

Participant-Employer Handbook

Financial Management Services (FMS)

Overview and navigation

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Using this document

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Thank you for choosing Mains'l as your Financial Management Services ("FMS") vendor. We look forward to working with you.

The purpose of the Participant as Employer Handbook is to:

- Provide information to assist Participants and Employers in directing their Employees and/or managing their service providers.
- Provide Participants and Employers with information for using and managing Financial Management Services.
- State the policies and procedures that govern the Fiscal Employer Agent (FE/A) relationship with Mains'l.

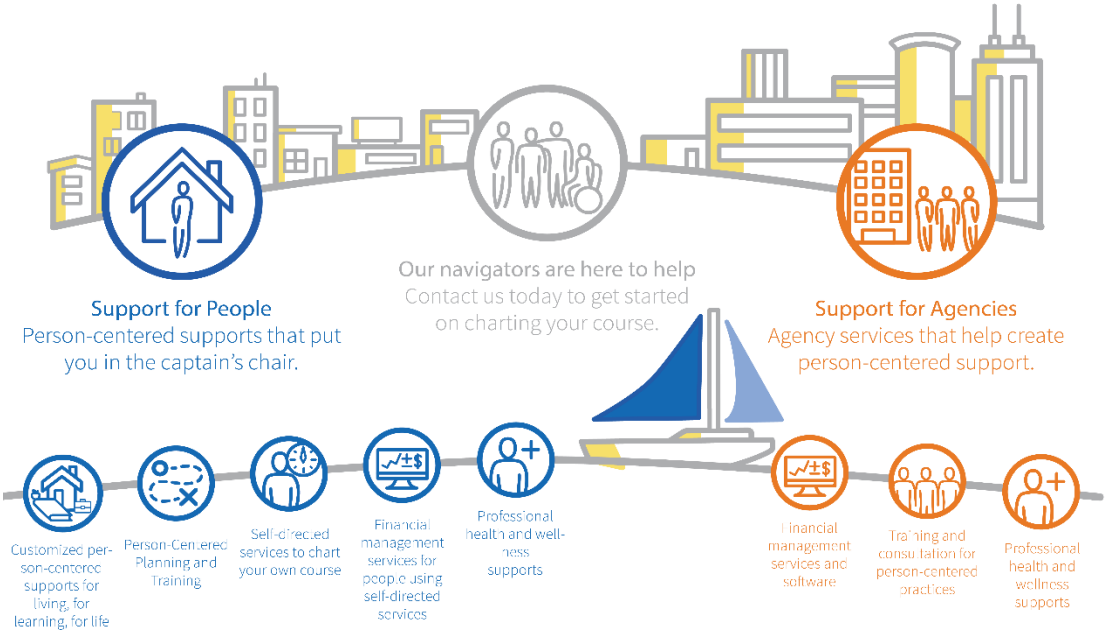
It is the responsibility of the Participants and Employers to review the entire handbook and to ask questions and seek clarification with the appropriate Mains'l representative on any questions they have.

WHO WE ARE

Mains'l supports people to reach their hopes and dreams and live with meaning and purpose. We believe that people flourish when their lives are filled with meaningful relationships and activities of their own choosing.

Mains'l started by offering Home and Community Based Services (HCBS) to children and adults with developmental and physical disabilities in Minnesota in 1989. We're proud of the diverse populations we support today, including people who are elderly, veterans, people with acquired brain injuries, and those who need behavioral and mental health services.

We also partner with like-minded agencies throughout the nation, offering innovative Financial Management Services to people participating in Participant or self-directed services. We currently offer FMS to government and public agencies in California, Florida, Kentucky, Minnesota, and New York.



Internal Communication and Contact Information

To ensure timely and accurate responses, please direct your questions to the appropriate Mains'l FMS team using the contact information below. This helps us connect you with the right department to support your needs efficiently.

Vendor and Invoice Questions

Contact the Operations Team at CAFMSpayments@mainsl.com

Employee and Vendor Onboarding

Contact the Onboarding and Credentialing Specialists at CAFMSOnboard@mainsl.com

New Participant Services

Contact CA FMS Intake at CAFMS@mainsl.com

Current Participants or Managing Parties

Contact your assigned Support Specialist directly.

If you are unsure who your Support Specialist is, email CAFMS@mainsl.com for direction.

Toll Free Phone Number

866-767-4296

Employer Resources

To assist you, as the Employer, we've compiled a list of helpful resources commonly used by household employers in California's Self-Determination Program. This is not an exhaustive list; additional resources and guidance may be available through state agencies, local jurisdictions, or legal advisors. We encourage you to review this material and seek further information or consultation as needed to ensure compliance with your employer responsibilities.

Category	Reference Link
Payroll Deductions	https://taxes.ca.gov/income-tax/understanding-your-paycheck/
Federal Labor Laws	https://www.dol.gov/general/aboutdol/majorlaws
Federal Workplace Posters	https://www.dol.gov/general/topics/posters
California Labor Laws	https://www.dir.ca.gov/for_employers.html
California Workplace Posters	https://www.dir.ca.gov/wpnodb.html
Meal and Rest Periods	https://www.dir.ca.gov/dlse/FAQ_RestPeriods.htm https://www.calaborlaw.com/california-meal-break-law-for-employees/ https://www.dir.ca.gov/dlse/faq_mealperiods.htm
Wage Order 15 (all employees classified as domestic workers)	https://www.dir.ca.gov/IWC/IWCArticle15.pdf https://www.dir.ca.gov/dlse/DomesticWorkerBillOfRights-FAQ.html
State Minimum Wage	https://www.dir.ca.gov/dlse/minimum_wage.htm https://laborcenter.berkeley.edu/inventory-of-us-city-and-county-minimum-wage-ordinances/#s-2
Overtime	https://www.dir.ca.gov/dlse/FAQ_Overtime.htm
Reporting Time Pay	https://www.dir.ca.gov/dlse/faq_reportingtimepay.htm
Electronic Visit	

Category	Reference Link
Verification (EVV)	https://www.dds.ca.gov/services/evv/
Holiday Pay	https://www.dir.ca.gov/dlse/FAQ_Holidays.htm
Vacation Pay	https://www.dir.ca.gov/dlse/FAQ_Vacation.htm
Sick Time Pay	https://www.dir.ca.gov/dlse/paid_sick_leave.htm
Job Protected Leaves	https://calcivilrights.ca.gov/family-medical-pregnancy-leave/ https://edd.ca.gov/en/disability/PFL_Forms_and_Publications/ https://edd.ca.gov/en/disability/faqs-fmla-cfra/
Jury Duty	https://courts.ca.gov/courts/jury-service/employer-information
Voting Leave	https://www.sos.ca.gov/elections/time-vote-notices
Drug and Alcohol abuse best practices	https://www.dgs.ca.gov/en/OHR/Resources/Substance-Abuse-Program-Guidelines
Smoking best practices	https://www.dir.ca.gov/dosh/dosh_publications/smoking.html
Privacy right law and best Practices	https://oag.ca.gov/privacy/workplace-privacy https://privacy.ca.gov/
Employee Management Lifecyle	https://www.calhr.ca.gov/state-supervisors-managers/calhrs-supervisors-guide-to-addressing-poor-performance/
Cal Savers	https://cdn.unite529.com/jcdn/files/CAER/pdfs/en_US/ca_er_overview.pdf https://cdn.unite529.com/jcdn/files/CAER/pdfs/en_US/program_description.pdf https://cdn.unite529.com/jcdn/files/CAER/pdfs/en_US/ca_eei_eip_opt_en.pdf
Workplace Postings	https://www.dir.ca.gov/wpnodb.html

Category	Reference Link
Reporting Workplace Injuries/Work Comp	https://www.mainsl.com/wp-content/uploads/2025/10/Work-Comp-Pamphlet.pdf https://www.mainsl.com/wp-content/uploads/2026/05/FMS-Employer-Workers-Comp-Cheat-Sheet26.pdf
Medication Assistance	There is no single “med-admin” license for private households. For employees assisting with self-administration, our recommendation is for employers to have written instructions, keep medication logs, get clinician orders for any paramedical/skilled tasks. For best practice references and checklist see: https://www.dir.ca.gov/wpnodb.html https://www.disabilityrightsca.org/publications/paramedical-services-through-the-ihss-program

Introduction to Self Determination

1. You are the Employer.

In this Program, you are the Employer and/or the person directing your Employer if you have chosen to partner with a third party. We will refer to both as the "Employer" throughout this handbook. Mains'l and your Regional Center are available to provide you with information and resources to help you with this important role.

2. You Direct the Services.

The Self Determination Program allows the Employer to determine what types of supports and services work best. This Program is meant to provide the Employer more responsibility, flexibility, and control.
In the Self Determination Program, the Participant has a budget amount, and creates a Spending Plan to determine how the budget will be used to meet the Participant's needs. It is the Employer's job to manage the services and to follow the Spending Plan. The Employer is responsible for hiring and managing Employees and choosing vendors to meet the needs within the applicable Spending Plan.

3. Mains'l will be the Employer's Financial Management Service/Fiscal Employer Agent.

As your FMS vendor, Mains'l will provide the following services to the Employer:

- ✓ Process payments for goods and services that are approved in the Spending Plan including approved payments to vendors and Employees;
- ✓ Bill the regional center for the services received by the Participant; and
- ✓ Provide the Employer a monthly statement to track budget usage within the approved plan.

Sole-Employer Role and Responsibilities

Responsibility	Employer	Mains'l
Selecting Employees and vendors	X	
Training and supervising Employees	X	
Determining the Employee's schedule	X	
Determining Employee job related tasks	X	
Ensuring compliance with applicable labor laws, reviewing, and approving timesheets and invoices	X	
Making payments to vendors for approved invoices		X
Processing payroll, taxes, and issuing W-2s		X
Coordinating workers compensation insurance		X
Provide forms, policies, and procedures to the Employer to use to manage Self Determination services		X
Providing information about the applicable Department of Labor and other employment requirements		X

Policies, Procedures, and Resources

Customer Service and Communication Policy

Mains'l is committed to providing timely, professional, and responsive communication to participants, managing parties, employers, employees, vendors, Regional Centers, and other stakeholders.

Mains'l values collaboration, transparent communication, and positive working relationships with all parties involved in the Self Determination Program. Our goal is to provide clear, accurate information and timely assistance while establishing reasonable expectations for communication and resolution of inquiries.

Customer Service and Communication Procedure

The following procedures establish Mains'l's communication practices, response expectations, and processes for monitoring customer service quality.

Response Times

- Mains'l will acknowledge or respond to phone calls, emails, and other inquiries within one business day of receipt.
- Inquiries received outside of regular business hours, on weekends, or on recognized holidays will be addressed within one business day following receipt.
- An initial response may include an acknowledgment that the inquiry has been received, a request for additional information, or an update regarding the next steps needed to address the inquiry.
- Some inquiries may require additional research, coordination, or review before a resolution can be provided. Mains'l will communicate updates as appropriate when additional time is needed.
- Urgent inquiries will be prioritized based on the nature of the concern and directed to the appropriate staff member or department for timely review and response.

Communication Methods

- Inquiries may be directed to individual Mains'l staff members or designated department contact information.
- Mains'l staff may respond directly to inquiries or internally forward or redirect communications to the appropriate staff member or department for assistance.
- When an individual contacts Mains'l through multiple communication methods regarding the same inquiry, such as both email and telephone, Mains'l may provide a response through one or more of those methods. A separate response through every communication method is not required.
- Additional inquiries regarding the same matter received before the established response timeframe has passed do not require a separate acknowledgment or response.
- Mains'l encourages individuals to allow one business day for a response before submitting additional follow-up inquiries regarding the same matter.

