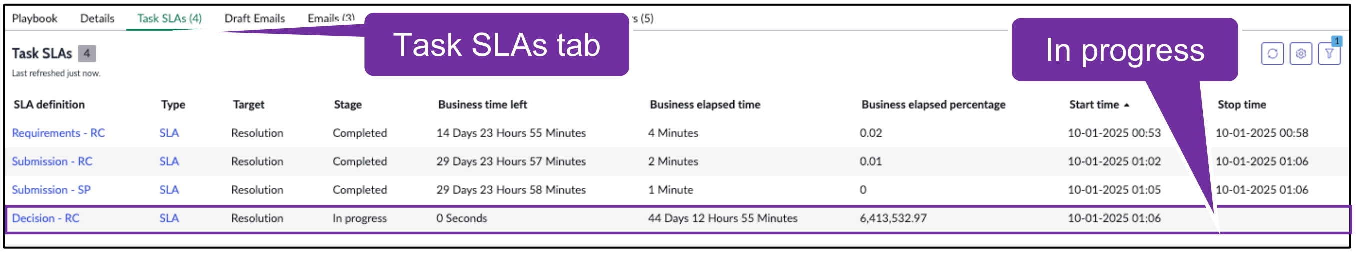
Figure 4.2 Stage & Activity Tracker

4:1 Processing Time Requirement

Each stage in the vendorization process has an prescribed processing timeline, in which the regional center and/or applicant completes the application activities in that stage. See Figure 4.1 for each stage and the associated timeline. These processing time requirements are referred to as SLAs within the Provider Directory.

They can be viewed in the Task SLAs tab. As the application progresses though the stages, the associated SLAs will be added to the Task SLAs table. (Figure 4.3) When applicable, the applicant's SLA will appear in the Task SLAs tab. Two days before an SLA due date, the case will appear in the Approaching Deadline widget for the applicable stage. (Figure 4.4)

In the example below (Figure 4.3), the application has progressed to Decision stage and is in progress as identified by the stage and absence of date in the Stop time column.



SLA definition	Type	Target	Stage	Business time left	Business elapsed time	Business elapsed percentage	Start time	Stop time
Requirements - RC	SLA	Resolution	Completed	14 Days 23 Hours 55 Minutes	4 Minutes	0.02	10-01-2025 00:53	10-01-2025 00:58
Submission - RC	SLA	Resolution	Completed	29 Days 23 Hours 57 Minutes	2 Minutes	0.01	10-01-2025 01:02	10-01-2025 01:06
Submission - SP	SLA	Resolution	Completed	29 Days 23 Hours 58 Minutes	1 Minute	0	10-01-2025 01:05	10-01-2025 01:06
Decision - RC	SLA	Resolution	In progress	0 Seconds	44 Days 12 Hours 55 Minutes	6,413,532.97	10-01-2025 01:06	

Figure 4.3 Task SLA

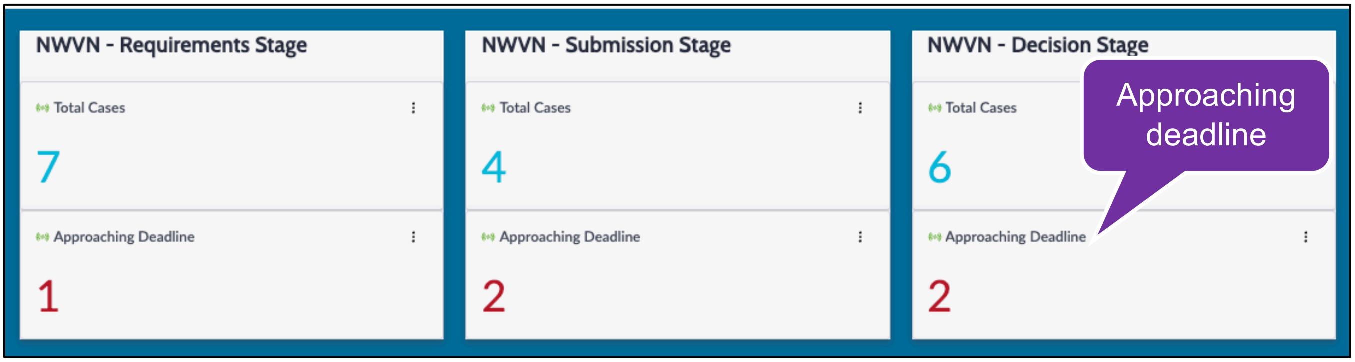


Figure 4.4 Approaching Deadline

4:2 Requirements Stage

The Requirement Stage review is designed to assess whether the applicant has the minimum requirements to proceed to complete an application. The regional center has 15-calendar days to determine if the applicant meets the minimum requirements. The regional center review begins after the applicant clicks “mark complete” in the requirements stage. At this point, the information that they have submitted is **locked** to the applicant, preventing them from making any changes.

From the workspace homepage, select new a vendorization application (NWVN) case from any of the following views:

- From workspace home page: (Figures 1.3 and 1.9)
  - NWVN - Requirement Stage widget, click Total Cases count
  - Unassigned Cases widget, click NWVN count
  - My team’s cases table
  - My active cases, if the case is assigned to you
- From list view: (Figure 1.4)
  - My cases, if assigned to you
  - New cases (unassigned)
  - All cases

The following steps are for starting a review from the NWVN - Requirement Stage - Total Cases count view.

1. Click the number in the widget
2. From the Requirements Stage list view, identify a case that is either assigned to you or unassigned. Unassigned cases will display “empty” in the Assigned to column.
3. Click case ID link.

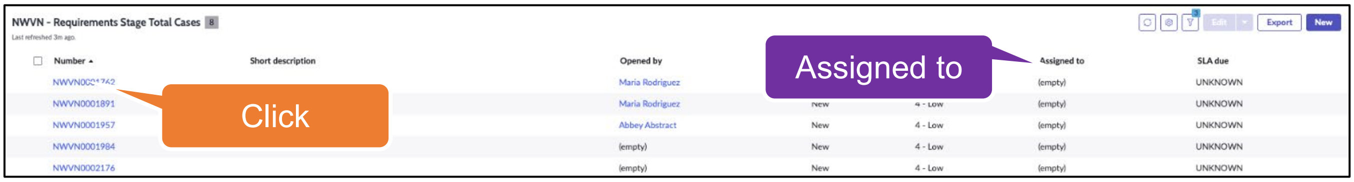


Figure 4.5 Requirements Stage list view

You will be directed to the Playbook in which you will process vendorization application (NWVN) cases. (Figure 4.6)

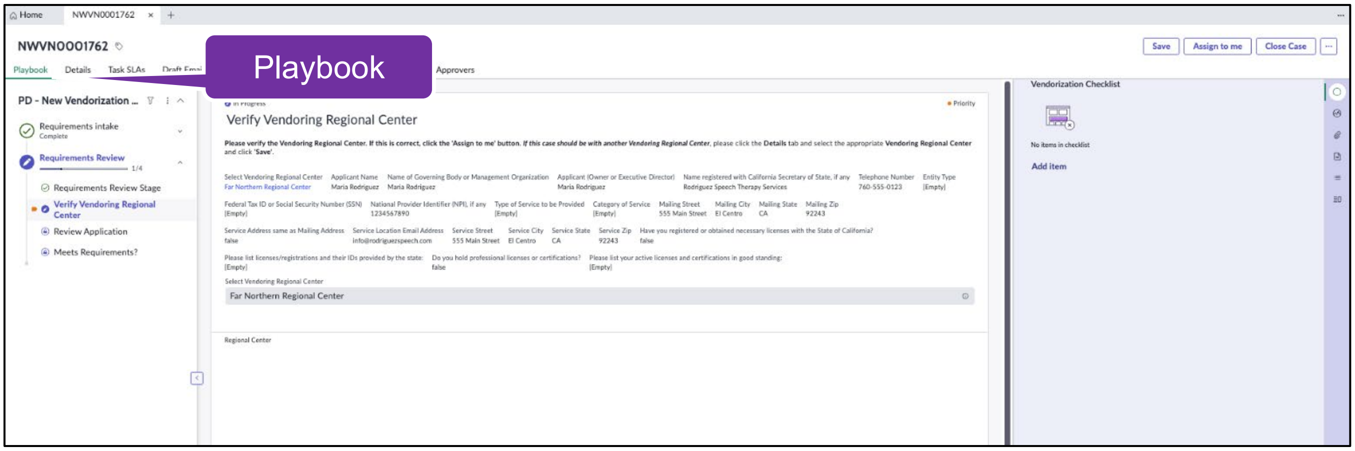


Figure 4.6 Playbook

Verify Regional Center

In the Verify Vendoring Regional Center section of the page, review the service address to confirm the application is properly assigned to your regional center.

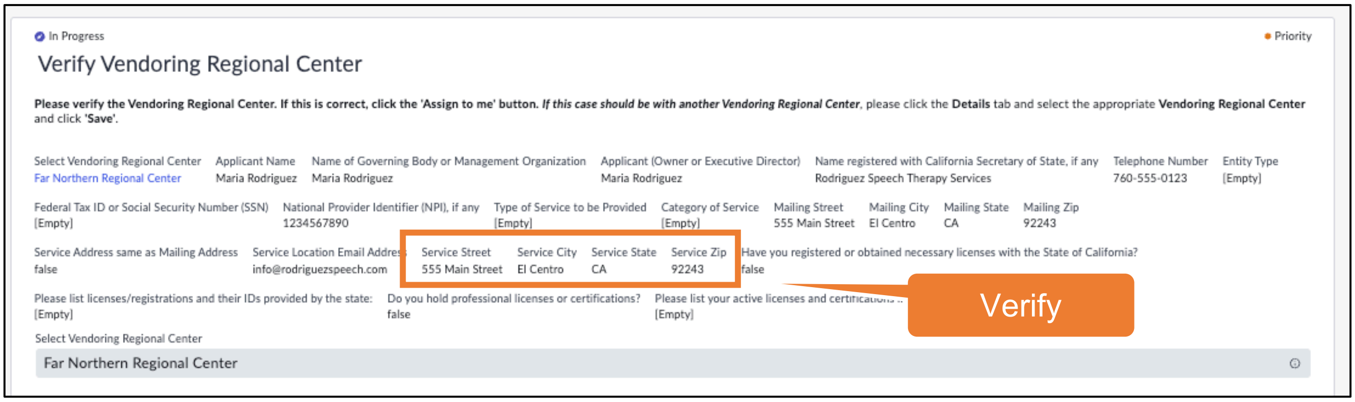


Figure 4.7 Verify Vendoring Regional Center

Service Location" is referred to as "Service Address" in the Vendor Application (DS 1890) and "Business Address" in the Applicant/Vendor Disclosure Form (DS 1891). For site-based services, service location is the location where the service provider will provide service. For non-site-based services, the service location is the service provider's primary office or operating location within the regional center's catchment area.

If the application belongs to another regional center, reassign the case. Otherwise, proceed to Assign to me.

1. Click on Details tab.
2. In the "Select Vendoring Regional Center" field, delete your reginal center and begin typing the name of the regional center that aligns with the applicant's service address. The system will auto populate the recommendation. Click to apply. (See Figure 4.8)

3. Click Save in the top-right corner of playbook.

The case will appear in the regional center's notifications (bell icon) as a "new case."