Mailed Correspondence

- Mail received by Mains'l will be distributed to the appropriate staff member or department during regular business operations.

- Mailed correspondence requiring a response will be reviewed and addressed within a reasonable timeframe based on the nature of the inquiry and any applicable deadlines.
- Communications requiring follow-up will be directed to the appropriate department for tracking and response.

Communication Tracking and Follow-Up

Mains'l utilizes communication management systems to receive, document, track, and respond to inquiries received through phone, email, and other communication channels.

These systems allow Mains'l to monitor communication activity, response times, and follow-up needs.

Communications requiring additional assistance may be assigned or directed to the appropriate staff member or department. Mains'l monitors communication activity to support timely responses and identify inquiries requiring further attention.

Customer Service Quality Assurance

Mains'l regularly monitors and evaluates customer service practices to support timely, accurate, and professional communication.

Quality assurance activities include:

- Monitoring response times for urgent and non-urgent communications.
- Reviewing communication activity and customer service performance.
- Reviewing recorded telephone calls when necessary to address concerns, evaluate service quality, or identify opportunities for improvement. Access to recorded calls is limited to authorized personnel and subject to applicable privacy requirements.
- Gathering feedback through quarterly customer satisfaction surveys.
- Identifying opportunities for staff training, process improvements, and additional customer service support.

Mains'l conducts formal customer service quality reviews at least every six months. These reviews include response times, customer satisfaction results, and other relevant performance measures.

Findings from these reviews are used to evaluate customer service practices and identify opportunities for continuous improvement.

Customer Feedback and Concerns

Mains'l welcomes feedback from participants, managing parties, employers, employees, vendors, and other stakeholders regarding their experiences with our services.

Customer satisfaction surveys are conducted throughout the year to gather feedback and identify opportunities for improvement.

Individuals may also contact Mains'l directly to share feedback, ask questions, or raise concerns about communication or customer service.

Concerns that require a formal review may be addressed through Mains'l's established Grievance and Complaint Policy and Procedure.

Contact Information

Mains'l provides designated contact information to assist individuals in directing inquiries to the appropriate department.

- **Toll-Free Phone Number:** 866-767-4296
- **General FMS Inquiries:** cafmsinfo@mainsl.com
- **Employee and Vendor Enrollment/Onboarding:** cafmsonboard@mainsl.com
- **Vendor Payments and Invoice Inquiries:** cafmspayments@mainsl.com

Individuals may contact Mains'l through these designated communication channels or directly through their assigned Mains'l staff member, when applicable.

Mains'l may internally redirect inquiries to ensure they are reviewed and addressed by the appropriate staff member or department.

Policy Availability

This policy is available on Mains'l's website and is provided to participants, managing parties, employers, employees, vendors, and Regional Centers, including the vendoring Regional Center, as applicable.

The policy is referenced in participant handbooks and employee and vendor materials. A copy may also be requested directly from Mains'l.

Participant Enrollment Policy

Mains'l is committed to providing a clear, supportive, and person-centered enrollment experience for individuals choosing Mains'l as their Financial Management Services (FMS) provider through California's Self-Determination Program (SDP).

Participants have the right to choose their FMS provider and the services that best meet their individual needs. Mains'l will work collaboratively with participants, employers, managing parties, regional centers, and other applicable parties to support a timely and successful enrollment.

To ensure services are established accurately and in accordance with program requirements, all required enrollment documentation, approved spending plans, and applicable service authorizations must be received and verified before services may begin.

Enrollment Procedure

1. Initial Enrollment and FMS Model Selection

When a participant chooses Mains'l as their FMS provider, Mains'l will provide information about the enrollment process and the available FMS service models.

Mains'l offers the following FMS models:

- **Bill Payer:** Mains'l processes payments for authorized goods and services in accordance with the participant's approved spending plan.
- **Sole Employer:** The participant or designated employer is responsible for employer-related decisions, while Mains'l provides applicable payroll, tax, payment, and financial management services. Bill Payer services are also included in the Sole Employer model.

Mains'l will provide enrollment materials specific to the selected FMS model and assist participants and employers with understanding the requirements.

2. Enrollment Documentation

Participants, employers, or their designated managing parties are responsible for providing complete and accurate information necessary to establish services.

Required enrollment documentation may include:

- Completed and signed Mains'l enrollment paperwork.
- Identification of the participant, employer, and managing party, as applicable.
- Applicable Federal Employer Identification Number (FEIN) documentation for the Sole Employer model.
- The participant's Individual Program Plan (IPP).
- A final, fully signed and approved spending plan.
- Applicable regional center service authorizations or Purchase of Services (POS).
- Any additional documentation required by applicable program rules, state or federal regulations, or the selected FMS model.

Mains'l will review enrollment documentation for completeness and accuracy. If information is missing, incomplete, or requires clarification, Mains'l will communicate with the appropriate parties to support resolution.

A fully executed copy of the enrollment paperwork will be provided to the participant, managing party, and applicable regional center contact before services begin.

3. Spending Plan and Service Authorization

Mains'l must receive and review the participant's approved spending plan and applicable regional center service authorizations before establishing the participant's budget and beginning services.

Mains'l will review the documentation to confirm that authorized services, funding amounts, and applicable dates are consistent.

If discrepancies or missing information are identified, Mains'l will work with the participant, managing party, and regional center to obtain clarification or corrections.

Services and expenditures must be consistent with the approved spending plan and applicable authorizations. Mains'l cannot process payments for services or expenditures that have not been appropriately authorized.

4. Enrollment Completion and Beginning Services

Once all required enrollment documentation has been received, reviewed, and approved, and applicable service authorizations have been verified, Mains'l will establish the participant's budget within its financial management system.

Participants and employers will be notified of the next steps and introduced to their assigned Support Specialist, who will serve as an ongoing point of contact for questions and assistance.

Employees and vendors may begin the applicable onboarding process once the participant's budget has been established and Mains'l has provided the appropriate instructions.

Enrollment with Mains'l does not automatically authorize employees or vendors to begin providing services. All applicable employee and vendor onboarding requirements must be completed before services begin.

5. Participant Education and Ongoing Support

Mains'l recognizes that each participant's needs, services, and level of experience with the Self-Determination Program may be different.

Throughout enrollment and following the start of services, Mains'l will provide information and resources to help participants and employers understand their responsibilities and the financial management services available to them.

Educational materials may include information about:

- Understanding and reviewing spending summaries.
- Purchasing authorized goods and services.
- Employee and vendor onboarding.
- Payroll, timesheets, and applicable employer responsibilities.
- Mileage, and other applicable payment processes.
- Other policies and procedures relevant to the participant's approved spending plan.

Mains'l will provide applicable resources based on the participant's selected services and will remain available to answer questions and provide ongoing guidance.

Workers' Compensation Insurance

Mains'l will provide workers' compensation insurance coverage for employees hired through the Sole Employer model in accordance with applicable California laws and program requirements.

The cost of workers' compensation insurance is included in the employer burden charged to the participant's spending plan. Participants and employers are not required to obtain separate workers' compensation insurance for employees covered through Mains'l FMS.

Mains'l will provide information and assistance regarding workers' compensation coverage, including the process for reporting workplace injuries or illnesses.

6. Enrollment Delays and Outstanding Requirements

Mains'l understands the importance of timely enrollment and minimizing disruptions to services.

Enrollment timelines may vary depending on the receipt of required documentation, completion of employer-related requirements, regional center authorizations, and other participant-specific circumstances.

When delays or outstanding requirements are identified, Mains'l will communicate with the appropriate parties and take reasonable steps to support resolution.

Participants and employers are encouraged to respond promptly to requests for information and notify Mains'l of any concerns that may impact their anticipated service start date.

Mains'l cannot guarantee a service start date until all required enrollment and authorization requirements have been satisfied.

7. Changes in Participant or Employer Circumstances

Participants, employers, and managing parties are responsible for notifying Mains'l as soon as possible of changes that may impact their enrollment, employer responsibilities, authorized services, or ability to continue receiving services.

These changes may include, but are not limited to:

- Changes in the designated employer or managing party.
- Changes in contact information or other required enrollment information.
- Hospitalization, incarceration, or death of the participant.
- Serious illness, hospitalization, incapacity, or death of the designated employer.
- Other circumstances that may impact the participant's services or the employer's ability to fulfill their responsibilities.

Mains’l will work with the participant, managing party, regional center, and other applicable parties to determine whether updates to enrollment documentation, employer information, or service arrangements are necessary.

When possible, Mains’l will support appropriate transitions to minimize disruptions to authorized services.

Participant and Employer Responsibilities

Participants, employers, and managing parties are encouraged to actively participate in the enrollment process, ask questions, and communicate their individual needs and preferences.

They are responsible for providing accurate information, completing required documentation, communicating changes, and working with Mains’l and the regional center to resolve outstanding enrollment requirements.

Mains’l is committed to supporting participants and employers throughout enrollment while respecting participant choice, individual circumstances, and the principles of self-determination.

Employer Identification Number (EIN) Assignment and Transfers

Purpose

Mains'l is committed to supporting participants and their authorized managing parties in establishing and maintaining appropriate employer arrangements. This includes assisting with Employer Identification Number (EIN) applications, changes in employer designation, and transitions between Financial Management Services (FMS) providers while maintaining compliance with applicable federal and state requirements.

EIN Holder Designation

An Employer Identification Number (EIN) is issued by the Internal Revenue Service (IRS) and is used to identify an employer for employment tax reporting and other employer-related responsibilities.

The participant or their authorized managing party is responsible for identifying the individual who will serve as the legal employer and EIN holder. Mains'l does not select or determine who will serve in this role but will provide guidance regarding applicable requirements, documentation, and the process for establishing the employer arrangement.

As a standard practice, when multiple participants share the same managing employer, Mains'l will establish one EIN holder to serve as the employer for employees providing services to those participants. This approach supports consistent employer responsibilities, payroll administration, and tax reporting.

Mains'l recognizes that some circumstances may warrant separate EIN holders, including situations involving siblings, family members, or other participants who have genuinely separate employer arrangements. Requests for separate EIN holders will be reviewed individually, considering who exercises employer responsibilities, the management of employees, and any applicable legal or program requirements.

EIN Holder Eligibility

Individuals designated as EIN holders must meet applicable federal and state requirements for serving as the legal employer.

While the IRS permits minors to obtain an EIN, California Employment Development Department (EDD) requirements may limit the ability of individuals under the age of 18 to establish the necessary state employer accounts.

Mains'l will support participants and managing parties in identifying an employer arrangement that meets applicable requirements. When an individual cannot serve as the EIN holder due to state requirements, the participant or managing party will be responsible for identifying another eligible individual.

Existing EINs and Transfers Between FMS Providers

Mains'l supports participants who are transitioning from another FMS provider and wish to continue using an existing EIN, when appropriate.

Because FMS providers may be responsible for payroll tax reporting and deposits on behalf of employers, transitions involving an existing EIN must be coordinated to meet applicable tax reporting requirements.

Mains'l will work with participants, managing parties, and prior FMS providers to establish an appropriate transition date. When necessary, transitions may be coordinated with the end of a calendar quarter to support accurate payroll tax reporting and avoid overlapping or conflicting tax filings.

Mains'l will communicate the established transition timeline and any necessary enrollment requirements to support a smooth transition of services.

Changes to an EIN Holder

Mains'l will support participants and managing parties who need to change the individual serving as the EIN holder due to changes in circumstances, employer responsibilities, or other appropriate reasons.

A change in EIN holder requires updated employer documentation and the completion of new employment paperwork by employees working under the new employer arrangement.