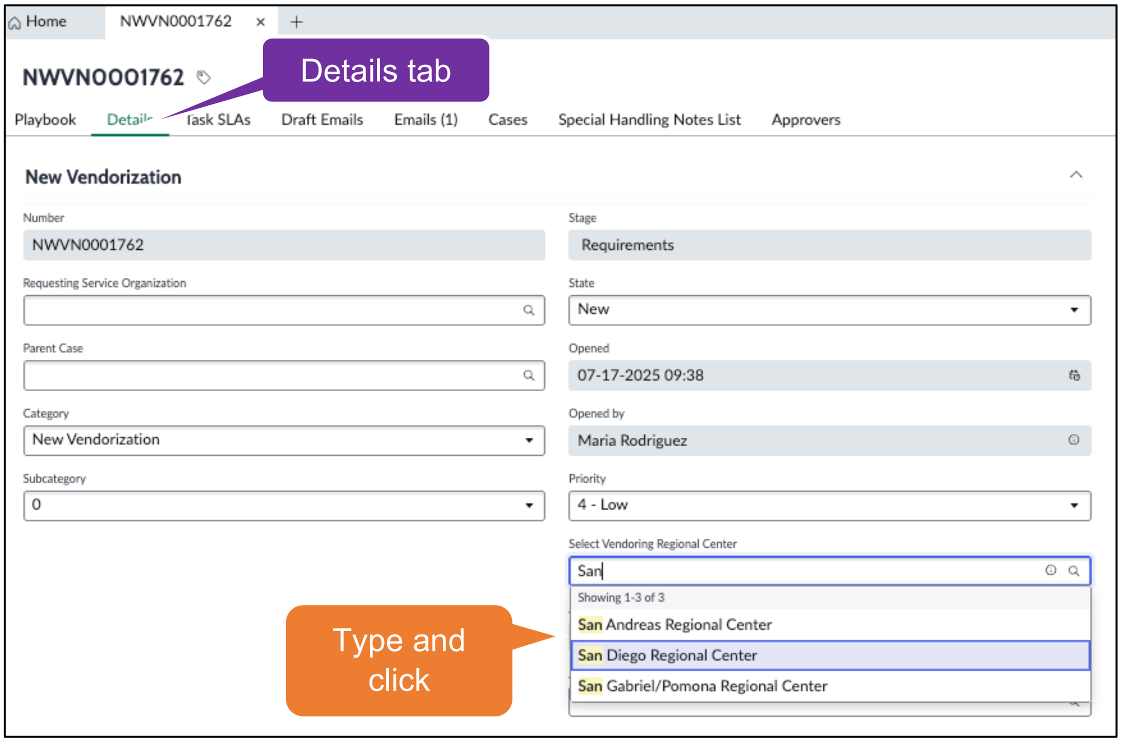


Figure 4.8 Verify Vendoring Regional Center

Assign To Me

If the case is in the correct regional center, from the Playbook home page, click "Assign to me". A blue banner will confirm assignment.

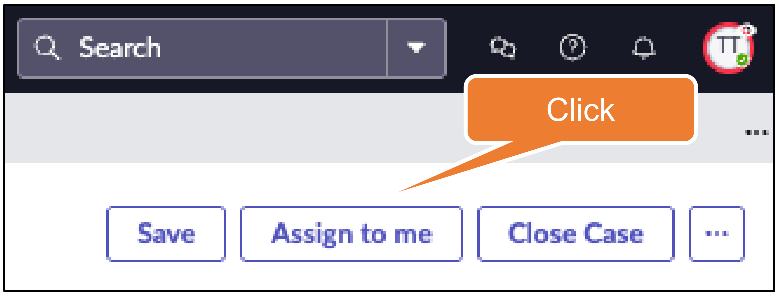


Figure 4.9 Assign to me

! When reviewing an application, be aware that the applicant is instructed to enter, "n/a" when the required (*) field does not apply to their application.

Review Application - Requirements

Once you have assigned the case to yourself, you will be directed to the Review Application activity.

1. Review the information in the Review Application section. For the service to be provided, confirm the submission is complete.
2. If applicable, review attachments. Click attachment to open and view it in the Directory's browser.
3. If the submission is incomplete, request the information required from the applicant. You have several methods:
    a. Post comment - click the Activity stream icon in the right column and type message in Comments dialogue box. (Figure 4.11)
        i. The message will appear in the Activity stream, providing notification and traceability for both parties. The applicant will also receive an email notification.
        ii. Applicants can reply to your request using Comments and Attachments in the Activity Stream.
    b. Send email - click the 3 dots in the top-right corner and select Compose Email from the list (Figure 4.29). **Modify** the approval or denial of vendorization template to meet your needs. (Figure 4.13). The email will be sent to the applicant, added to the activity stream and posted in the email list. Tip: To paste an email address into the field, use a keyboard shortcut (e.g., CTRL+V). Right click paste is not supported in this field.
    c. Phone call - If you make a phone call, consider using comments or work notes to document the action. (See Section 1:8: Comments, Work Notes and Attachments)
4. Type information collected from the applicant directly into the application. If an applicant submits attachments outside the Directory, upload them to attachments.

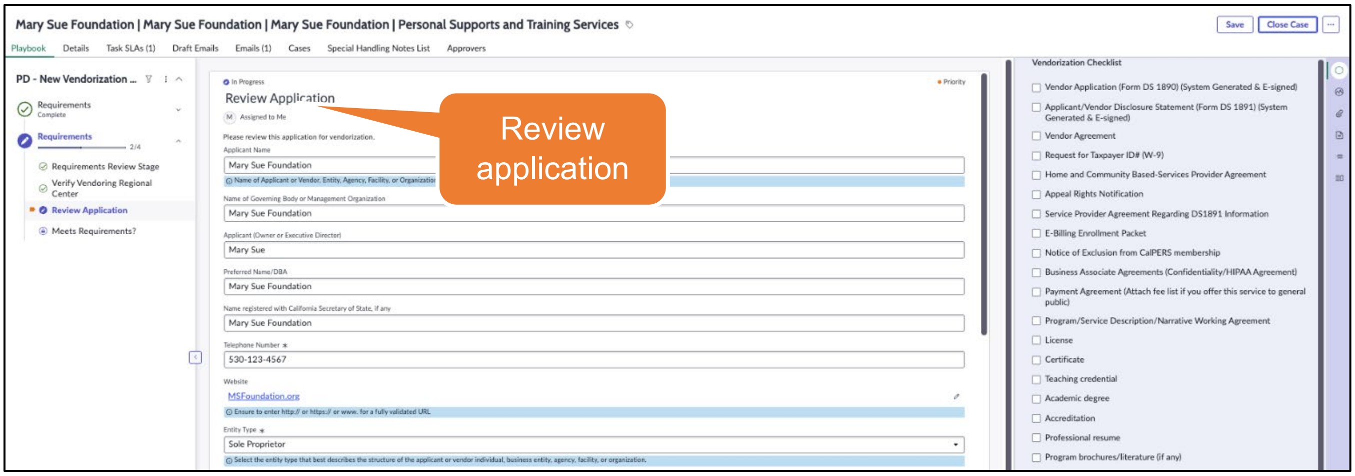


Figure 4.10 Review Application – Top Section

! The information submitted in the Requirements stage will be used to create the DS 1890 and DS 1891 that will be e-signed in the Submission stage. Edits **cannot** be made to the DS 1890 after it is generated. Before marking the review complete, populate any fields that are required for the service to be provided.

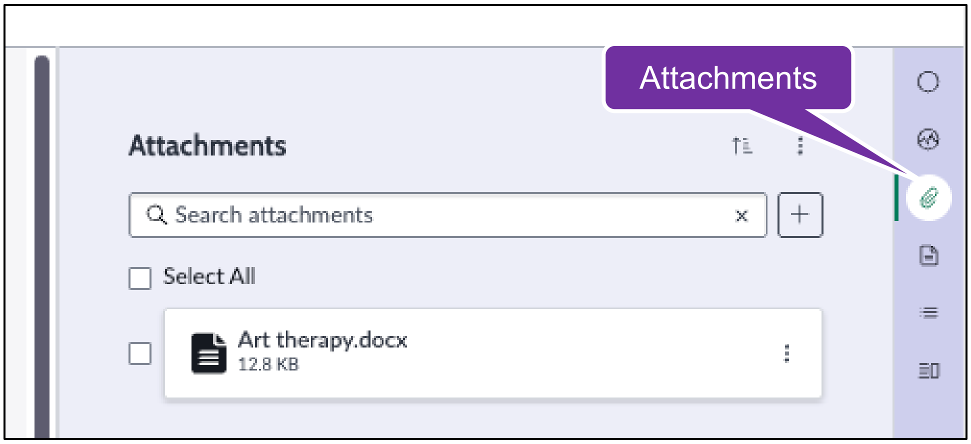


Figure 4.11 Review Attachments

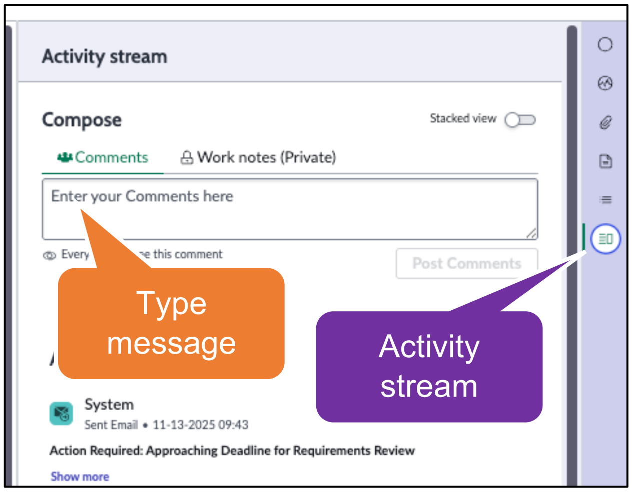


Figure 4.12 Activity Stream

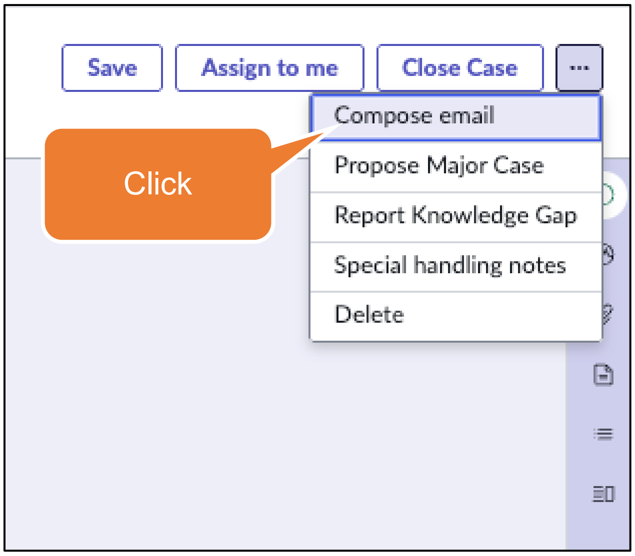


Figure 4.13 Compose email

5. When the submission is complete (i.e., you have **all** required information for the service to be provided), click Mark Complete button.

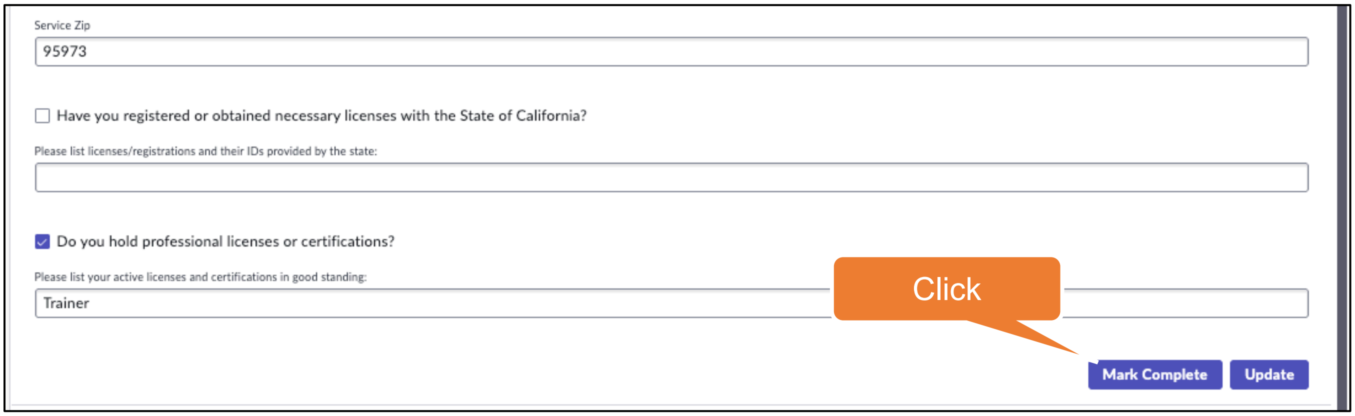


Figure 4.14 Review Application – Bottom Section

Meets/Does Not Meet Requirements

When you have determined whether the applicant meets the minimum requirements to proceed to complete an application, record your decision.

1. Click the meets requirements pull down and select "yes" or "no."
    a. If **yes**, the system will generate an automated email notifying the applicant. The application will proceed to Submission stage.
    b. If **no**, provide an explanation in the box that appears below the selection. The system will close the case and generate an automated email notifying the applicant. Your comments will be included.
2. Click "Mark Complete."

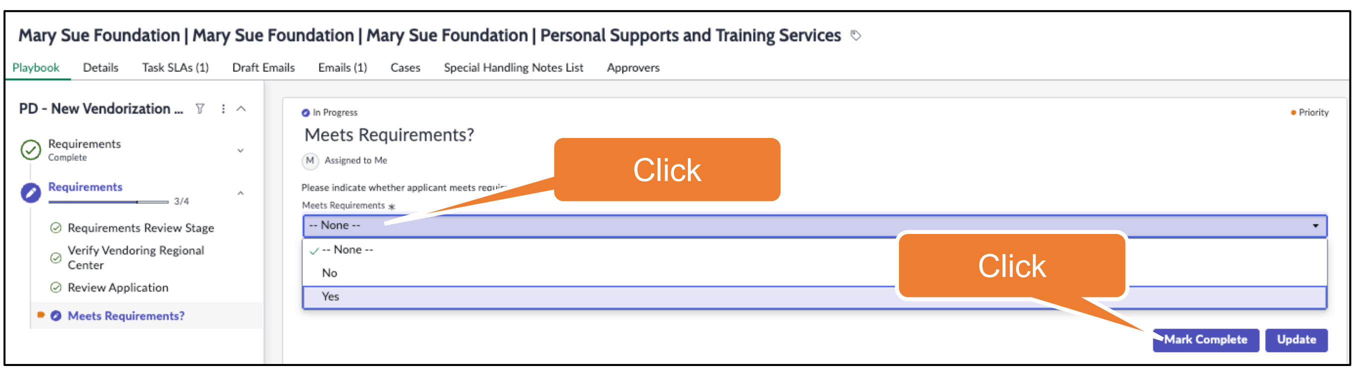


Figure 4.15 Meets Requirements

Prepare Vendorization Checklist

Promptly after marking the application as meets requirements, issue the checklist of documents and forms to be submitted. The pre-populated list can be tailored to fit the applicant's needs, based on the service they are applying for and the requirements of the regional center..

1. Scroll to the bottom of the checklist and click Edit link. (Figure 4.16)
2. You can edit, add and remove items in the list.
    a. Add – Click Add item in the bottom left corner and provide a description.
    b. Remove – Click the trash can to the right of the item.
    c. Edit – Click inside the text box to edit. Click outside the box to save your changes.
    d. Note: The Link function is not active. The applicant will not be able to see anything you add to this field.
3. Once you are finished, click the Save button at the bottom of the page.
4. In the Prepare Vendorization Checklist section, click Mark Complete button.

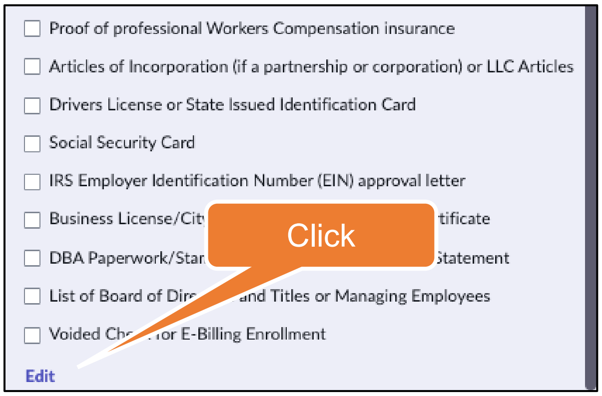


Figure 4.16 Checklist

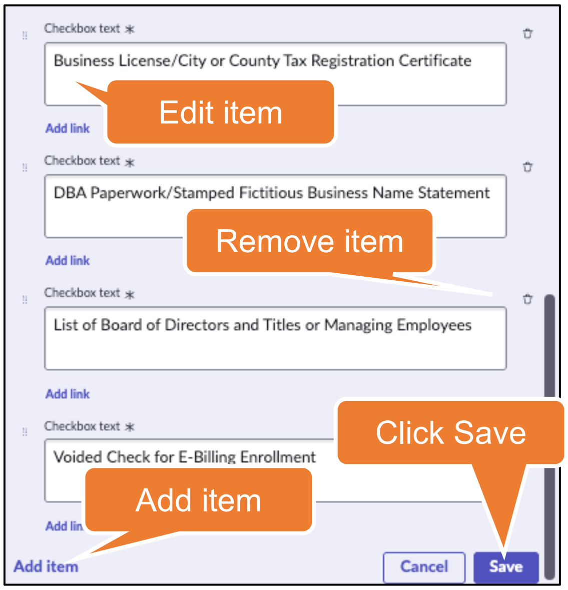


Figure 4.17 Edit Checklist

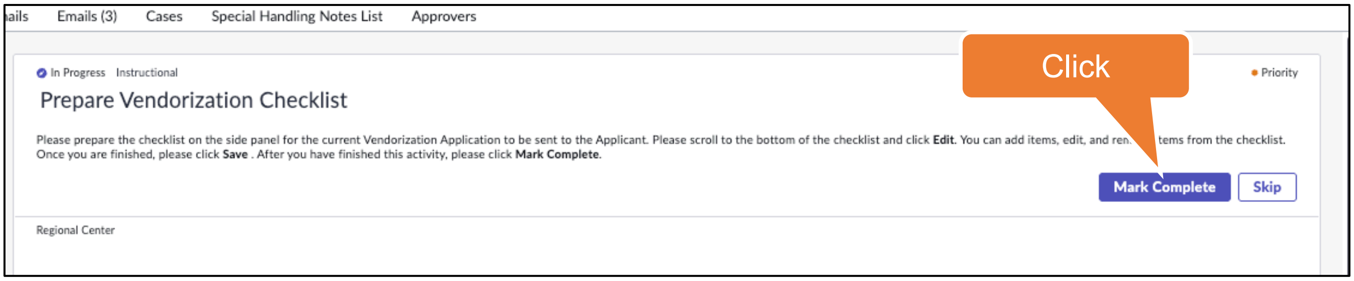


Figure 4.18 Vendorization Checklist

4:3 Submission Stage

When the applicant marks the checklist complete, the application moves into the Submission Stage. The regional center's primary goal in this stage is assessing the application for completeness and accuracy.

Submission Stage: Applicant Activities

The following summarizes the applicant activities that occur before you begin your Submission stage review:

- Additional information – They complete the Additional Information fields, as applicable. You can view their submission by opening the "Additional Information" activity in the Submission stage within the tracker. The information submitted is populated as follows and can also be reviewed as part of those documents review activities.

Field	Populated to
Facility capacity	DS 1890
Consultant, Subcontractor & Community Resource Types to be Used by Vendor	DS 1890
Date of Birth (DOB)	DS 1891
Languages of Services Delivered	(none)

- DS 1890 and DS 1891 – The forms are automatically populated to the applicant's attachments. The applicant downloads the draft version of the DS 1891 and completes Parts 2-4, as applicable. They may make edits to Part 1 but cannot change their entity type. They upload the updated DS 1891 to attachments. They are encouraged to update the file name, removing "draft."
- Signatory - They will post a comment and include the email address of the person that will e-sign the DS 1890 and DS 1891. They may request copies to additional emails.
- Document submission - The applicant begins submitting the items requested in their checklist. Live synchronization enables you to view the applicant's progress. (Figure 4.19)
- When they have completed the list, they attest it is complete.
    - The system will post a notification (bell icon): "SP updated case: [name of applicant]"
    - The stage and activity tracker will proceed to Packet Review
    - The regional center 30-calendar day response time requirement clock starts

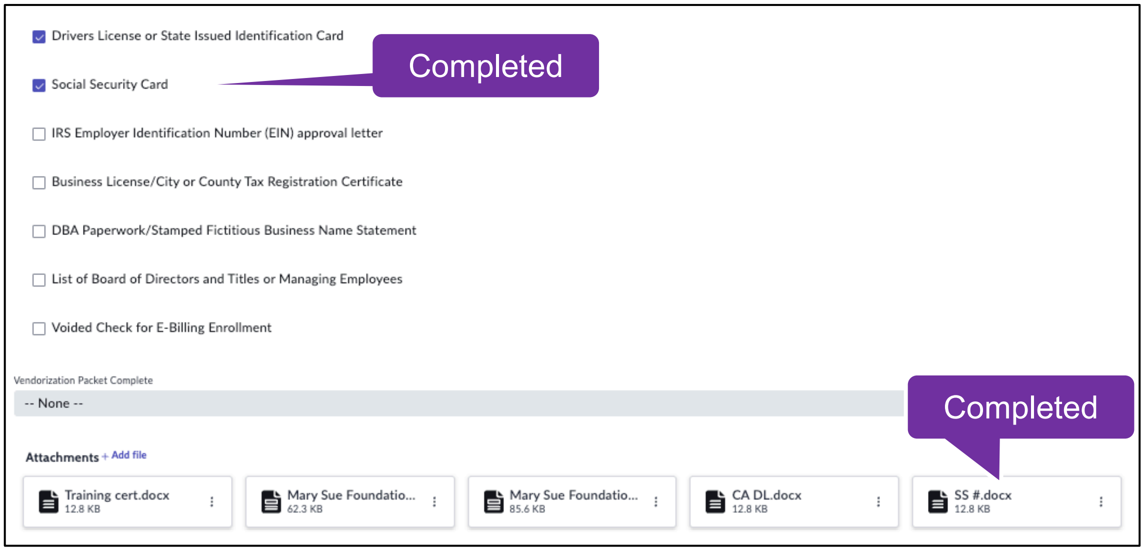


Figure 4.19 Checklist

Issue the DS 1890 and DS 1891 for Signature

When the applicant has uploaded the modified DS 1891 and provided the signatory email, send the forms for e-signature. You can **only** send the forms during the Submission stage. Submission stage is <u>not complete</u> until you receive signed copies.

1. Locate the "Send for Adobe Signature" button on the top right corner of the case and click it. If the button is not visible, click the 3 dots for a list of activities, including Send for Adobe Signature.
2. A popup window will appear – Send for Adobe Signature. (Figure 4.21)
3. Click to select the DS 1890 and the modified DS 1891. They will be added to the "selected subject files" list.
4. Click Next button.
5. In the box <u>above</u> "add signer email," type the email of the signatory and click the "add signer email" button. The email will be populated to the "please select one or more signers" box.
6. [optional] In the box <u>above</u> "add CC email," type the email of the person to be copied and click the "add CC email" button. The email will be populated to the "please add CC entries" box.
7. Accept the default Options. **Do Not** uncheck "Copy to subject [case].
8. Click Submit.
9. The pop up will show a conformation that an agreement has ben created. Click X to close.