Mains'l will provide guidance and assistance with the necessary paperwork and coordinate the transition to ensure payroll and employer responsibilities are appropriately established.

Individual Review and Support

Mains'l recognizes that employer arrangements and participant circumstances vary. Requests involving separate EIN holders, existing EINs, or changes in employer designation will be reviewed on an individual basis.

If an existing arrangement cannot be supported due to applicable requirements or tax reporting limitations, Mains'l will work with the participant or managing party to explore available options. This may include identifying another eligible individual to serve as the EIN holder, adjusting the transition timeline, or completing additional documentation.

Mains'l will communicate any identified requirements or limitations and assist with establishing an appropriate arrangement whenever possible.

Mains'l provides administrative guidance and assistance with FMS-related employer processes but does not provide legal or individualized tax advice. Participants and managing parties may be encouraged to consult a qualified professional when additional guidance is needed.

FMS Provider Consistency for Participants with Shared Management

Purpose

Mains'l is committed to supporting consistent administration of Financial Management Services (FMS), including employer responsibilities, payroll administration, tax reporting, and compliance with applicable program requirements.

To support these responsibilities and reduce potential administrative and compliance risks, Mains'l maintains a standard practice regarding participants who share the same managing party or managing employer.

Policy

As a standard business practice, Mains'l requires participants who share the same managing party or managing employer to receive services through the same FMS provider.

This includes siblings, family members, or other participants whose services are managed by the same individual, regardless of which model type they are using.

Mains'l will not knowingly support arrangements in which participants sharing the same managing party or managing employer utilize multiple FMS providers.

This practice supports consistent oversight of employer responsibilities, payroll administration, tax reporting, and service coordination. It also helps prevent potential complications when participants change service models, begin employing workers, or experience changes in their service needs.

Individual Review and Exceptions

Mains'l recognizes that participants may have unique circumstances, including situations involving siblings, family members, or other participants who have genuinely separate management and employer arrangements.

Requests involving separate FMS providers will be reviewed on an individual basis to determine whether the participants have distinct management arrangements and whether Mains'l can appropriately support the requested structure.

Coordination and Support

When Mains'l becomes aware that participants sharing the same managing party or managing employer are receiving services through different FMS providers, Mains'l will communicate with the participant or managing party to discuss the arrangement and available options.

Mains'l will work with the participant or managing party to identify an appropriate resolution, which may include transitioning services to a single FMS provider or establishing separate management and employer arrangements when appropriate.

Participants and managing parties retain the ability to select their FMS provider, subject to applicable program requirements and the operational arrangements Mains'l is able to support.

Employer Burden Policy

Mains’l is responsible for calculating and charging applicable employer-related payroll costs, commonly referred to as *employer burden*, to participant budgets. Employer burden is determined based on applicable federal and state requirements, employee eligibility, and the employment relationship between the employee and employer.

Mains’l will calculate and charge the appropriate employer burden for each employee, not to exceed Mains’l's employer burden rate approved by the California Department of Developmental Services (DDS). Any changes to Mains’l's approved employer burden rate must be reviewed and approved by DDS.

Employer Burden Components

Employer burden may include the following employer-paid costs:

- Social Security and Medicare taxes (employer portion of FICA)
- Federal Unemployment Tax (FUTA)
- State Unemployment Insurance (SUI/SUTA)
- Employment Training Tax (ETT)
- Workers' Compensation Insurance
- Paid Sick Leave

The applicable employer burden may vary by employee based on tax exemptions, employment relationships, and other applicable requirements.

Determination of Employer Burden

Certain employees may qualify for exemptions from specific employer payroll taxes based on their relationship to the employer.

Mains’l determines the applicable employment relationship based on the information provided by the employee during enrollment and completion of required employment paperwork.

Mains’l relies on the accuracy of information provided by employees and employers when determining applicable employer burden. Inaccurate or outdated information may result in adjustments to employer burden calculations and charges.

When an employee is exempt from a particular employer payroll tax, that tax will not be included in the employee's employer burden. Employees and employers cannot elect to pay employer payroll taxes from which they are exempt.

Mains’l will apply the appropriate employer burden based on the information provided and applicable requirements.

Employer Burden Charges and Budgeting

Employer burden is charged to the participant's spending plan budget in addition to the employee's wages.

Mains’l will charge the applicable employer burden for each employee, up to Mains’l's maximum employer burden rate approved by DDS.

Because employer burden may vary between employees, participants, employers, and managing parties are encouraged to account for each employee's applicable employer burden separately when developing and maintaining their spending plans.

Participants, employers, and managing parties should regularly review their spending summaries to ensure employer burden charges align with their expectations and available budget.

Employer burden charges may be adjusted when updated information, payroll corrections, or applicable tax requirements result in changes to the amount owed. These adjustments may impact previously reported spending and available budget balances.

Changes to Employment Relationships

Employees and employers are responsible for notifying Mains'l in a timely manner when there is a change in the relationship between the employee and employer that may affect applicable payroll taxes or employer burden.

Updated documentation may be required to support these changes.

Mains'l will review the updated information and make applicable adjustments to employer burden calculations and charges in accordance with applicable requirements.

Hiring, Enrolling, & Training Employees Policy

In the Self Determination Program sole-employment option, the Employer is responsible for finding, choosing, hiring your Employees, and generally ensuring compliance with all applicable labor laws. New Employees who will be working in the self-determination Program are required to complete the Employee enrollment paperwork before beginning work. Any training requirements and timelines for completion are determined by the Employer and the Employer is responsible for ensuring Employees follow through.

All Employees sole-employed in the self-determination Program who will be providing direct personal care must successfully pass a self-determination specific Live Scan through the Department of Developmental Services. The Employer may choose to waive the Live Scan requirement, but only for Employees who do not provide direct personal care, or for family members who do provide direct care and live in the same household as the Participant. The Employer should notify Mains'l in writing if the Live Scan is being waived and Mains'l will indicate on the Employee's enrollment paperwork if the Live Scan is being waived.

Hiring, Enrolling, & Training Employees Procedure

1. **Identify the New Hire**
    - The Employer identifies a prospective Employee.
2. **Request Enrollment Paperwork**
    - Contact the Mains'l Onboarding and Credentialing team to request the required enrollment forms by completing the Request Form https://www.mainsl.com/new-provider-onboarding-request-form-2/
3. **Complete New Hire Paperwork**
    - Meet with the prospective Employee to complete the enrollment paperwork together. Use this time to review their role, expectations, and answer any questions they may have about their employment with you.
4. **Complete the I-9 Form**
    - The Employer must follow the instructions in the enrollment packet to properly complete the federal Form I-9 with the prospective Employee.

5. **Complete the Live Scan (if required)**
    - If the prospective Employee is required to complete a Live Scan, they must be fingerprinted as outlined in the enrollment paperwork.
6. **Submit Completed Paperwork to Mains'l**
    - Submit the full, completed enrollment packet to Mains'l following the instructions provided. Incomplete or incorrect paperwork may result in delays.
7. **Wait for Clearance Before Work Begins**
    - Mains'l will notify the Employer and Employee once the Live Scan (if applicable) has cleared and the Employee is authorized to begin work.
    - Employees may not begin working until Mains'l has provided this clearance. Any work performed prior to authorization will be considered unauthorized and will not be paid by Mains'l.
8. **Employer Provides Onsite Orientation and Training**
    - Once hired and authorized to work, the Employer is responsible for providing orientation and any required training. Additional training requirements are determined by the Employer.

Hiring and Managing Employees

This section is meant to be a guide or resource only and does not apply to every situation you may encounter.

Recruiting Employees

Finding Employees is a responsibility you assume in Self Determination Program. Below are some suggestions to consider when recruiting Employees:

- Talk to friends, family members, and neighbors who already know you or the person receiving the supports. Building on established relationships can make it easier on everybody.
- Visit your local schools, community centers, or other community organizations. Talk to counselors and staff or see if you can put up an ad.
- Run an ad in the local paper or place an ad online.

Child Labor Law

Employees under the age of 18 are required to obtain a work permit before beginning work.

Tips on Interviewing and Hiring

- Ask applicants about their experiences with working with people who need assistance; did they work with children and/or adults? Have they worked with people with special needs?
- Try to gain an understanding of the person's attitudes, personality, values; do they fit with the job requirements?
- Do they have flexible schedules, or do they need to have a set routine? Does that work for you?
- Do they have reliable transportation?
- Give them various examples of experiences they may have working in your home; ask them how they would deal with certain scenarios.
- Ask open ended questions; avoid questions Employees can answer "yes" or "no."
- Tell the potential Employee what you expect of them; explain the hours you want to them to work, what sort of tasks you expect them to perform, etc.

Suggested Interview Questions

Training…

- Have you been certified in First Aid and/or CPR?
- What kind of training have you had to meet the needs of this job?

Work history and experiences…

- How long were you in your most recent position? Why did you leave?
- Where have you worked before? What were your duties?

Work style/methods…

- Describe a meaningful experience you've had with a person for whom you have provided care.
- How do you support someone who is angry or fearful?

Specific tasks…

- Have you had experience cooking for other people?
- Would you be comfortable supporting someone transferring from a wheelchair into a car, bed, or chair?

Comfort zones…

- Is there anything in the job description that you are uncomfortable doing?
- How do you feel about assisting a person with personal hygiene?
- Do you mind being around someone who smokes? Being around animals?
- How do you feel about caring for someone with a disability and/or memory loss?

Other possible questions…

- What kind of time commitment are you willing to make?
- What do you enjoy/find challenging about this field?
- Do you keep in touch with any families you once worked for?

Illegal and Inappropriate Interview Questions

Under applicable state and federal laws, it is illegal to ask questions regarding and/or discriminate against a candidate based on race, color, age, sex, sexual orientation, religion, national origin, disability, medical conditions, or other similar protected characteristics. Any direct or indirect attempt to solicit information regarding these categories is illegal. Similarly, it is also illegal to refer directly to an individual's disability with regards to potential job tasks, or to solicit information regarding a candidate's age during an interview.

It is also inappropriate and illegal to ask questions regarding marital status, organizational affiliation, status of personal health, economic status, number of children, means of childcare, citizenship status, and workers' compensation history.

The following are examples of inappropriate or illegal questions in each category – this list is not exhaustive but is meant to be illustrative:

Race or color…

- What nationality are you?
- Where did you get your accent?
- Where does your last name come from?

Sex and sexual orientation…

- Are you heterosexual?
- Do you consider yourself homosexual?

Religious affiliation…

- Are you involved with any religious groups?
- Where do you go to church?
- Would your religion prevent you from working weekends?

Disability…

- Would you consider yourself disabled?
- Could you perform this job from your wheelchair?

Age…

- What is your date of birth?
- What year did you graduate from high school?

Marital/Family Status…

- Are you pregnant?
- Do you have children?
- Are you married?
- What arrangements have you made for children?
- Would your family mind if you traveled or worked weekends?

Tips on Training

When providing training to your Employees on how to best complete tasks, it is best to be as involved in training as much as possible. On-the-job, specific training is always most effective. It is best practice to keep records of all training provided to employees.

Tips on Disciplining/Removing Employee

If you have issues or concerns with your Employee, discuss it with them immediately, and clearly communicate your expectations to them. Document what you discuss and the outcome/expectations in which you agree, as well as the timeline in which you expect to see results.

You decide if/when you want an Employee to be removed from your home, whether temporarily or permanently. The Employer should contact their Mains'l Support Specialist prior to terminating employment for proper processing of final paycheck in alignment with California Final Paycheck Law.

If Mains'l is not notified prior to employee termination, the Employer will be responsible for any resulting fees.

Vendor Enrollment Policy

All new vendors will receive a Vendor Enrollment Packet which will include:

- Mains'l Vendor Policy and Procedures
- Payment Guidelines
- Vendor Enrollment Form
- IRS Form W-9
- California Form 590

- ABC Test
- Payment Authorization Form
- Electronic Visit Verification Agreement (if applicable)
- Prepayment Agreement (if applicable)
- Service Agreement (if applicable)

Additionally, vendors are required to submit their business license or equivalent document and waiver required credentials (if applicable).

Vendors who do not qualify to be classified as an Independent Contractor based on the ABC Test will not be paid as a vendor and will be treated as an Employee of the Employer.

Reasonable Rate Policy

Mains'l Services is committed to ensuring responsible stewardship of public funds through consistent financial oversight of vendor and service provider rates under the California Self-Determination Program (SDP).

Mains'l will review vendor and service provider rates against the participant's approved spending plan to ensure rates and expenditures align with authorized services, approved funding, and applicable program requirements.

When a vendor or service provider rate does not align with the rate identified in the approved spending plan, Mains'l will request written approval from the Regional Center before processing payment at the requested rate.

When no specific service rate is identified in the approved spending plan and the requested rate exceeds $50 per hour, Mains'l will request written Regional Center approval to support the rate before processing payment.

This policy supports financial accountability, consistency, and compliance while respecting participants' rights to exercise choice and control over their services and supports.

Reasonable Rate Procedure

When a Rate Does Not Align with the Approved Spending Plan

If the requested rate differs from the rate identified in the approved spending plan, Mains'l will request written approval from the participant's Regional Center before processing payment at the requested rate.

When No Service Rate Is Identified

If the approved spending plan does not identify a specific rate for the service, and the requested rate exceeds $50 per hour, Mains'l will request written approval from the Regional Center before processing payment.

Requesting Regional Center Approval

When additional approval is required, Mains'l will communicate the rate discrepancy or request for approval to the participant or their representative and coordinate with the Regional Center to obtain written authorization.

The request may include:

- Vendor or service provider name.
- Description of the service being provided.
- Requested hourly rate.
- Rate currently identified in the approved spending plan, if applicable.

Processing Payment

Mains'l will process payment once the required written approval has been received and all applicable spending plan and authorization requirements have been met.

Important Information

- Participants and their representatives are responsible for ensuring vendor and service provider rates are communicated accurately.
- A rate being listed in a spending plan does not replace any separately required Regional Center authorization.
- Mains'l cannot guarantee payment at a requested rate until applicable approval and documentation requirements are satisfied.
- Participants may contact their assigned Mains'l Support Specialist with questions about the reasonable rate review process or the status of an approval request.

Our Commitment

Mains'l is committed to making the reasonable rate review process as transparent and straightforward as possible. Our goal is to support participants in accessing their chosen services while maintaining appropriate financial oversight and compliance with California Self-Determination Program requirements.

Employee Payment Eligibility and FMS Service Restrictions

Policy

Mains'l serves as a Financial Management Services (FMS) provider and payroll agent for participant-directed services. Mains'l is not the employer and does not have authority to hire, supervise, discipline, or terminate employees. These responsibilities remain with the participant or designated employer.

As an FMS provider, Mains'l is responsible for administering payroll and related services in accordance with applicable laws, program requirements, and Mains'l policies and procedures.

Mains'l reserves the right to restrict or discontinue future payroll services for an individual employee when necessary to address compliance concerns, financial obligations, program eligibility, or other circumstances that may prevent Mains'l from appropriately administering FMS services. Any restriction must be consistent with applicable laws and program requirements.

Reasons for Payment Restrictions

Circumstances that may result in restrictions on future payroll services include, but are not limited to:

- **Outstanding employee overpayments:** Failure to resolve an established payroll overpayment, including failure to comply with an agreed-upon repayment arrangement.
- **Electronic Visit Verification (EVV) noncompliance:** Continued failure to meet applicable EVV requirements after notification, training, or corrective action opportunities, when required.
- **Incomplete or invalid employment documentation:** Failure to provide or maintain required documentation necessary for Mains'l to administer payroll.
- **Program or employment eligibility:** Circumstances in which an employee no longer meets applicable program requirements or is not authorized to provide services.

- **Fraud or misrepresentation:** Suspected or confirmed falsification of timesheets, service records, or other information used to administer FMS services.
- **Other compliance concerns:** Failure to meet applicable federal or state requirements, program standards, or Mains'l policies that affect the administration of FMS services.

Notification and Resolution

When Mains'l identifies a concern that may result in a restriction of future payroll services, Mains'l will generally communicate with the employee and the participant or designated employer regarding the concern, any required corrective actions, and the timeline for resolution.

Mains'l will make reasonable efforts to support resolution before implementing a restriction, when appropriate. Certain circumstances may require immediate action to comply with applicable laws, program requirements, or to prevent improper payments.

All proposed employee payment restrictions will be reviewed internally and must receive approval from Mains'l leadership prior to implementation. This review will consider the circumstances, applicable requirements, previous efforts to resolve the concern, and any outstanding payroll obligations.

Mains'l will notify the employee and participant or designated employer of the decision, including any steps necessary to resolve the restriction, as appropriate.

Restrictions may remain in place until the concern has been resolved and Mains'l determines that applicable requirements for administering future payroll services have been met.

Employer Responsibilities

The participant or designated employer remains responsible for all employment decisions, including whether an employee continues working.

A restriction on future payroll services through Mains'l does not constitute termination or suspension of employment by Mains'l.

If an employee is no longer eligible to receive future payroll services through Mains'l, the participant or designated employer is responsible for determining appropriate next steps regarding the employee's employment and ensuring that services are provided in accordance with applicable program requirements.

Payment of Earned Wages

Restrictions on future payroll services do not eliminate an employee's right to receive wages legally owed for work already performed.

Mains'l will work with the participant or designated employer to address outstanding payroll obligations in accordance with applicable wage and hour laws and program requirements.

Any recovery of payroll overpayments or deductions from employee wages will be handled separately in accordance with applicable laws and Mains'l policies.

IRS Notice 2014-7 – Difficulty of Care Income Tax Exclusion

Policy

IRS Notice 2014-7 allows certain payments received by employees providing care under qualifying Medicaid waiver programs to be excluded from taxable income. Eligibility for this exclusion depends on the employee's

individual circumstances, including whether the employee resides in the same home as the person receiving services.

Mains'l does not determine, verify, or manage employee eligibility for the income tax exclusion under IRS Notice 2014-7.

Employee Tax Withholding

Mains'l will calculate and withhold applicable federal and California state income taxes based on the withholding elections provided by the employee on their federal Form W-4 and California Employee's Withholding Allowance Certificate (DE 4), in accordance with applicable tax requirements.

Mains'l will not independently adjust employee income tax withholding based on potential eligibility for IRS Notice 2014-7.

Employees are responsible for completing and maintaining accurate tax withholding forms and notifying Mains'l of any changes to their withholding elections.

Claiming the Income Tax Exclusion

Employees who believe they qualify for the income tax exclusion under IRS Notice 2014-7 are responsible for determining their eligibility and claiming any applicable exclusion when filing their annual income tax returns.

Employees who have had income taxes withheld from potentially qualifying wages may be eligible to receive a refund when filing their annual tax returns, depending on their individual tax circumstances.

Tax Guidance and Employee Responsibilities

Mains'l does not provide tax or legal advice and cannot advise employees on their eligibility for IRS Notice 2014-7, how to complete tax withholding forms, or how to claim the exclusion on their income tax returns.

Employees are encouraged to consult a qualified tax professional or the Internal Revenue Service (IRS) for guidance regarding their individual circumstances.

Mains'l may provide general information and resources regarding IRS Notice 2014-7 but does not assume responsibility for determining or applying the exclusion on behalf of employees.

Vendor Enrollment Procedure

To begin receiving payments through Mains'l, all vendors must complete the enrollment process. This includes submitting the required documents and credentials to the Mains'l Onboarding and Credentialing Specialists.

Submit Required Forms

Vendors will complete and submit the following:

- Vendor Enrollment Form
- IRS Form W-9
- California Form 590
- Business License or equivalent
- Payment Authorization Form
- ABC Test (to confirm independent contractor status)
- Additional forms may be required based on service type
- Waiver Required Credentials (based on service code)

- Electronic Visit Verification Agreement
- Prepayment Agreement (if applicable)
- Service Agreement (if applicable)

Mains'l Reviews Submitted Documents

Our Onboarding and Credentialing Specialists will review vendor documents for completion and compliance. If any additional items are needed, we will contact the vendor.

Vendors who do not meet the independent contractor criteria under the ABC Test may need to apply as Employees or update their business documentation.

Confirmation of Enrollment

Once all documents are reviewed and verified, we will confirm that vendors are set up in our system and eligible to begin billing for approved services.

Vendor Payment Policy

Participants identify the goods and services they intend to use during the plan year. These items are outlined and approved within the Participant's Spending Plan. Vendors may be hired to provide these services, and Mains'l will pay vendors directly on the Participant's behalf when the following conditions are met:

- The service is included in the Participant's Spending Plan approved by the Regional Center.
- Mains'l has received an official Authorization/Purchase of Service from the Regional Center.
- The vendor has submitted all documents required.
- The vendor is not listed on the OIG Exclusion List for Medicaid disqualification.
- Sufficient funds remain in the Participant's budget for the service.

In accordance with IRS regulations, vendors who are required to receive Form 1099 will be issued one by January 31st of the following year.

Vendor Payment Procedure

Vendors may submit invoices directly to Mains'l or through the Participant receiving services. If submitted by the vendor, the invoice must include approval from the Participant. Invoices without proper approval will be returned.

Submit all invoices to: CAFMSPayments@mainsl.com

All invoices must include the following information:

- Full name of the person receiving services
- Vendor/provider name (include DBA, if applicable)
- Unique invoice number
- Self-Determination Program (SDP) service code(s)- ask the Participant if unsure
- Description of services/tasks provided
- Rate charged*
- Total cost of the merchandise or service
- Date(s) of service or purchase
- Statement confirming all services listed have been provided to the Participant

**If services are not billed hourly or daily, SDP Participants and SDP Providers may agree to services that are billed monthly, cost of services may not be more than a monthly rate*.

Mains'l does not require a specific invoice template. Any format that includes all required details will be accepted. Incomplete invoices will be returned.

Payment Schedule:
All invoices received by 5PM PST on Fridays are paid out the following Friday.

The payment schedule begins once all documentation requirements have been met, including any required service agreement or cancellation policy.

If an invoice is not eligible for payment, Mains'l will notify the Participant. They will need to revise the spending plan with Mains'l and/or the Regional Center or pay the vendor directly.

Invoices including dates of service over 365 days (1 year) old will require written approval from the Regional Center prior to processing. Dates of service exceeding 540 days are typically unable to be processed.

Important: All invoices must be generated by the vendor or their invoicing system. Invoices created by Participants on behalf of a vendor are not accepted and will be treated as fabricated.

Mains'l cannot pay for late fees, no show fees or any other fees that are not for the services being provided.

Conflict of Interest Policy

Mains'l is committed to maintaining transparency, integrity, and independence in providing Financial Management Services (FMS) under California's Self-Determination Program (SDP). Mains'l will identify, prevent, disclose, and address conflicts of interest that could compromise participant choice, independent decision-making, or the appropriate administration of SDP funds.

Separation of Services

Mains'l will not serve as the FMS provider for an SDP participant while also receiving payment to provide that participant with other services beyond authorized FMS. This applies regardless of whether payment for the additional services is proposed through the participant's SDP spending plan or another arrangement.