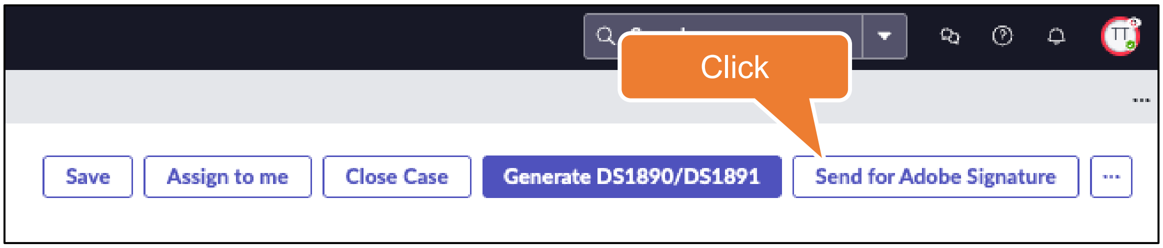


Figure 4.20 Send for Adobe Signature

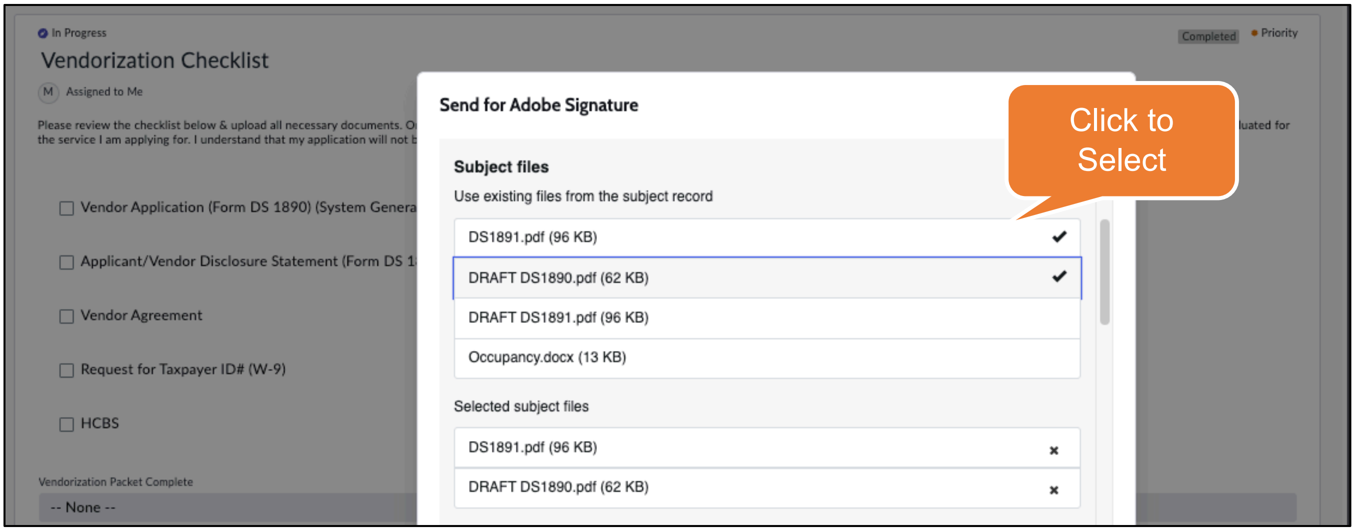


Figure 4.21 Select Files

Figure 4.22 Add emails

Review the applicant's submission

1. Click the notification: SP updated case: [name of applicant]. Alternatively:
   a. Navigate to NWVN Submission widget on the Playbook homepage and click total cases number and click case ID.
   b. If it's assigned to you, navigate to [my] cases table and click case ID.
2. Review the submission.
3. When you can confirm that all required documents have been received, select Packet Complete pull down and select "yes." If you cannot answer yes, skip to missing or incorrect items steps below.
4. Click Update button.

5. Click Mark Complete button.

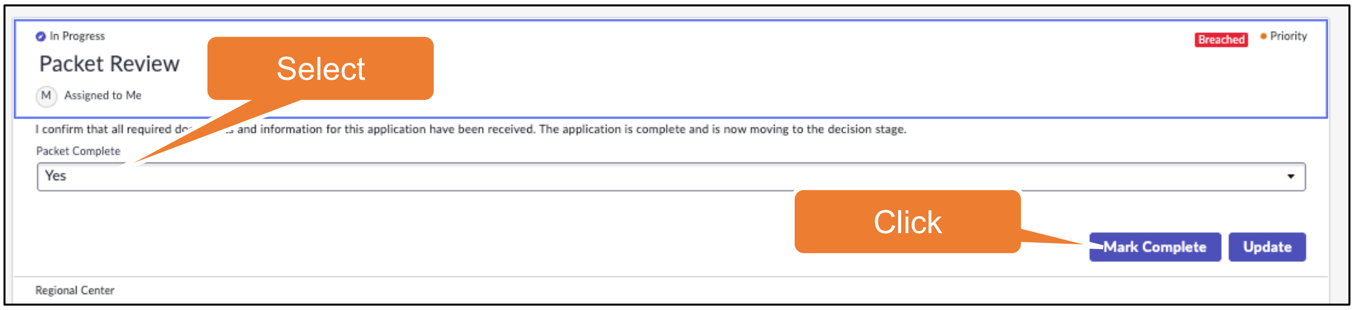


Figure 4.23 Vendorization Checklist

Missing or Incorrect Items

If items are missing or incorrect, request them from the applicant.

1. Select packet complete pull down and select "no"
2. Type a message in the box labeled, "awaiting info reason." (Figure 4.24)
3. Click Update button
    a. The case will be assigned to the applicant. Your message will post to the activity stream. The applicant's response time starts. They have 30-calendar days to reply to your request
    b. The regional center response time clock pauses.
4. When the applicant posts a message or attachment, you will receive a notification (bell icon).
5. When you receive what you requested, navigate to Packet Review activity in tracker. Click packet complete pull down and select "yes." (Figure 4.23)
6. Click Update button.
7. Click Mark Complete button.

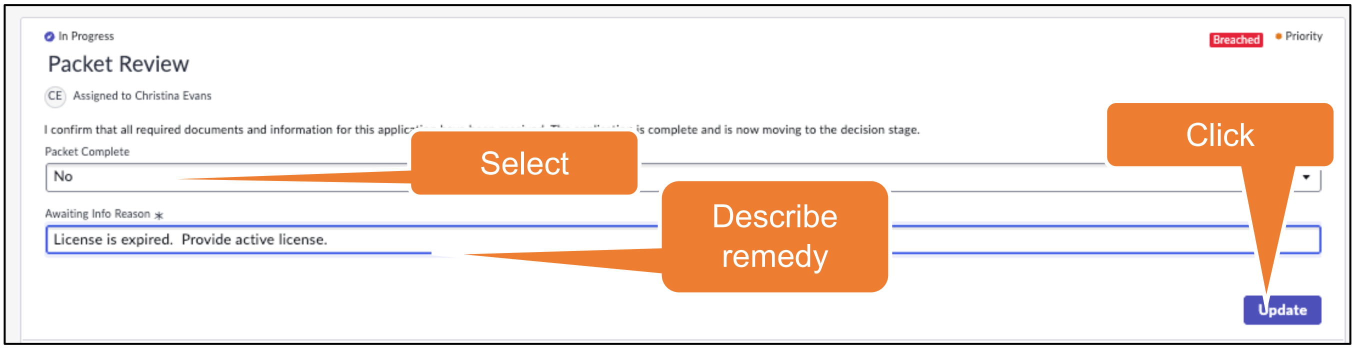


Figure 4.24 Vendorization Checklist

4:4 Decision Stage

During this stage, you evaluate the application and make a vendorization decision. You have 45-calendar days to approve or deny vendorization.

Approve Vendorization

1. Navigate to NWVN – Decision Stage widget on the Playbook homepage and click total cases number. Alternatively, if the case is assigned to you, navigate to [my] cases list.
2. Locate the case and click the Case ID link.
3. In the Vendor Issuance Approval screen, locate your name and click the "Requested" link on that row.

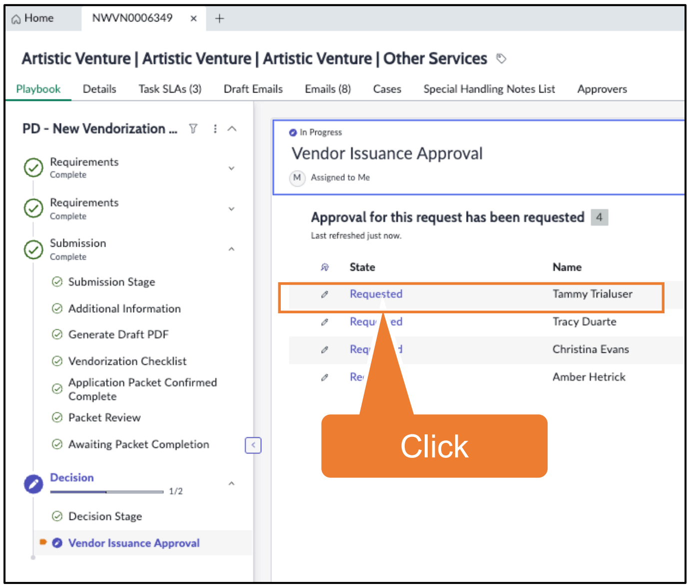


Figure 4.25 Vendor Issuance Approval

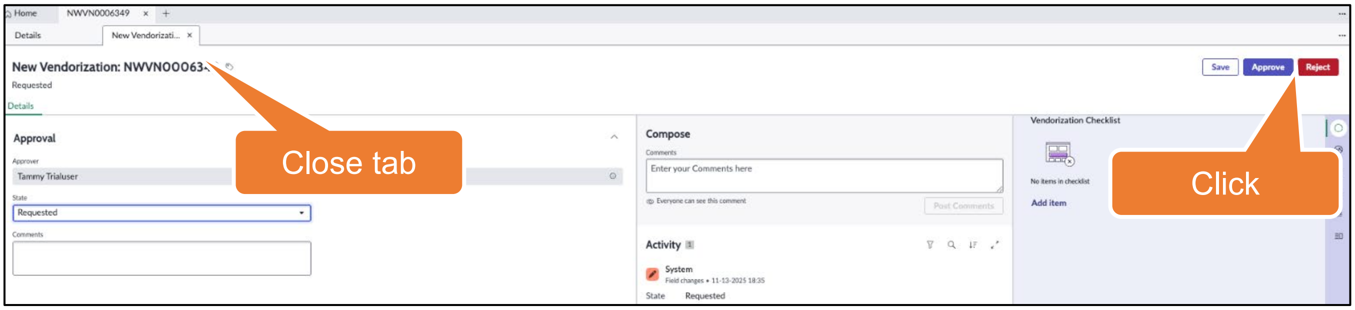


Figure 4.26 Approve or Reject

4. Click Approve button.
5. Close tab.
6. You will land on Playbook. **Note: it will take a minute for the page to refresh and two new activities to appear.**
7. Assign a vendor number to each vendor in accordance with Title 17, Section 54340.

a. For new providers, there will be a blank field. Fill it in.
b. For existing vendors, there will be a pull-down menu with options filtered to the vendorization type that the applicant chose when starting the application. Make selection.
    i. For guidance on assigning a number, see “Vendor ID and Service Code Determination – Existing provider” section below.

8. In the Service Code field, click the magnifying glass. A service code pop-up list will appear. Select service code link from this list. (Figure 4.27). Note: Typing titles or numbers directly in the service code field will produce inconsistent results and is discouraged.
    a. For guidance on selecting a service code for an existing provider, see “Vendor ID and Service Code Determination – Existing provider” section below.
    b. Use filter to search for a service code. When filtering by service code or description, change the filter from “is” to “contains” to see more options.