Mains'l may provide other services to individuals who do not receive FMS services from Mains'l, provided those arrangements comply with applicable program requirements.

Independence in Service Decisions

Mains'l's role is to provide Financial Management Services and is generally separate from the person-centered planning process. Staff will not steer participants toward Mains'l, an affiliated provider, or any provider in which Mains'l has a conflicting interest.

Staff may provide neutral, factual information about FMS processes, budgets, certified spending plans, payment requirements, and provider qualifications without directing participant choices.

Financial Interests and Relationships

Mains'l will not hold direct or indirect financial interests, relationships, or influence involving service providers receiving payment from the SDP funds of participants for whom Mains'l provides FMS services, when such arrangements create a conflict of interest.

Potential conflicts of interest may also arise from relationships between participants, their employees or prospective employees, service providers, and individuals who assist participants in making decisions.

These situations may include, but are not limited to, circumstances in which an individual who assists in making decisions for a participant:

- Is employed or seeking employment by the participant.
- Receives or may receive financial benefits from services provided to the participant.
- Has a financial interest or relationship with another service provider that may influence decisions regarding the participant's services or supports.

The existence of these relationships does not automatically mean a conflict of interest exists. Mains’l recognizes that participants may choose to receive support from individuals with whom they have personal, professional, or financial relationships. Potential conflicts will be reviewed in accordance with applicable program requirements while respecting participant choice and independence.

Identification, Notification, and Resolution

Mains’l will review potential conflicts of interest identified through its operations or brought to its attention by participants, employers, employees, prospective employees, service providers, or other involved parties.

Within five business days of identifying a potential conflict of interest involving an employee, prospective employee, or service provider, Mains’l will notify the participant and the participant’s regional center.

Mains’l will work with the participant, their regional center, and other appropriate parties, as needed, to address identified concerns while respecting the participant's choices and ensuring compliance with applicable program requirements.

Participant Choice and Independence

Mains’l recognizes and respects each participant's right to select their own services, supports, employees, and service providers. Mains’l's responsibility as an FMS provider is to support the administration of SDP funds while maintaining independence from decisions regarding the selection and delivery of participant services.

Mains’l is committed to supporting informed decision-making, maintaining transparency, and working collaboratively with participants and their support teams to address potential conflicts of interest without unnecessarily limiting participant choice or self-direction.

FMS Systems and Administrative Support

Mains'l Financial Management Services (FMS) is committed to providing participants, employers, managing parties, employees, vendors, regional centers, and other applicable parties with the guidance and assistance needed to understand and use the technology, forms, and administrative processes associated with FMS services.

Available Support

Mains'l FMS staff will provide training, technical assistance, and ongoing support with the systems and processes utilized to administer FMS services. This includes, but is not limited to:

- Accessing, navigating, and using Mains'l-supported software platforms.
- Using electronic visit verification (EVV) and timekeeping systems, including submitting, reviewing, and approving timesheets.

- Submitting, reviewing, and approving vendor invoices and other payment requests.
- Understanding and completing enrollment, employment, vendor, payroll, and other required documentation.
- Accessing and understanding spending summaries, reports, and other FMS information.
- Understanding administrative procedures, submission requirements, and applicable timelines.
- Troubleshooting system-related technical issues and providing additional instruction or resources as needed.

Mains'l recognizes that individuals have different levels of experience with technology and administrative processes. Staff will provide assistance in a respectful and accessible manner, taking into consideration individual needs and circumstances.

Limitations of Assistance

Mains'l FMS staff may explain the purpose of forms, provide instructions, clarify requirements, and assist individuals with navigating the completion and submission process.

However, Mains'l does not provide individualized legal, tax, or financial advice and cannot make decisions on behalf of participants, employers, employees, or vendors.

Mains'l provides technical support for the software platforms and systems used to administer FMS services. While staff may offer general guidance related to accessing these systems, Mains'l is not responsible for troubleshooting, repairing, or maintaining personal devices, including cell phones, computers, tablets, internet connections, or other technology outside of Mains'l control. Individuals may be directed to their device manufacturer, internet service provider, or other appropriate technical support resources for assistance.

Individuals remain responsible for providing accurate information, making decisions within their authority, and reviewing and authorizing documents, timesheets, invoices, and other submissions as applicable.

When questions require professional advice or fall outside the scope of FMS services, individuals may be directed to the appropriate agency or qualified professional.

Requesting Assistance

Participants, employers, managing parties, employees, vendors, regional centers, and other applicable parties may contact Mains'l FMS through established communication channels to request assistance.

Mains'l staff will provide guidance, training, or troubleshooting support as appropriate and coordinate with other departments or resources when additional assistance is needed.

Mains’l Purchasing and Gift Card Policy

Mains’l provides purchasing assistance for goods and services authorized through a Participant’s approved Spending Plan under California’s Self-Determination Program (SDP). All purchases must align with the approved Spending Plan, Purchase of Service (POS) authorization, and available funding.

Mains’l will only process purchases that meet program requirements and have the necessary approvals and sufficient funding.

Purchasing Requests and Processing Timelines

Purchase Request Forms received by Friday at 5:00 p.m. Pacific Time will be reviewed and processed by the following Friday.

During the review process, Mains'l will verify that the requested purchase is included in the approved Spending Plan, sufficient funding is available, and all required authorizations have been obtained.

Purchase requests must be submitted at least two (2) calendar weeks before the end of the Spending Plan period.

Processing may be delayed if additional information, documentation, funding clarification, or Regional Center approval is required. Submission of a Purchase Request Form does not guarantee that a purchase will be approved or completed within the standard processing timeframe.

Purchase Request Requirements

When requesting Mains'l to make a purchase or payment, the Participant or Managing Party must provide:

- A completed Purchase Request Form.
- Direct links to the exact items being requested, when applicable.
- All necessary purchasing details, including quantity, size, color, item options, and other relevant specifications.
- Any additional documentation or authorization required to verify that the purchase is allowable under the approved Spending Plan.

Incomplete requests may result in processing delays.

The Participant or Managing Party is responsible for ensuring the requested item or service is included in the approved Spending Plan and that sufficient funding is available to cover the full purchase amount, including applicable taxes and shipping.

Purchasing Guidelines

The following guidelines apply to purchases made by Mains'l:

- Purchases must be consistent with the approved Spending Plan and applicable POS authorization.
- Purchases cannot exceed the available funding or approved budget.
- Mains'l cannot create personal accounts on behalf of Participants or Managing Parties.
- Websites requiring a login, membership, or access to a personal account may require a signed FMS Purchasing Agreement.
- If an item is unavailable or out of stock, Mains'l will contact the Participant or Managing Party to request further direction.
- Mains'l will not independently select replacement items or make substitutions without authorization.
- Changes in pricing, quantities, or requested items may require additional review before the purchase can be completed.
- All purchases must occur within the applicable approved Spending Plan period.

- When a purchase cannot be completed online and payment must be made directly to a vendor, the Participant or Managing Party is responsible for coordinating the order and providing Mains'l with the information necessary to complete payment.

Funding Discrepancies and Unapproved Purchases

If a purchase request exceeds available funding, is not included in the approved Spending Plan, or requires additional authorization, Mains'l will notify the Managing Party and applicable Regional Center within five (5) business days of receiving the request.

The Participant or Managing Party is responsible for working with Mains'l and the Regional Center to resolve the discrepancy, obtain necessary approvals, or provide updated documentation.

Mains'l will not process a purchase until all funding discrepancies have been resolved and the required authorizations have been received.

Once a purchase has been completed, Mains'l will communicate the purchase details to the Managing Party, including the item purchased, vendor, amount, and delivery or fulfillment information when available.

Payment for Recurring Services

Mains'l may assist with payments for recurring services included in the Participant's approved Spending Plan, subject to available funding and applicable authorization requirements.

The following conditions apply:

- Mains'l will only pay the portion of the service cost authorized in the approved Spending Plan.
- Mains'l will not leave a credit card on file with a vendor or service provider.
- If payment requires access to a customer account, a completed FMS Purchasing Agreement is required to authorize Mains'l to access the account for payment purposes.
- For ongoing monthly payments, a Recurring Payment Agreement may be completed to establish an authorized payment arrangement.

Recurring payments remain subject to available funding, approved Spending Plan dates, and applicable program requirements.

Prepayment of Services

As a general rule, Mains'l pays for services after they have been provided.

Prepayment may be considered when the following requirements are met:

- The vendor signed a prepayment agreement confirming that missed or canceled services will be refunded to Mains'l or rescheduled without expiration; or
- Written authorization is obtained from the Regional Center accepting fiscal responsibility for prepaid services that are not delivered.

Prepayment for services that will occur in a future Spending Plan year requires written Regional Center approval.

Mains'l will not process payments for no-show fees, late fees, cancellation fees, or other charges associated with services that were not provided.

Gift Card Purchases

Gift cards are considered a last-resort purchasing option and may only be used when the purchase meets all applicable program requirements.

Gift card requests must meet the following conditions:

- The gift card must be restricted to a specific vendor.
- The gift card must be used exclusively for goods or services specifically authorized in the Participant's approved Spending Plan.
- The gift card must not allow the purchase of unauthorized goods or services.
- Sufficient funding and all required authorizations must be available before the purchase is processed.

Mains'l will not purchase gift cards that can be used for goods or services outside the Participant's approved Spending Plan.

Questions and Purchasing Assistance

Participants and Managing Parties are encouraged to contact their Mains'l Support Specialist with questions about purchase requests, required documentation, funding availability, or purchasing requirements.

Purchasing forms and additional resources are available on the Mains'l California FMS Resources page:

https://www.mainsl.com/california/fms-resources/

Reimbursements

Effective January 1, 2026, Mains'l must directly purchase all goods and services on behalf of participants. Reimbursements will not be permitted under any circumstances.

Payroll Policies and Procedures

Mains'l is committed to accurately paying the Employees of Employer in compliance with all applicable state and federal laws. Mains'l will never knowingly fail or refuse to pay an Employer's Employees the full amount they are entitled by law for work performed. For these and other reasons, it is important for Employees to accurately record the time they work, without exception and the Employer must inform the Employee to record all time worked.

Employment Category

The work week is from Sunday at 12:00 a.m. to Saturday at 11:59 p.m., and each workday begins at 12:00 a.m. and ends at 11:59 p.m. Each Employee working in the FMS Program is designated as "non-exempt" (hourly), in accordance with federal and state law. Hourly Employees are paid for their time actually worked, and are subject to overtime pay. Any Employee who works more than 8 hours in one workday and/or 40 hours in one workweek receives overtime pay of one and one half times their regular rate of pay. Likewise, the first eight hours worked on the seventh consecutive workday in one workweek will be compensated at one and one half times the Employee's regular rate of pay. If an Employee works 12 or more hours in one workday (and any time worked after the first eight hours on the seventh consecutive workday worked in one workweek) they will receive double their regular rate.

Record All Time Worked and Review Pay Stubs

All Employees of Employer must correctly record all time worked on the timesheet, including time in at the beginning of the workday, time out for their meal period, and back in after the meal period, and time out at the end of the workday, and review the pay stubs promptly to identify and report any suspected errors. Absolutely no work may be performed off the clock, without exception. Mains'l makes every effort to ensure Employees of Employer are paid correctly. Occasionally inadvertent mistakes happen. When mistakes are made by Mains'l, we will promptly make any corrections necessary to provide Employees with the pay they were entitled. Errors on the part of the Employee will be corrected no later than on the following pay period once any necessary changes are made to timesheets and are approved.