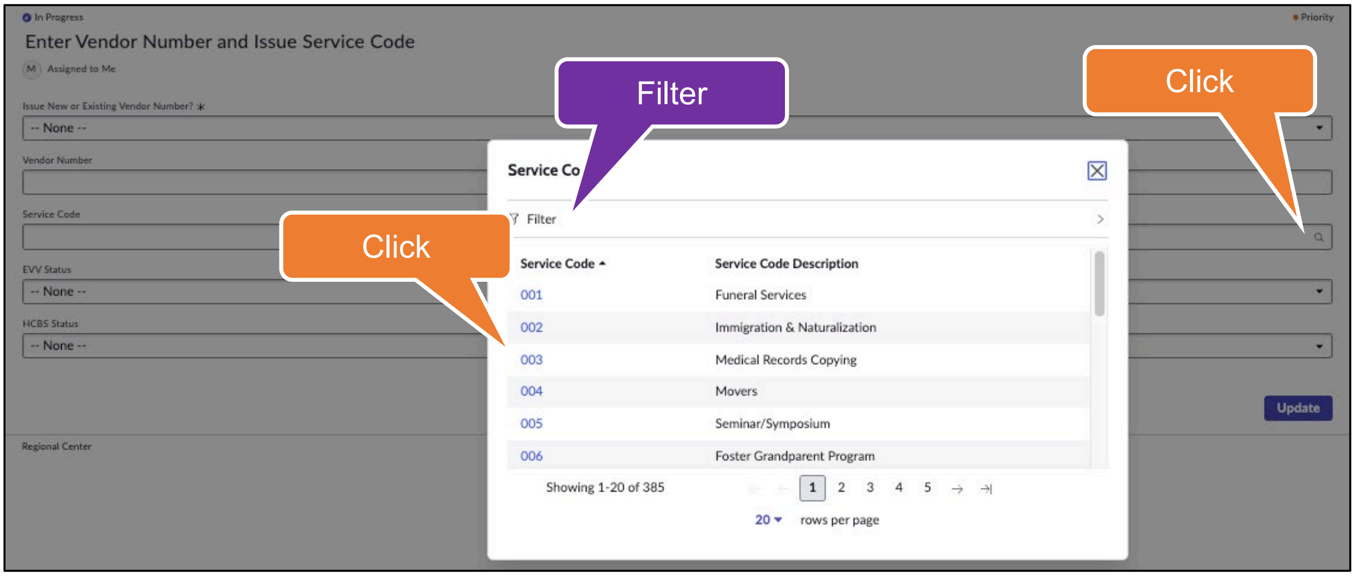


Figure 4.27 Select Service Code

9. Click the pull down and select the applicable EVV status. See 7.1 EVV for guidance to make your selection.
10. Click the pull down and select the applicable HCBS status. See 7.2 HCBS for guidance to make your selection. When applicable, click the HCBS Setting Rule Compliance checkbox
11. Click Update button
12. Click Mark Complete button

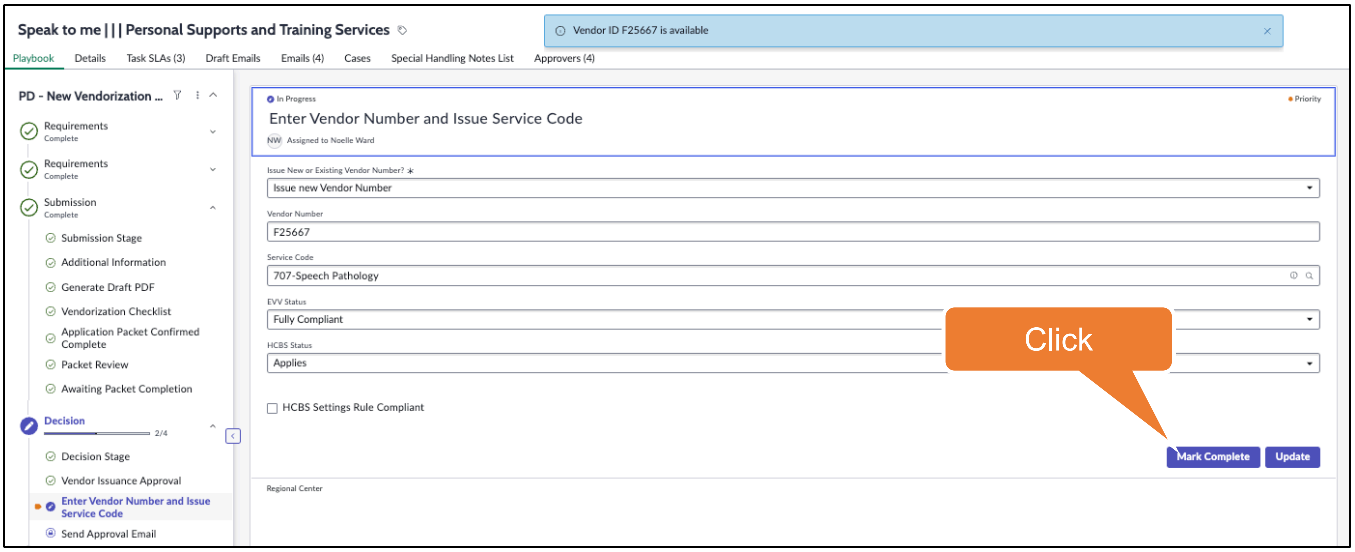


Figure 4.28 Enter Vendor Number and Issue Service Code

Vendor ID and Service Code Determination – Existing provider

Existing service providers chose one of three types of vendorizations at the beginning of their application process and may have pre-filled data from an existing vendorization. Those choices will impact the regional center's choices in the Decision stage.

Type of vendorization	Scenario	Vendor ID	Service Code
New service	Application for new service using the **same** information as the existing vendorization.	New or existing	New
New location, same catchment area	Application with a new service address in the same vendoring regional center catchment.	New	New or existing
New location, different catchment area	Application with a service address in a different regional center catchment.	New	New or existing

Send Approval of Vendorization Email and Close Case

1. You will land on the Send Approval Email activity, click Mark Complete button.
2. Click box with 3 dots to the right of Close Case. (Figure 4.29) From the pull down, click compose email.
3. You will land on either the approval or denial letter email template for your regional center. If needed, use the search box to locate the approval letter email template for your regional center. Tip: Use "*" at the beginning of your search to filter responses.
4. Select [regional center] approval letter email template.
5. Click apply template link.

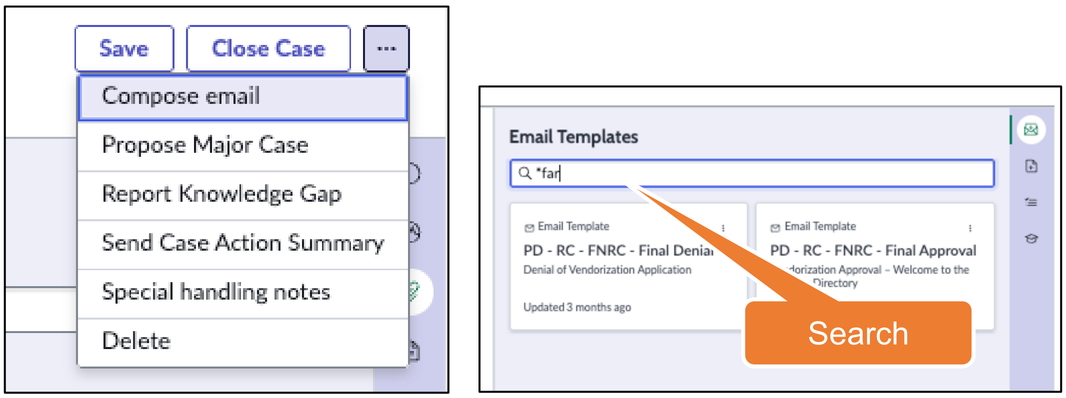


Figure 4.29 Compose email and search templates

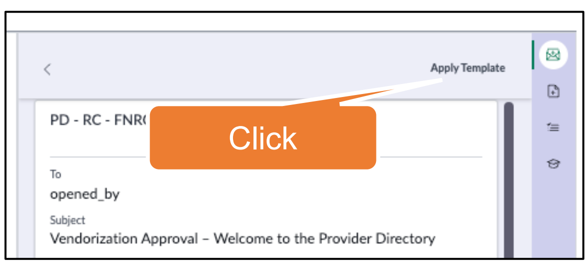


Figure 4.30 Apply template

6. In the approval letter email template, replace placeholder text, highlighted in yellow, and modify to fit your needs.
7. The "To" field is auto populated. [optional] Add CC and BCC emails.
8. [optional] Apply attachments. Click the paperclip to the left of the Send email button and follows steps to upload.
9. Click Send Email button.
10. Navigate to and click Details tab.
11. Click Close Case button.
12. A pop up will appear, asking you to confirm you want to close the case. Click Ok. The record is created in Provider Directory, and the case attachments are moved to the vendor record.

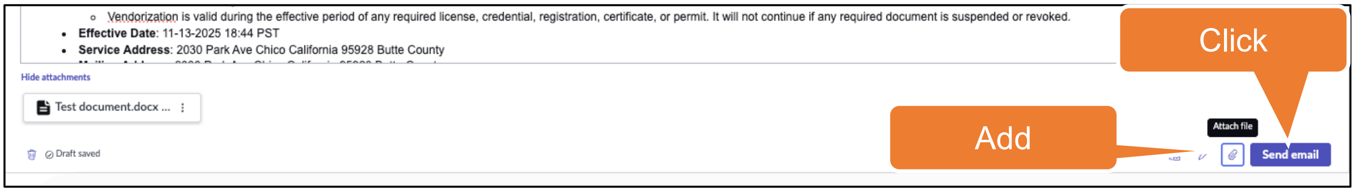


Figure 4.31 Add attachments and send

Deny Vendorization

1. Navigate to NWVN – Decision Stage widget on the Playbook homepage and click total cases number. Alternatively, if the case is assigned to you, navigate to [my] cases table.
2. Locate the case and click the Case ID link.
3. In the Vendor Issuance Approval screen, locate your name and click the "Requested" link on that row. (Figure 4.25)
4. Click Reject button (Figure 4.26).
5. In the Comments field, type a reason for the rejection. You can provide a more detailed explanation in the denial letter email.
6. Click Reject button.
7. Click Close Case button.
8. A pop up will appear, asking you to confirm you want to close the case. Click Ok.

Send Denial of Vendorization Email

1. Click on Details Tab
2. Click box with 3 dots to the right of Close Case. From the pull down, click compose email. (Figure 4.29)
3. You will land on either the approval or denial letter email template for your regional center. If needed, search for the denial template and click apply template. (Figure 4.30)
4. In the denial letter email template, replace placeholder text, highlighted in yellow, and make any needed edits.
5. The "To" field is auto populated. [optional] Add CC and BCC emails.
6. [optional] Apply attachments. Click the paperclip to the left of the Send email button and follows steps to upload. (Figure 4.31)
7. Click Send Email button.
8. Navigate to and click Details tab.

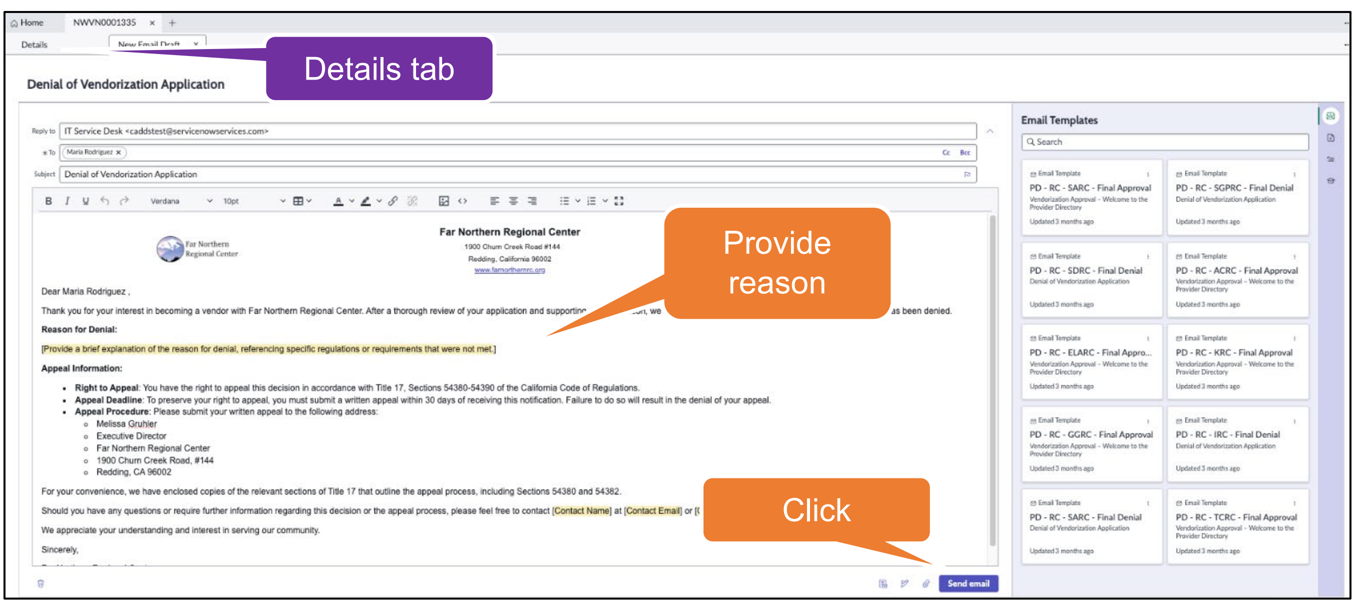


Figure 4.32 Denial letter email template

4:4 Close Vendorization Case

You may close the case at any time. A denial letter must accompany the case closure.

1. Navigate to the case. If the case is assigned to you, navigate to [my] cases table.
2. Click the case ID link.
3. Click the Close Case button in the top right corner. (Figure 4.33)
4. A pop up will appear, asking you to confirm that you want to close the case. Click Ok.
5. Send denial email. See steps in Send Denial of Vendorization email section.

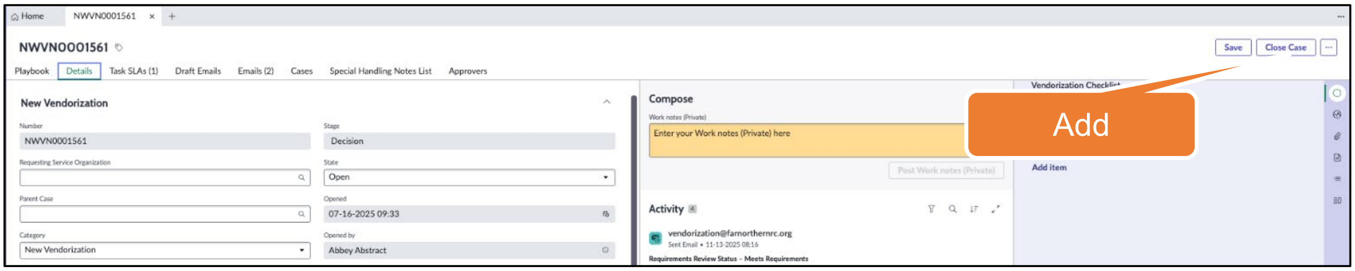


Figure 4.33 Close Case

Module 5 – Tips: Search, Sort and Export

This module will provide some tips for searching, sorting and exporting data in the Provider Directory. The Provider Directory has many capabilities and they vary by page.

5:1 Search

Search is a powerful tool. This tool is accessible in every view.

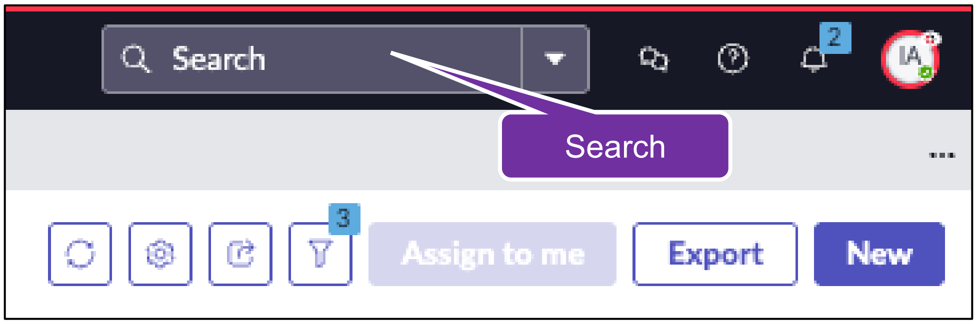


Figure 5.1 Search

In a list, each column has a search tool. Hover over the column name. On the right side of the grey-blue box is 3 dots, click to open search options for that column. (Figure 5.2). Tip: Click the filter pull-down to select a filter option to meet your needs (e.g., “is not empty,” “contains”).

Figure 5.2 Search tools

5:2 Sort

Each column on a table can be sorted.

1. Click the column label for contents to be sorted ascending or descending. Sort order is indicated by the carrot (^) next to the column label. “^” signals ascending sorting.
2. Click the column label again to reverse sort order.

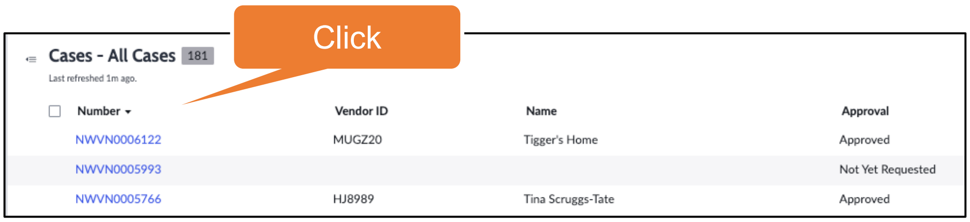


Figure 5.3 Sort column

5:3 Export Data

Data contained in a list can be exported.

1. Chose a list. Click the Export button in the top-right corner.
2. Select a file type option – Excel, CSV, JSON or PDF – and delivery type - download or email. If email, complete the email address field.
3. Click Export.

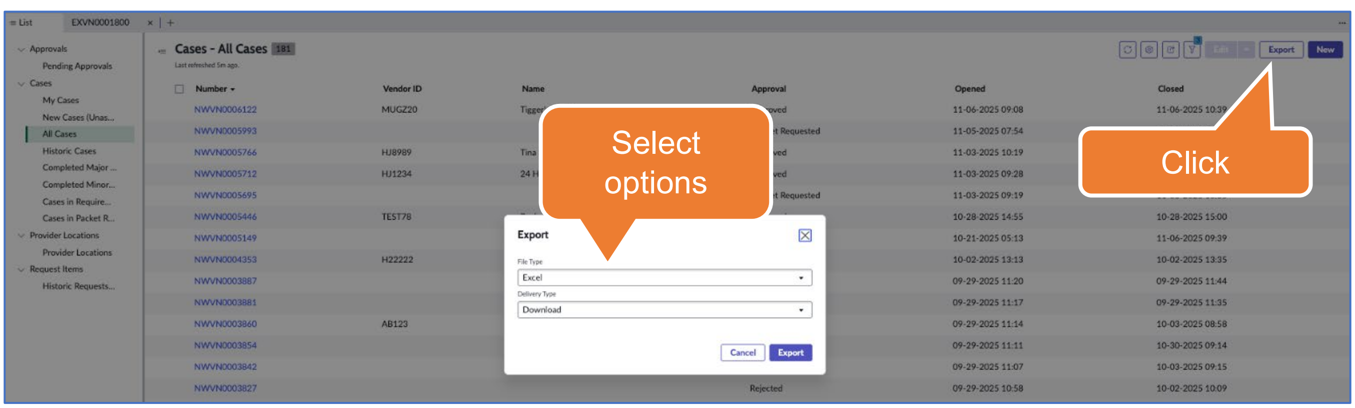


Figure 5.4: Export data

Module 6 – User Vendorization

This module walks you through the process of gathering a provider's documents to fulfill a need for user vendorization.

> **!** Because records have been added over time—either manually or through approved vendorization applications—their content may vary depending on the requirements in place at the time of entry. As a result, some records may lack vendorization documents and fields that are now considered required.

6:1 User Vendorization Request

1. From the Workspace home page, click Lists (hamburger icon) in the left column.
2. Click Provider Locations in the list. You will be directed to a list of service providers with a vendor record in Provider Directory, including providers from all 21 regional centers.

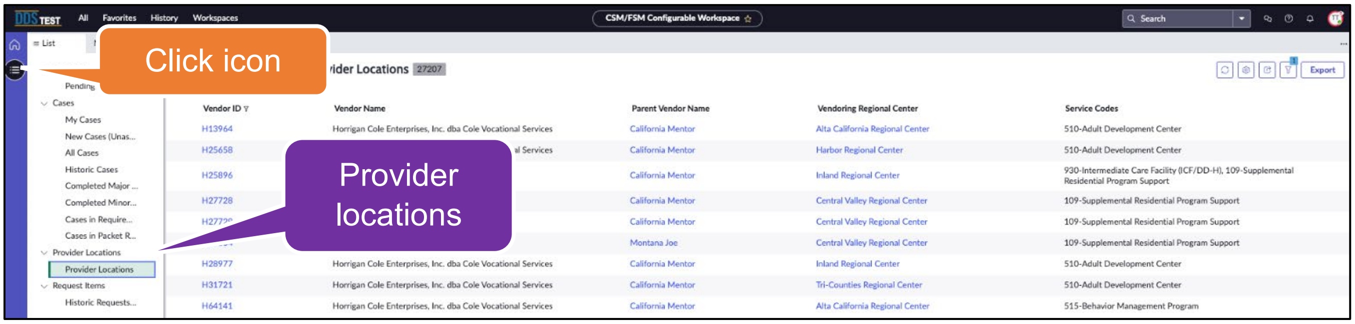


Figure 6.1: Provider Locations

3. Identify the vendor that you'd like to use.
    a. Search service code (Figure 6.2)
        i. Navigate to Service Code Description column.
        ii. Hover over the column to reveal a box with 3 vertical dots. Click the dots.
        iii. Type the service code number in the blank field.
        iv. Click Apply button.
    b. Search vendoring regional center (Figure 6.2)
        i. Navigate to Vendoring Regional Center column.
        ii. Hover over the column to reveal a box with 3 vertical dots. Click the dots.
        iii. Type the start or full name of the vendoring regional center.
            1. To search by partial name of the vendoring regional center, select "contains" from the filter drop down options and type a portion of the vendoring regional center's name.
        iv. Click Apply button.

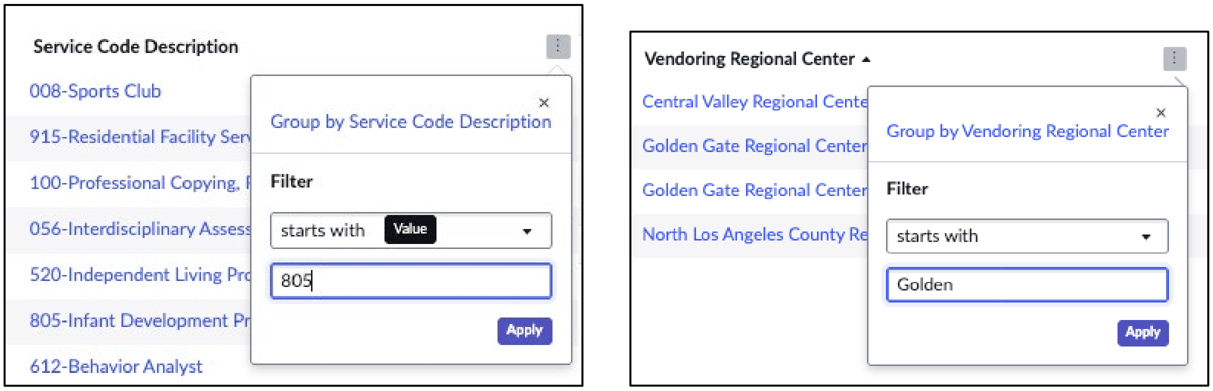


Figure 6.2: Filter Service Code and Regional Center

4. In the row of the provider that you would like to use, click the Provider name link. (Figure 6.3)
5. Review the vendor record.