How to Raise a Question or Concern about Pay or a Payroll Deduction

If an Employer's Employees have questions about pay (over or under payment) or any deduction from pay, they should immediately contact their Employer. State, Federal, Social Security, Medicare taxes, garnishments and levies (if applicable), are deducted automatically per regulations. No other deductions are made unless required or allowed by law or prior authorization.

The Employer will contact Mains'l to look into reports. If an Employee has been paid incorrectly, or if Mains'l determines that a deduction was improperly made, Mains'l will reimburse the Employee as promptly as possible. If an Employee has been overpaid, the Employee will be required to return overpayment immediately.

Payroll Errors

In the event an error is discovered during payroll processing, the following steps will be done to correct: Mains'l will contact the Employer notifying them of the error. A deadline will be set for the revision to be submitted to payroll. If the deadline passes without the revision submitted to payroll the entry or entries affected by the error will be voided and the Employee will need to submit the correction with the next payroll.

Errors, which can be corrected by a member of Mains'l, include: Incorrect pay code, incorrect Employee number, incorrect department, or consumer number. Errors, which must be corrected by the Employee of the Employer, include: error in day and or date worked, incorrect or missing AM/PM, missing or incorrect start or end time for the

day or meal period. When overlapping or duplicate hours are entered on the timesheet, the Employee is responsible for submitting a corrected timesheet. The revised time may be processed with the next payroll if not submitted in time.

Paydays

Refer to the Payroll Calendar for exact pay periods, when timesheets are due and pay dates. All Employees are paid via electronic direct deposit unless they opt to receive manual checks. Employees may choose to have their Pay Stubs mailed or e-mailed. Paycheck stubs will include earnings for all work performed through the end of the previous payroll period. Advances of pay are not made for any reason.

Employees are responsible for notifying Mains'l of any changes in their bank account numbers and address. If an Employee requests a change in the direct deposit, a manual check may be issued the pay period following the request.

Mains'l is not responsible for any delays in mail service or electronic deposits in the Employee's designated bank account. A manual replacement check will not be processed until verification is completed by payroll.

Sick Time

All Employees receive 40 hours of sick time each calendar year beginning on the first day of employment. This time does not carry over and resets to 40 hours (or five days) each January 1. Unused sick time is not paid out at the end of employment.

Employees should indicate sick time on their time on their timesheet using the pay code "Sick."

Holidays

Employees will be paid their regular hourly wage for all time worked if they work on a holiday. Time and on half is not paid for hours worked unless outlined in the Spending Plan and the Employer has notified Mains'l prior to the Employee working on the holiday. If time and half holiday pay has been approved, the Employee indicate this on their timesheet by using the pay code "Holiday." There typically is no holiday pay for Employees who do not work on the holiday, unless the Employer decides to provide such benefit and notifies Mains'l in advance.

Health Insurance and Benefits

Except as required by law, no health insurance or other benefits are available through Mains'l to Employees sole-employed in the Self Determination Program.

Record of Time Worked

It is the Employee's responsibility to submit an accurate and complete timesheet via Navigation Plus by the due date and time. The Employer is responsible for verifying that the hours worked by the Employee and the pay codes used are accurate. It is the Employer's responsibility to ensure Employees are working as stated on their timesheet. This protects the Employee, the Participant, and Mains'l from incorrect or false time recording.

Employees and the Employer should agree on the work schedule. Employees should not start work early, finish work late, or perform extra work unless pre-authorized by the Employer. It should be made clear to Employees that any Employee who fails to report or inaccurately reports hours worked will be subject to disciplinary action, up to and including termination.

Employers should inform Employees that it is a violation of policy for any Employee to falsify a timesheet, to alter another Employee's timesheet or work off the clock. If Employer or any individuals associated with Employer (including any of its Employees), instructs an Employee to either (1) incorrectly or falsely under-report or over-report hours worked, or (2) alter another Employee's time records to inaccurately or falsely report that Employee's hours worked, the situation should be immediately reported to the Mains'l representative.

Questions or Concerns

If there are questions or concerns about this Payroll Policy and Procedure, please contact Mains'l.

Electronic Visit Verification (EVV) Policy

Mains'l requires compliance with Electronic Visit Verification (EVV) requirements established under the federal 21st Century Cures Act and implemented by the California Department of Developmental Services (DDS).

EVV is an electronic system used to verify the delivery of certain personal care and home health care services.

Mains'l utilizes Navigation Plus, its electronic timesheet system, to meet applicable EVV requirements. Navigation Plus is configured to capture the information necessary for EVV compliance.

Employees providing services under EVV-required service codes must comply with EVV requirements through Navigation Plus unless they qualify for the live-in caregiver exemption and have submitted the required attestation to Mains'l.

EVV Requirements

Employees providing services under EVV-required service codes must accurately record their service visits using the Navigation Plus EVV platform.

Navigation Plus is configured to capture the information required for EVV compliance, including:

- Type of service provided.
- Name of the Participant receiving services.
- Date services were provided.
- Location where services were delivered.
- Name of the Employee providing services.
- Start and end times of the service visit.

Employees are responsible for ensuring that their timesheets and service information are accurate and complete.

EVV requirements apply only to services and service codes identified as subject to EVV.

EVV-Required Service Codes

Mains'l requires EVV compliance for Employees providing services under the following service codes:

- 310-Respite (Individual and Agency) In -home
- 313- Homemaker
- 320 – Community Living Supports (Individual and Agency)
- 359-Home Health Aide

- 361-Skilled Nursing
- 372-Speech - Hearing and Language
- 375-Occupational Therapy
- 376-Physical Therapy

Employees providing services under any of the service codes listed above must comply with EVV requirements through Navigation Plus unless they qualify for the live-in caregiver exemption and have submitted a completed Live-In Caregiver Attestation Form to Mains'l.

Navigation Plus is configured to capture the required EVV information as part of the electronic timesheet process.

EVV requirements are subject to applicable state and federal regulations. Mains'l will communicate changes to affected Employees and Employers as necessary.

Live-In Caregiver Exemption

DDS allows an exemption from EVV requirements for qualifying live-in caregivers.

A live-in caregiver is an employee who regularly remains in the Participant's home for more than twenty-four (24) hours at a time and is available to provide authorized services during that period.

Employees who meet the applicable DDS requirements may qualify for an exemption from EVV.

Employees requesting recognition of the live-in caregiver exemption must complete and submit a Live-In Caregiver Attestation Form to Mains'l.

Until the completed attestation has been received and documented by Mains'l, Employees are required under Mains'l's procedures to continue complying with EVV requirements through Navigation Plus.

The exemption applies only to Employees who meet the eligibility requirements established by DDS.

Employee and Employer Responsibilities

Employees and Employers are responsible for ensuring compliance with applicable EVV requirements.

Responsibilities include:

- Accurately recording all required service visits and hours worked in the Navigation Plus EVV platform.
- Ensuring timesheets and service information are complete and accurate.
- Following applicable procedures for correcting missing or inaccurate timesheet or EVV information.
- Completing and submitting the Live-In Caregiver Attestation Form to Mains'l when requesting an exemption.
- Promptly notifying Mains'l of changes that may affect EVV requirements or exemption eligibility.
- Cooperating with Mains'l to resolve EVV-related questions or compliance concerns.

Changes to Exemption Eligibility

Employees and Employers must promptly notify Mains'l if an Employee's circumstances change in a way that may affect eligibility for the live-in caregiver exemption.

If an Employee no longer qualifies for the exemption, the Employee must comply with EVV requirements for all applicable services.

Employees and Employers should contact their Mains'l Support Specialist to report changes and ensure the Employee's information is updated appropriately in Navigation Plus.

EVV Compliance and Timesheet Requirements

Employees are required to accurately record and submit all hours worked in accordance with Mains'l's established timesheet and payroll procedures.

For Employees subject to EVV requirements, timesheet entries must also meet applicable EVV documentation requirements.

Missing, incomplete, or inaccurate EVV information may require additional review or correction.

Employees and Employers are expected to cooperate with Mains'l in resolving any identified EVV compliance concerns.

EVV compliance requirements do not eliminate an Employee's right to payment for hours worked under applicable wage and hour laws.

Support and Assistance

Mains'l Support Specialists are available to assist Employees and Employers with:

- Questions regarding EVV requirements and applicable service codes.
- Navigation Plus support and troubleshooting.
- Reporting missing or inaccurate EVV information.
- Requesting updates to Employee information or EVV settings.
- Obtaining and submitting the Live-In Caregiver Attestation Form.
- Reporting changes that may affect an Employee's exemption eligibility.

Employees and Employers should contact their assigned Mains'l Support Specialist whenever assistance or updates are needed.

Additional information and resources are available through:

Mains'l California FMS Resources:

https://www.mainsl.com/california/fms-resources/

California Department of Developmental Services – EVV:

https://www.dds.ca.gov/services/evv/

Mileage Reimbursement Policy

The Employer determines when mileage reimbursement will be allowed, subject to applicable legal requirements and Program Rules, not to exceed the reimbursement rate as determined by the IRS.

Mileage reimbursement for transportation to any type of medical or dental appointment must be specifically pre-approved as part of the Spending Plan.

The Employer must ensure that people providing transportation must:

- Be a legally licensed driver
- Submit reimbursement only for driving their own vehicle

- Have automobile insurance covering their vehicle as required by law

Guidelines for use, number of miles, and the reimbursement rate will be included in the Spending Plan and approved by the Regional Center. Mains'l will reimburse mileage based on the details included in the Spending Plan. For reimbursement of mileage to medical appointments, medical mileage must specifically be in the Spending Plan.

Mains'l must have the POS authorization from the Regional Center before reimbursement of mileage expenses will be paid.

Once the dollars allocated for mileage reimbursement have been used, no additional mileage expense can be reimbursed until the Participant or Managing Party make a change to the Spending Plan allocating additional dollars to mileage. Mains'l is unable to reimburse additional mileage until the revised plan has been approved by the Regional Center (if required) and the accompanying POS is received. This does not mean that the Employee is not required to be reimbursed, and the Employer is responsible for that payment.

Mileage Reimbursement Procedure

Mileage will be recorded on a mileage log and submitted to Mains'l at least once per month or as incurred by the Employer's Employees. The log must include:

- ✓ the date
- ✓ daily start and stop odometer readings
- ✓ where the transportation for the Participant is from and to (name of locations - street addresses not required)
- ✓ total miles driven per entry
- ✓ total miles for the month
- ✓ reimbursement rate
- ✓ total due

The complete mileage log should be submitted to Mains'l for processing. If the Employee is submitting the mileage log directly to Mains'l, the form must include the Employee's signature and the Employer's signature. If the Employee is unable to obtain the Employer's signature, the Employee may sign their form and submit to the Employer via email. The Employer will forward the emailed form to Mains'l as their indication of approval.

Mileage log due dates and payments will follow the same payment schedule as vendor invoice payments. Completed and approved mileage forms received by 5pm on Friday, will be processed and paid the following Friday.

If the total due exceeds the amount remaining in the Participant's Spending Plan, Mains'l will reimburse the Employee for the amount available. Mains'l will notify the Employer of the amount that could not be paid, and the Employer will be responsible for reimbursing the difference directly to the Employee. If the Employer chooses to revise the Spending Plan, the mileage reimbursement can be re-submitted to Mains'l once all changes have been approved and the remaining mileage will be paid. Reimbursements to Employees should not be delayed by this process and must be made promptly and in accordance with applicable law.

California law requires Employees receive reimbursement for reasonable and necessary business expenses, including mileage driven in the course of business other than their daily commute.