Figure 6.3: Filter Service Code and Regional Center

6. In the top-right corner, click Request User Vendorization button. (Figure 6.4)
7. Select the applicable service code from the pull-down list. (Figure 6.5)
8. Add comments and/or attachments to explain your reason for filing the request.
9. Click Submit

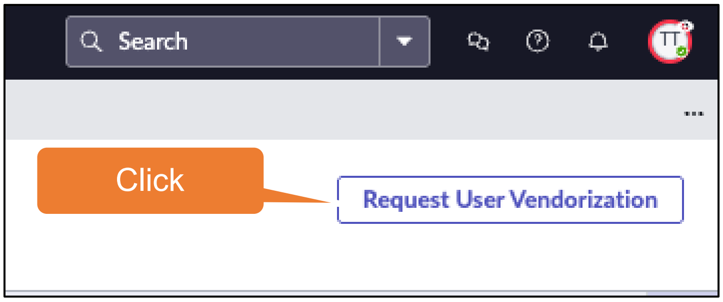


Figure 6.4: Request User Vendorization

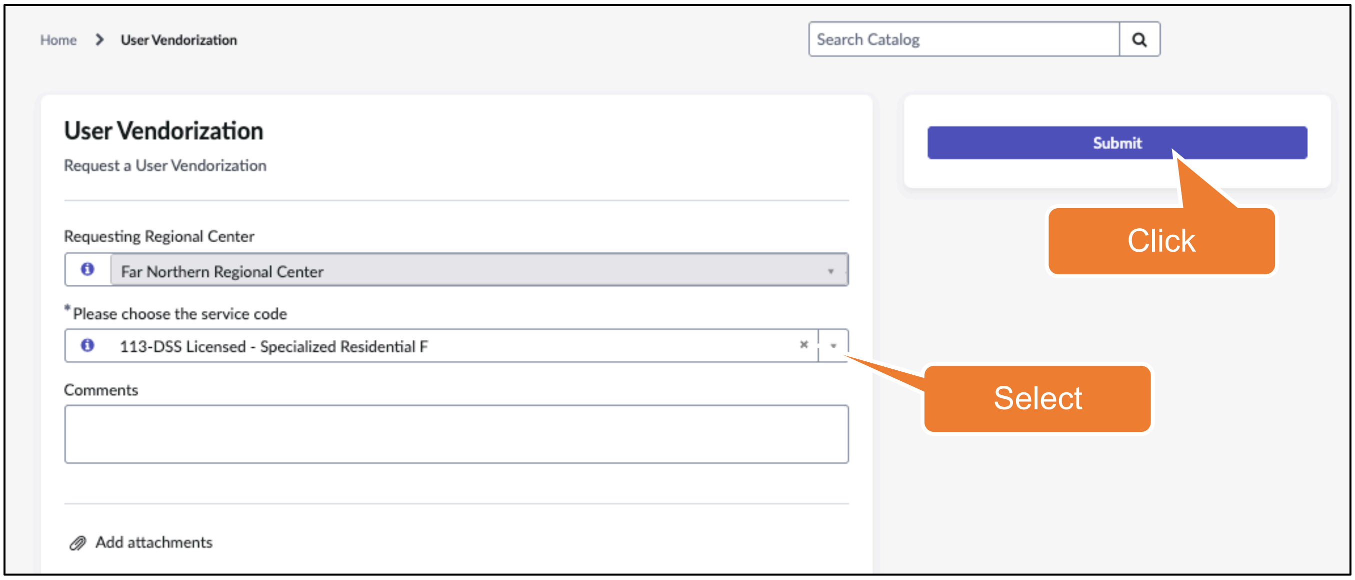


Figure 6.5: Request User Vendorization: Service Code

6:2 Vendoring Regional Center Response

The user vendorization case will appear in Unassigned Cases: EXVN and two notifications (reassigned case and approval required) will appear in notifications.

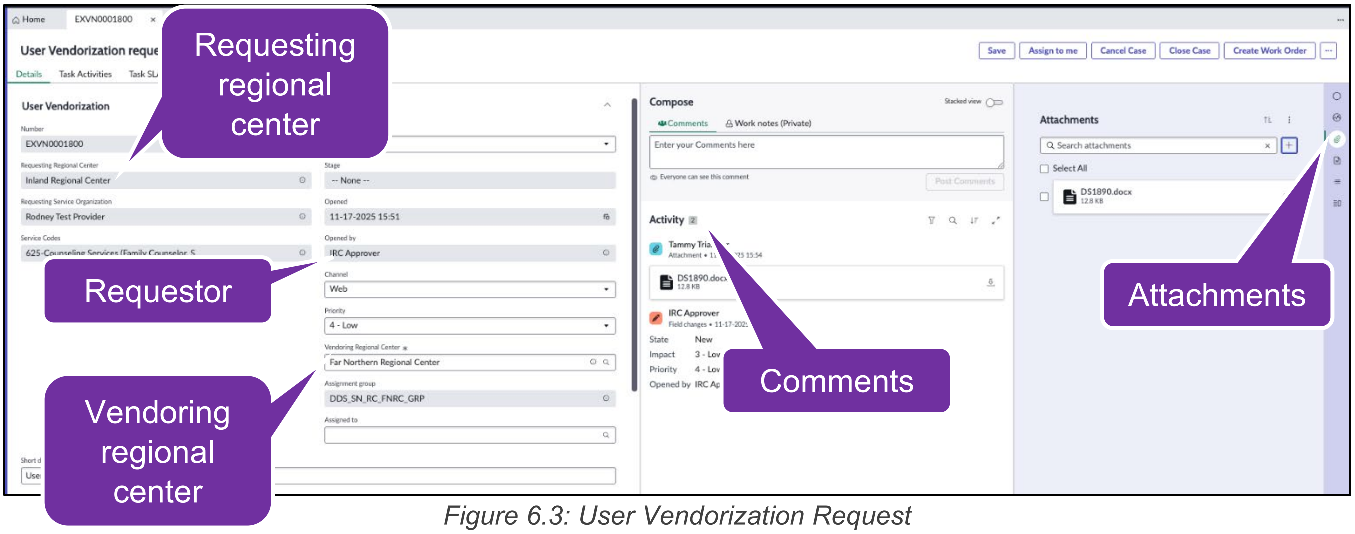


Figure 6.3: User Vendorization Request

1. Click the case in notifications or from Unassigned cases table to be directed to the User Vendorization Request by: [regional center] activity.
2. Review attachments to determine whether it is a complete vendorization record.
3. If needed, upload vendorization documents that the user regional center will need to use the vendor.

a. To upload, click the attachments icon in the side panel on the right. (Figure 1.1) Click the plus (+) sign and follow steps to upload. Note: When the folder is empty, you can drag and drop files or click file button. After the first file is loaded, you must use the plus (+) button.
b. [optional] Rename the file. Do not edit the file extension (e.g., .doc) portion of the file name when renaming.

4. Add comments to inform the user vendoring regional center.
5. [Optional] Add work notes. Work notes are semi-private. They cannot be seen by the applicant / vendor but are accessible by **all** regional center users.
6. Navigate to Vendoring Regional Center field. Clear the field and type the name of the Requesting Regional Center. The system will auto populate the name as you type.
7. In the Assigned To field, clear it and enter the name from the Opened By field. The system will auto populate the name as you type.
8. Click Save button.

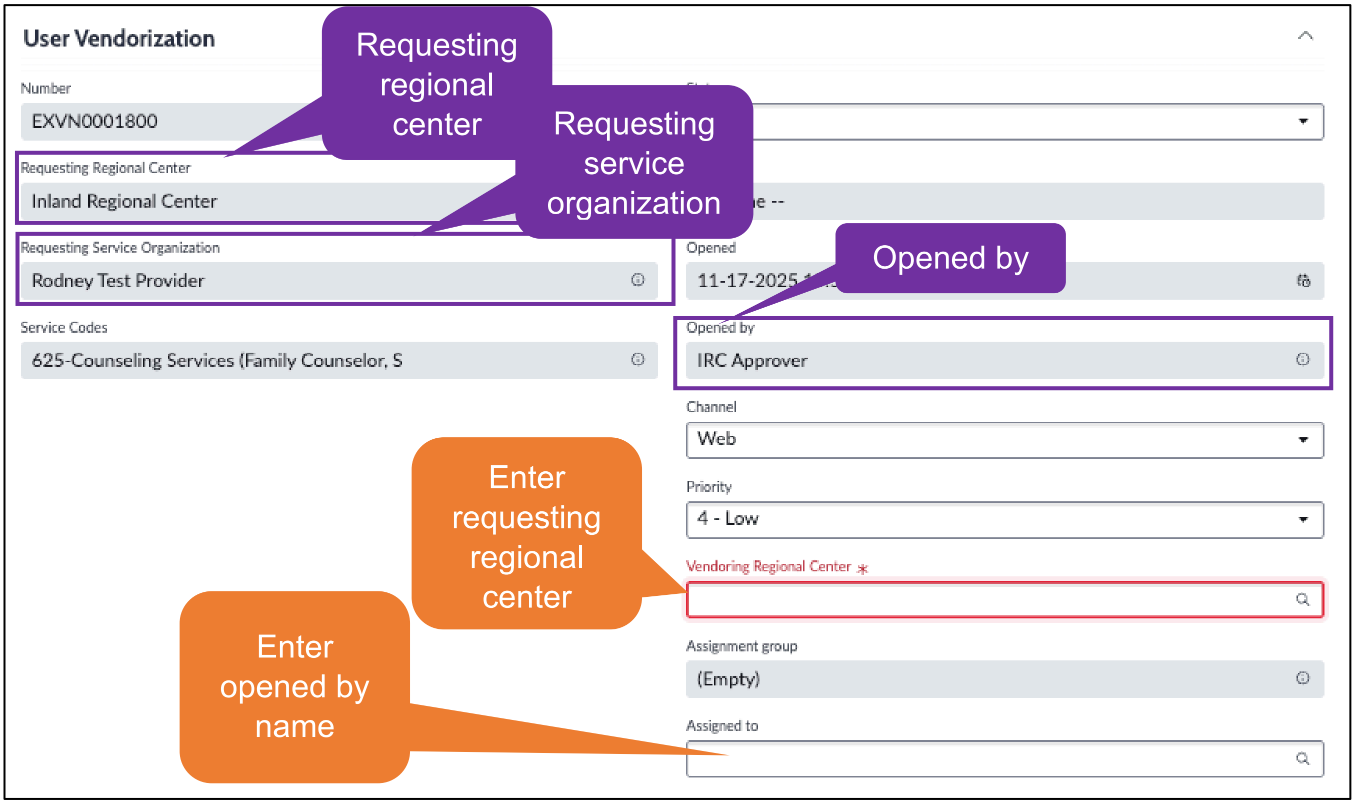


Figure 6.4: Reassign: Vendoring Regional Center

6:3 Close User Vendorization Case

The case will be assigned to you, the individual that opened it. The case will appear in My Cases table.

1. Open the case and review the comments, work notes and attachments.
2. If needed, email the vendor to request any documents that you need.
    a. Click the “I” in the Requesting Service Organization field to be directed to the vendor record. (Figure 6.3) Locate and copy the vendor’s Service Location Email Address.
    b. Select the Details page, navigate to the 3 dots in the top-right corner, click and select compose email. Paste the email into the To field. Type your message, attach any documents needed, and instruct the applicant to reply to the email. Click send email.
    c. Documents that are attached to the email will be automatically uploaded to the case and can be viewed in attachments.
3. When you have what you need, click Close Case button. A pop-up will appear. Click Ok. The case is closed. Any attachments uploaded during the process will be uploaded to the vendor’s record. The user vendorization regional center will be recorded on the vendor’s record and can be viewed in the Service Code Relationship tab. (Figure 6.5)

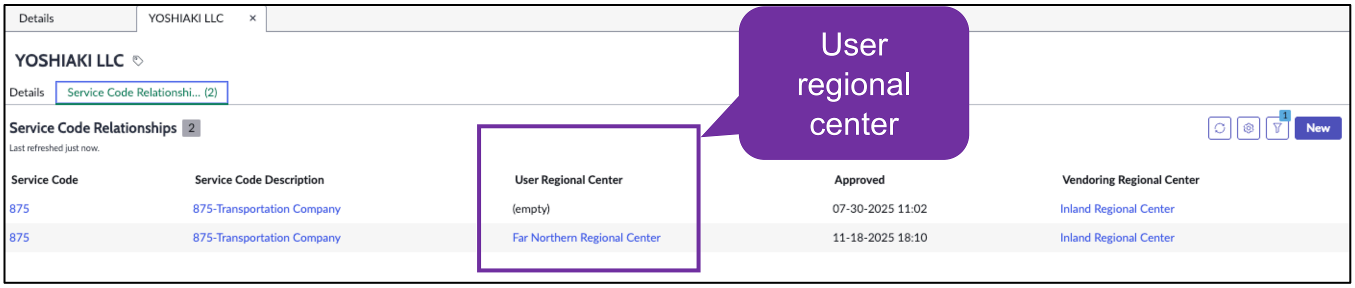


Figure 6.5: Service Code Relationship: User Vendorization

6:4 Cancel User Vendorization Case

If the vendor is not a fit after review, cancel the case. Unlike the “close” case action (see Section 6:3), cancelling a case does not create a user vendorization relationship in the vendor’s record.