Employee Resignation/Termination Policy

Unless the Employer provides an individual, negotiated agreement executed by their Employee that states otherwise, the employment relationship with the Employee is at will. The policy of at-will employment means that employment is voluntarily entered into, and the Employee is free to resign at will at any time, with or without notice or cause. The policy also means that the Employee may be terminated at will at any time, with or without notice or cause.

The Employer must instruct its Employees that it requires them to provide advance written notice of their intent to resign. It should include the date the notice is given, the last day of work, the reasons for the resignation and the Employee's forwarding address. The Employer must notify their Mains'l Support Specialist of the Employee's resignation immediately so the final paycheck can be processed properly.

The final paycheck will be processed in accordance with applicable legal requirements (which, for instance, in California would need to be paid on the Employee's last day of work for an involuntary termination).

Employees Terminated for Performance/Misconduct

The Employer may terminate an Employee. However, the Employer must follow the Employee management policy to document the factors leading up to the termination, corrective measures taken, and final reason for termination. The Employer should furnish Employees with the limited, required written notification of their termination and provide the notice to their Mains'l Support Specialists as well.

Prior to an Employer terminating an employee, they must contact their Mains'l Support Specialist to begin preparations for final the Employees final paycheck.

Inactive Employees

Periodically, Mains'l will request that the Employer review their list of active Employees and remove Employees who are no longer active with the last six (6) months. If an Employee is re-hired more than six (6) months, they are considered a new Employee and must follow the new hire policy before beginning work.

Process for Employers and Mains'l Representatives

The Employer should notify their Mains'l Support Specialist of any changes in employment status (whether for inactivity, resignation, or termination).

Information Verification and Documentation Procedure

- **Regulatory and Oversight Requests:** Mains'l will cooperate with authorized requests for audits, reviews, records, documentation, and information from Regional Centers, DDS, and other applicable regulatory or oversight entities.
- **Verification of Information:** Mains'l may review, validate, or confirm information before responding to a request to ensure the accuracy and completeness of the information provided. Additional documentation or clarification may be requested from participants, managing parties, employers, employees, or other involved parties when necessary.
- **Workers' Compensation:** Mains'l will cooperate with authorized workers' compensation carriers, administrators, and other involved parties in the review, verification, and administration of workers' compensation claims and related matters. This may include providing employment, payroll, wage, or other relevant records as permitted or required by law.

- **Employment and Wage Verification:** Mains'l will assist employers and employees with requests to verify employment, wages, hours worked, or other employment-related information maintained as part of FMS services. Requests must be submitted in writing. Mains'l does not provide verbal employment verifications or verbally disclose employee information in response to verification requests. Mains'l may refer requests to the employer when the requested information is not maintained by Mains'l or requires confirmation of employment matters outside Mains'l's role as the FMS provider.
- **Authorization to Release Information:** When required, Mains'l will obtain an appropriate authorization or release of information from the employee before disclosing employment, wage, or other confidential employee information to a third party. Mains'l may request additional documentation to verify the identity and authority of the requesting party.
- **Participant and Employer Cooperation:** Participants, managing parties, and employers may be asked to provide documentation, clarification, or additional information to support audits, reviews, verifications, or other authorized requests. Mains'l expects timely cooperation when additional information is necessary to fulfill FMS responsibilities.
- **Response to Requests:** Mains'l will make reasonable efforts to respond to requests in a timely manner. Response times may vary depending on the nature of the request, the information being requested, and whether additional verification, documentation, or authorization is needed.

Mains'l may request clarification, supporting documentation, or appropriate authorization before releasing information. Information will only be disclosed to parties authorized to receive it, consistent with applicable laws and program requirements.

Special Incident Reporting Policy

Mains'l is committed to supporting the health, safety, well-being, and rights of all participants receiving Financial Management Services (FMS) through California's Self-Determination Program (SDP).

A Special Incident Report (SIR) is a formal report used to notify a regional center of certain events or concerns that may affect a participant's health, safety, or rights.

As an FMS provider, Mains'l does not provide direct care or supervise the day-to-day delivery of services. However, when Mains'l becomes aware of a potential reportable special incident, Mains'l will take appropriate steps to document and report the information to the participant's regional center in accordance with applicable reporting requirements.

Special Incident Reporting Procedure

1. Reporting an Incident to Mains'l

Participants, managing parties, employers, employees, family members, service providers, and other individuals must notify Mains'l of an incident or concern involving a participant.

Examples of incidents that may require reporting include, but are not limited to:

- Serious injuries, medical emergencies, or unplanned hospitalizations.
- Death of a participant.
- Missing persons or situations involving significant safety concerns.
- Suspected abuse, neglect, mistreatment, or financial exploitation.

- Suspected violations of a participant's rights.
- Other incidents that meet the California Department of Developmental Services (DDS) reporting requirements.

Individuals should notify Mains'l as soon as possible when they become aware of a potential reportable incident.

2. Mains'l Reporting Responsibilities

When Mains'l becomes aware of a potential reportable special incident, Mains'l will review the information provided and determine whether a Special Incident Report is required.

For incidents determined to be reportable, Mains'l will:

- Notify the participant's regional center service coordinator verbally within 24 hours of becoming aware of the incident.
- Submit a written Special Incident Report to the appropriate regional center within 48 hours of becoming aware of the incident.
- Document the information received and any reporting actions taken.
- Cooperate with the regional center and other appropriate authorities regarding requests for additional information or follow-up.

Mains'l may contact the participant, managing party, employer, or reporting individual to request additional information needed to complete the report.

3. Participant Rights and Safety

Mains'l recognizes the importance of respecting each participant's dignity, privacy, independence, and right to make decisions about their services.

Special incidents will be documented objectively and respectfully, using the information available to Mains'l. Information related to a reported incident will be handled confidentially and shared only as permitted or required by applicable law and reporting requirements.

Mains'l will cooperate with the participant, their chosen representatives, regional center, and other appropriate parties to support required reporting and follow-up activities while respecting the participant's rights and preferences.

4. Emergency Situations and Other Reporting Responsibilities

Mains'l is not an emergency response provider. If an individual is experiencing an immediate medical emergency or is in immediate danger, emergency services should be contacted by calling 911.

Reporting an incident to Mains'l does not replace any other reporting responsibilities that may apply to employers, employees, service providers, or other individuals, including mandated reporting obligations.

Participants and other individuals may also report concerns directly to their regional center or other appropriate authorities.

Mains'l will fulfill its reporting responsibilities when it becomes aware of a reportable special incident, regardless of whether the incident has been reported by another individual or organization.

Workplace Injuries & Workers' Compensation Policy

Mains'l maintains workers' compensation insurance coverage for employees working through its California Financial Management Services (FMS) program. This coverage is provided automatically upon hire, regardless of the employee's relationship to their employer. No additional enrollment or documentation is required to obtain coverage.

Reporting Workplace Injuries or Illnesses

All work-related injuries or illnesses must be reported to Mains'l within 24 hours of the incident or becoming aware of the injury or illness, regardless of how minor they may appear.

Either the employee or the employer is responsible for notifying the Mains'l Support Specialist within this timeframe. Both employees and employers are expected to cooperate in the reporting process and complete and submit all requested forms, paperwork, and supporting documentation within the required timeframes.

Prompt reporting and completion of required documentation are essential to ensure that workplace injuries and illnesses are properly documented and that the workers' compensation claims process can begin without unnecessary delays.

Workers' Compensation Claims Process

Upon notification of a workplace injury or illness, Mains'l will assist with initiating a workers' compensation claim through its insurance provider or claims administrator.

Mains'l will provide guidance and assistance with required reporting forms and documentation as needed. Employees and employers are responsible for providing accurate and complete information, submitting all requested paperwork, and responding promptly to requests for additional documentation or information from Mains'l, the insurance provider, claims adjusters, or other authorized representatives.

Workers' compensation claims and eligibility for benefits are determined in accordance with applicable California workers' compensation laws and insurance requirements.

Reporting Resources and Documentation

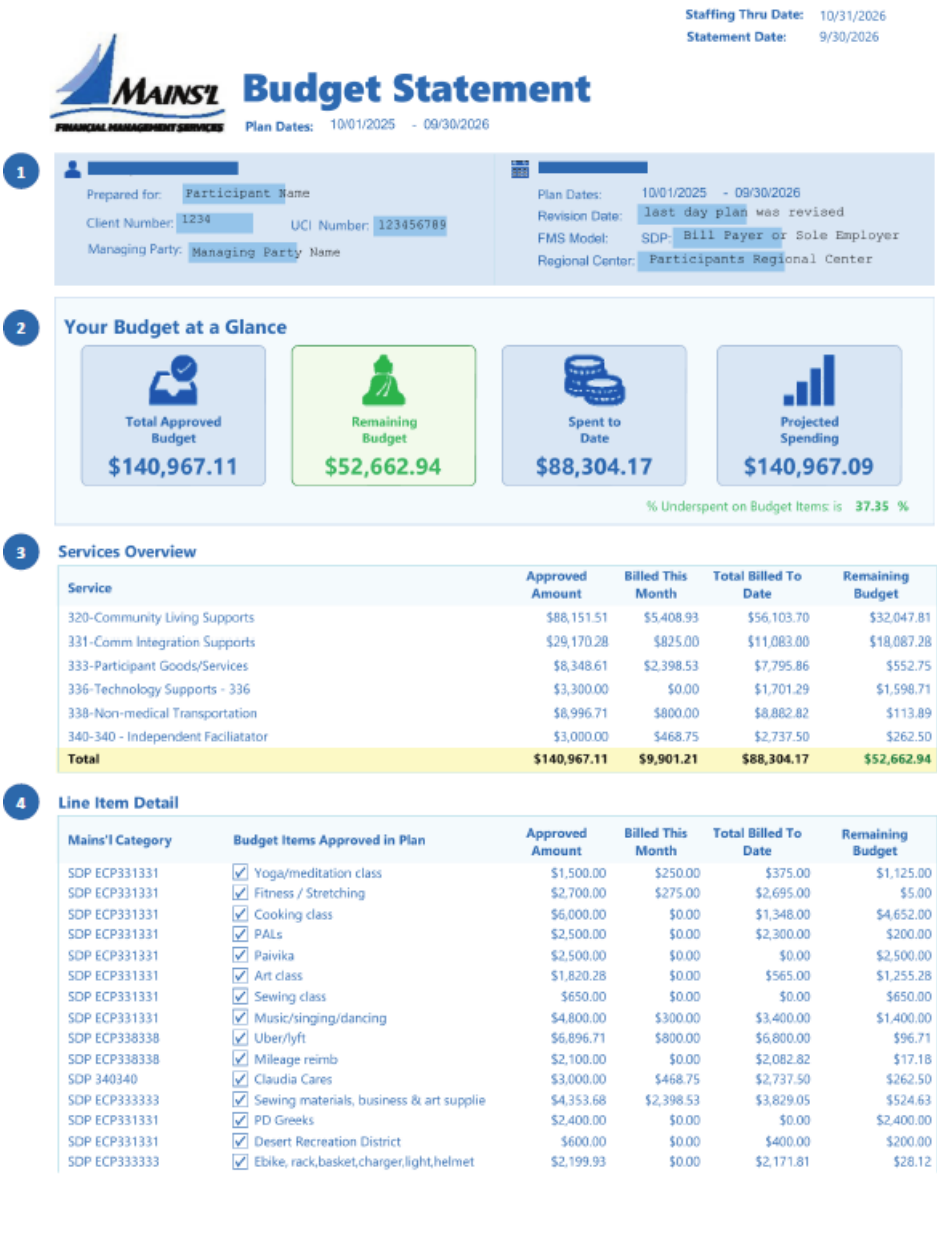
Information and resources for reporting workplace injuries, completing required documentation, and understanding the workers' compensation reporting process are available on the Mains'l California FMS Resources page:

https://www.mainsl.com/california/fms-resources/

Employees and employers may also contact their Mains'l Support Specialist for assistance with reporting an injury or navigating the claims process.