1. Open the case.
2. Click Cancel case button in the top-right corner.
3. A pop-up will appear, asking you to confirm you want to cancel the case, click ok.

Module 7 – Reporting Requirements

This module will walk you through how to complete the reporting requirements to update a vendor's record.

When applicable, report and maintain these reporting requirements in a vendor's record:

1. Click Lists in the left column (Figure 7.1) and select Provider Locations.
2. Search for vendor record and click the vendor ID.
3. On the Vendor ID, click the Service Code Relationships tab. (Figure 7.1)
4. If there is more than one service code, click the appropriate service code link. (Figure 7.2).
5. You will land on a page with all Reporting Requirements. (Figure 7.3). Report Requirements as prescribed below.

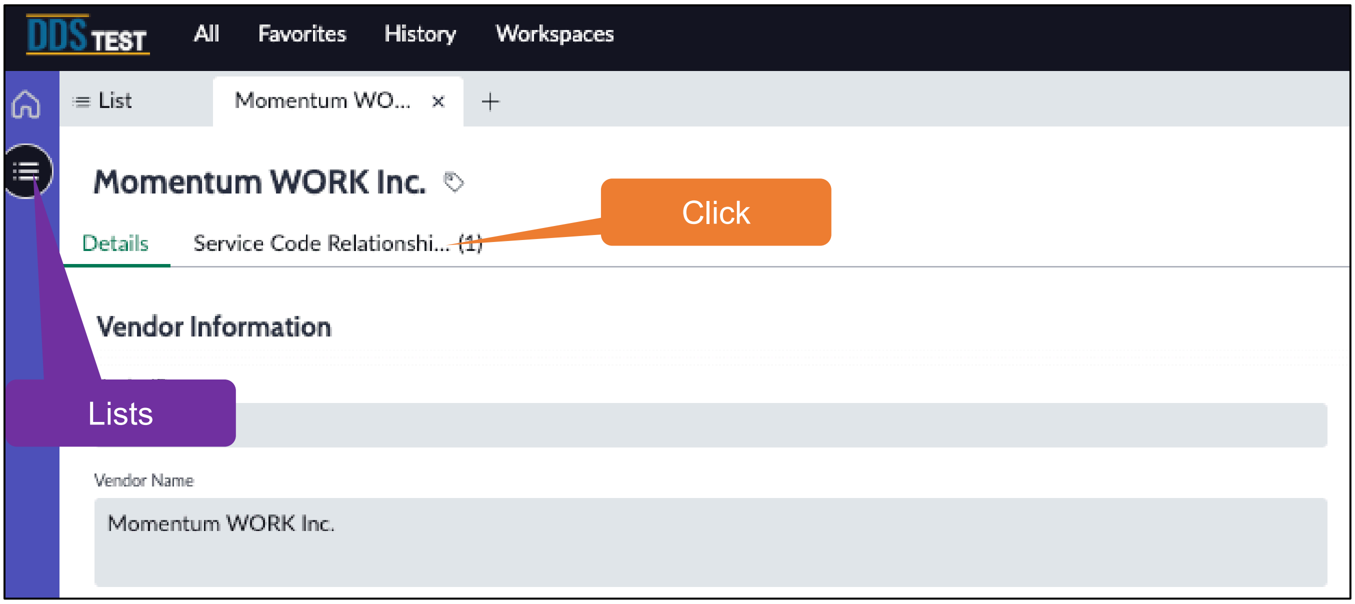


Figure 7.1: Service Code Relationship tab

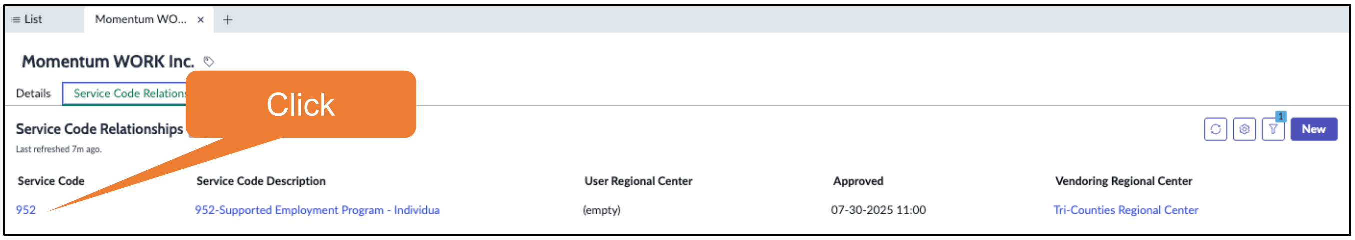


Figure 7.2: Service Code Relationship table

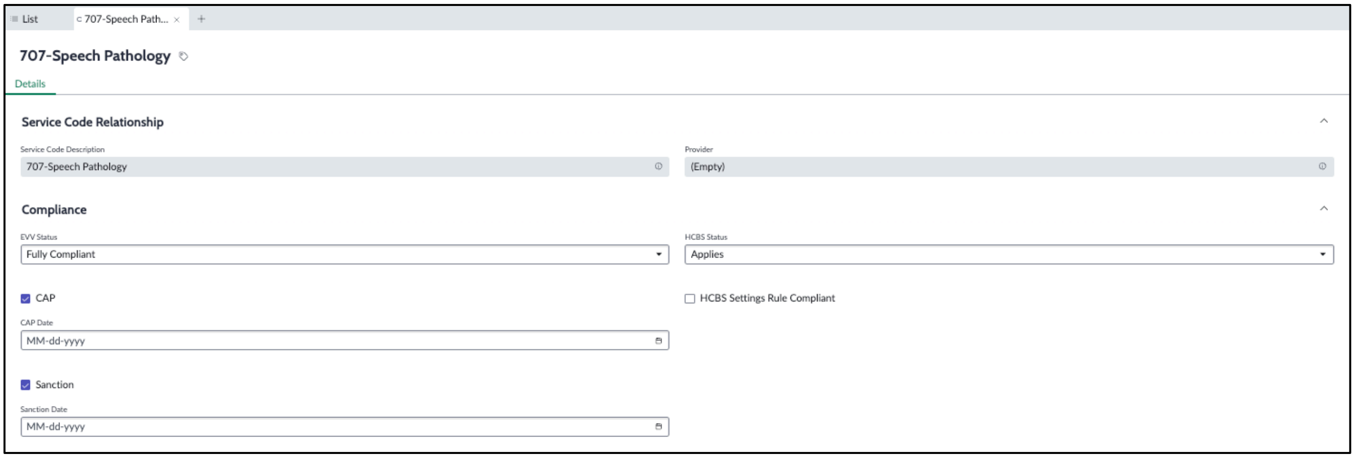


Figure 7.3: Service Code Relationship page

7.1 Electronic Visit Verification (EVV)

1. Click hyperlink for EVV guidance to make your selection. The hyperlink will direct you to a quick guide in the RC portal.
2. Navigate to the Service Code Relationship page. See steps above.
3. In the Compliance section of the page, pull down EVV Status options and select the applicable status.

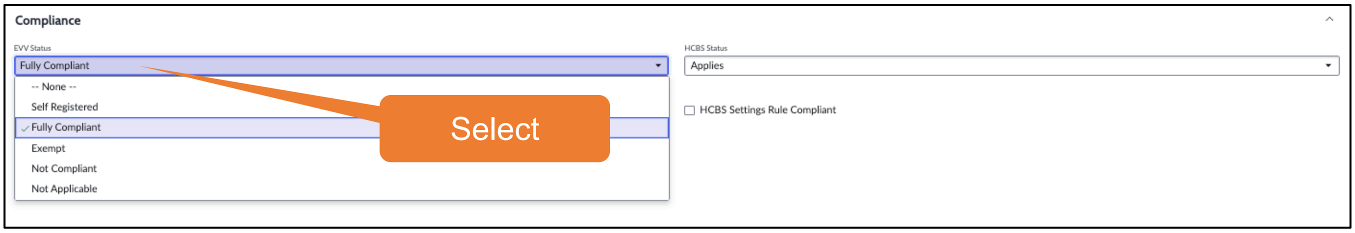


Figure 7.4: EVV options

7.2 Home and Community-Based Services (HCBS)

1. Click hyperlink for HCBS guidance to make your selection. The hyperlink will direct you to a quick guide in the RC portal.
2. Navigate to the Service Code Relationship page. See steps above.
3. In the Compliance section of the page, pull down the HCBS options and select the applicable status.
4. When applicable, click HCBS setting rule compliant checkbox.

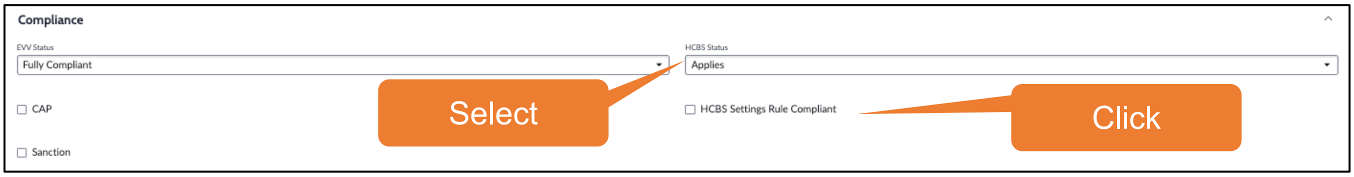


Figure 7.5: HCBS options

7.3 Corrective Action Plan (CAP)

1. Click hyperlink for CAP guidance to make your selection. The hyperlink will direct you to a quick guide in the RC portal.
2. Navigate to the Service Code Relationship page. See steps above.
3. In the Compliance section of the page, click the CAP checkbox.
4. A date field will appear. Record the date of the most recent CAP.
5. Update record, as needed.

7.4 Sanction

1. Click hyperlink for Sanction guidance to make your selection. The hyperlink will direct you to a quick guide in the RC portal.
2. Navigate to the Service Code Relationship page. See steps above.
3. In the Compliance section of the page, click the Sanction checkbox.
4. A date field will appear. Record the date of the most recent sanction.
5. Update record, as needed.

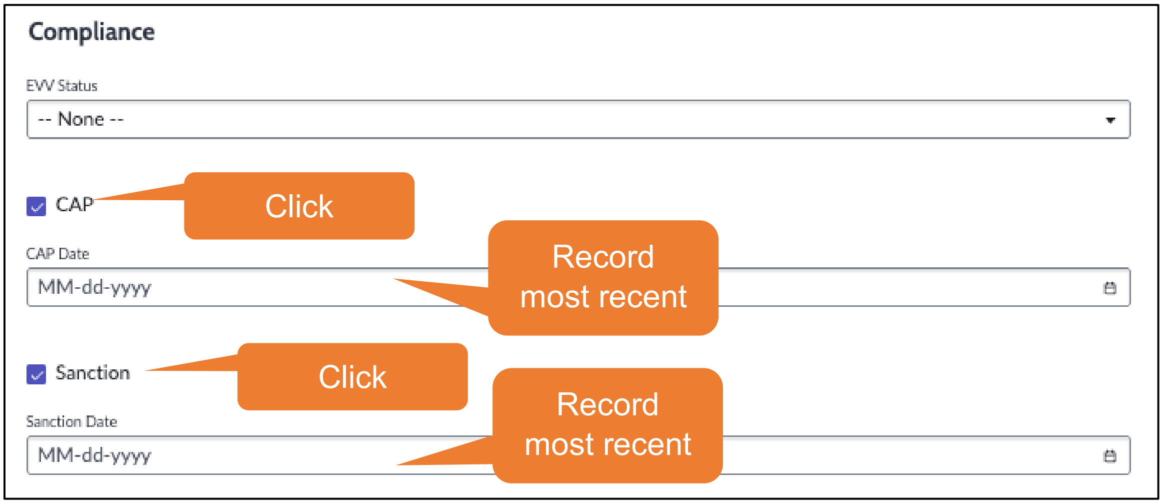


Figure 7.6: Service Code Relationship: CAP and Sanction

QUESTIONS?

Email: ProviderDirectory@dds.ca.gov