Fraudulent Claims

Employees and Employers are expected to provide truthful and accurate information when reporting workplace injuries or illnesses and throughout the claims process. Knowingly submitting fraudulent workers' compensation claims or intentionally providing false information may result in fraud reporting and may include termination of FMS services through Mains'l.



Staffing Thru Date: 10/31/2026
Statement Date: 9/30/2026

MAINS'L FINANCIAL MANAGEMENT SERVICES

Budget Statement

Plan Dates: 10/01/2025 - 09/30/2026

1

Prepared for: Participant Name
Client Number: 1234 UCI Number: 123456789
Managing Party: Managing Party Name

Plan Dates: 10/01/2025 - 09/30/2026
Revision Date: last day plan was revised
FMS Model: SDP- Bill Payer or Sole Employer
Regional Center: Participants Regional Center

2 **Your Budget at a Glance**

Total Approved Budget	Remaining Budget	Spent to Date	Projected Spending
$140,967.11	$52,662.94	$88,304.17	$140,967.09

% Underspent on Budget Items is 37.35 %

3 **Services Overview**

Service	Approved Amount	Billed This Month	Total Billed To Date	Remaining Budget
320-Community Living Supports	$88,151.51	$5,408.93	$56,103.70	$32,047.81
331-Comm Integration Supports	$29,170.28	$825.00	$11,083.00	$18,087.28
333-Participant Goods/Services	$8,348.61	$2,398.53	$7,795.86	$552.75
336-Technology Supports - 336	$3,300.00	$0.00	$1,701.29	$1,598.71
338-Non-medical Transportation	$8,996.71	$800.00	$8,882.82	$113.89
340-340 - Independent Facilitator	$3,000.00	$468.75	$2,737.50	$262.50
Total	**$140,967.11**	**$9,901.21**	**$88,304.17**	**$52,662.94**

4 **Line Item Detail**

Mains'l Category	Budget Items Approved in Plan	Approved Amount	Billed This Month	Total Billed To Date	Remaining Budget
SDP ECP331331	☑ Yoga/meditation class	$1,500.00	$250.00	$375.00	$1,125.00
SDP ECP331331	☑ Fitness / Stretching	$2,700.00	$275.00	$2,695.00	$5.00
SDP ECP331331	☑ Cooking class	$6,000.00	$0.00	$1,348.00	$4,652.00
SDP ECP331331	☑ PALs	$2,500.00	$0.00	$2,300.00	$200.00
SDP ECP331331	☑ Paivika	$2,500.00	$0.00	$0.00	$2,500.00
SDP ECP331331	☑ Art class	$1,820.28	$0.00	$565.00	$1,255.28
SDP ECP331331	☑ Sewing class	$650.00	$0.00	$0.00	$650.00
SDP ECP331331	☑ Music/singing/dancing	$4,800.00	$300.00	$3,400.00	$1,400.00
SDP ECP338338	☑ Uber/lyft	$6,896.71	$800.00	$6,800.00	$96.71
SDP ECP338338	☑ Mileage reimb	$2,100.00	$0.00	$2,082.82	$17.18
SDP 340340	☑ Claudia Cares	$3,000.00	$468.75	$2,737.50	$262.50
SDP ECP333333	☑ Sewing materials, business & art supplie	$4,353.68	$2,398.53	$3,829.05	$524.63
SDP ECP331331	☑ PD Greeks	$2,400.00	$0.00	$0.00	$2,400.00
SDP ECP331331	☑ Desert Recreation District	$600.00	$0.00	$400.00	$200.00
SDP ECP333333	☑ Ebike, rack,basket,charger,light,helmet	$2,199.93	$0.00	$2,171.81	$28.12

SAMPLE

Statement explained

Numbers match the reading guide.

1 Participant and plan details

Check the participant details and the plan dates. The statement and staffing dates appear at the top right.

2 Your Budget at a Glance

Four cards show the approved budget, remaining budget, spending so far and projected spending. See guide page 1 for each meaning.

3 Services Overview

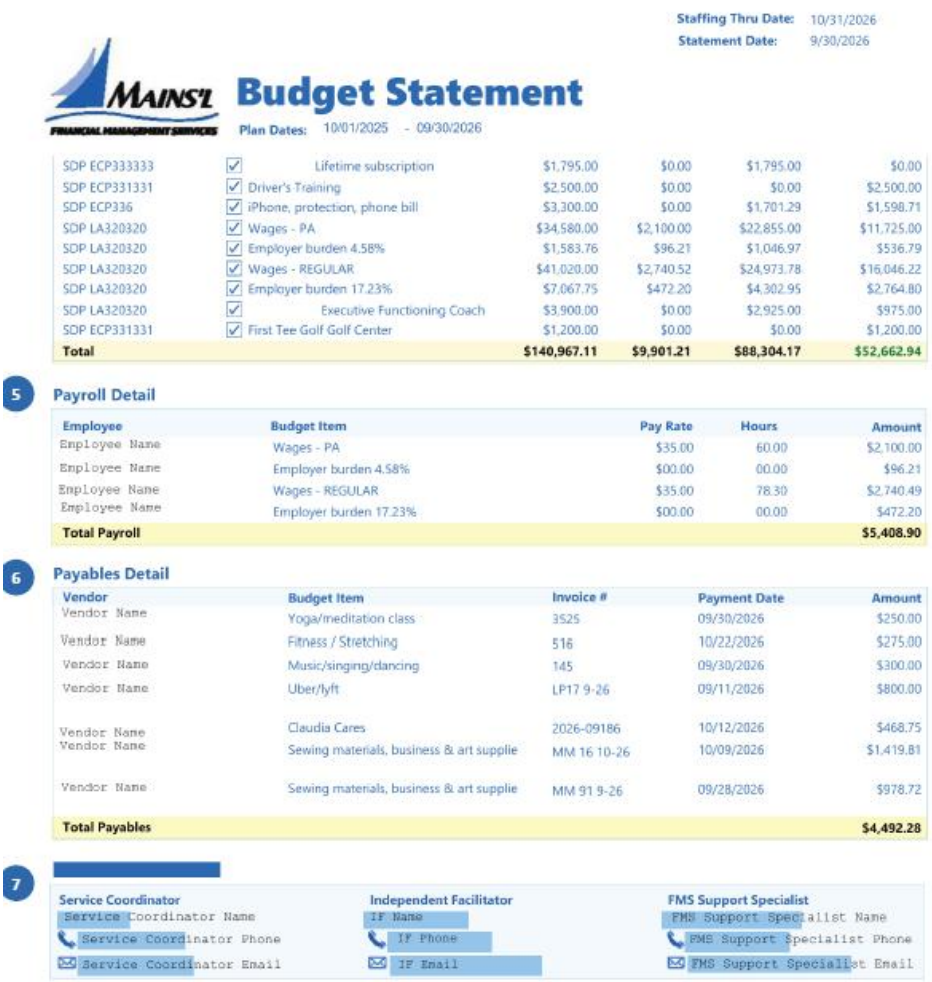
Service codes group related budget items. Read across a row to compare approval, monthly charges, spending to date and the balance left.

4 Line Item Detail

Find each approved item and its balance. This table continues on the next page. See guide page 2 for a worked example.

Reading the sample
The source statement is shown at its original size. These notes sit outside its layout; all visible sample figures are unchanged.

SAMPLE | 1 / 2



Staffing Thru Date: 10/31/2026
Statement Date: 9/30/2026

MAINSL FINANCIAL MANAGEMENT SERVICES

Budget Statement

Plan Dates: 10/01/2025 - 09/30/2026

SDP ECP333333	☑ Lifetime subscription	$1,795.00	$0.00	$1,795.00	$0.00
SDP ECP331331	☑ Driver's Training	$2,500.00	$0.00	$0.00	$2,500.00
SDP ECP336	☑ iPhone, protection, phone bill	$3,300.00	$0.00	$1,701.29	$1,598.71
SDP LA320320	☑ Wages - PA	$34,580.00	$2,100.00	$22,855.00	$11,725.00
SDP LA320320	☑ Employer burden 4.58%	$1,583.76	$96.21	$1,046.97	$536.79
SDP LA320320	☑ Wages - REGULAR	$41,020.00	$2,740.52	$24,973.78	$16,046.22
SDP LA320320	☑ Employer burden 17.23%	$7,067.75	$472.20	$4,302.95	$2,764.80
SDP LA320320	☑ Executive Functioning Coach	$3,900.00	$0.00	$2,925.00	$975.00
SDP ECP331331	☑ First Tee Golf Golf Center	$1,200.00	$0.00	$0.00	$1,200.00
Total		**$140,967.11**	**$9,901.21**	**$88,304.17**	**$52,662.94**

5 **Payroll Detail**

Employee	Budget Item	Pay Rate	Hours	Amount
Employee Name	Wages - PA	$35.00	60.00	$2,100.00
Employee Name	Employer burden 4.58%	$00.00	00.00	$96.21
Employee Name	Wages - REGULAR	$35.00	78.30	$2,740.49
Employee Name	Employer burden 17.23%	$00.00	00.00	$472.20
Total Payroll				**$5,408.90**

6 **Payables Detail**

Vendor	Budget Item	Invoice #	Payment Date	Amount
Vendor Name	Yoga/meditation class	3525	09/30/2026	$250.00
Vendor Name	Fitness / Stretching	516	10/22/2026	$275.00
Vendor Name	Music/singing/dancing	145	09/30/2026	$300.00
Vendor Name	Uber/lyft	LP17 9-26	09/11/2026	$800.00
Vendor Name	Claudia Cares	2026-09186	10/12/2026	$468.75
Vendor Name	Sewing materials, business & art supplie	MM 16 10-26	10/09/2026	$1,419.81
Vendor Name	Sewing materials, business & art supplie	MM 91 9-26	09/28/2026	$978.72
Total Payables				**$4,492.28**

7

Service Coordinator	Independent Facilitator	FMS Support Specialist
Service Coordinator Name	IF Name	FMS Support Specialist Name
Service Coordinator Phone	IF Phone	FMS Support Specialist Phone
Service Coordinator Email	IF Email	FMS Support Specialist Email

ANNOTATED SAMPLE

Statement explained

Numbers match the reading guide.

Line Item Detail continues at the top of this page.

5 Payroll Detail

Review wages, paid hours and related employer costs. Employer burden appears separately from employee wages.

6 Payables Detail

Match vendor payments to budget items. Use the invoice number, payment date and amount to identify a payment.

7 Your support contacts

Use the contact information at the bottom of the statement when you need help understanding a charge or balance.

Sample values to confirm
Dates and small totals differ in the source. See guide page 3; original values are retained.

SAMPLE | 2 / 2

Spending Summary Distribution Policy

Mains'l is committed to providing participants and managing parties with timely and accurate spending summaries to support informed decision-making and effective management of their approved Spending Plans.

Mains'l will provide monthly spending summaries to participants, managing parties, and Regional Centers. Additional spending summaries may be provided throughout the month following the completion of payroll cycles.

Spending summaries will be distributed using the contact information maintained by Mains'l. Participants and managing parties may request additional summaries at any time and may share their spending summaries with others of their choosing.

Spending Summary Distribution Procedure

Monthly Spending Summaries

Mains'l will distribute month-end spending summaries no later than the 25th the month following the close of the applicable payroll cycle.

Monthly summaries will reflect the most current processed expenditures and available spending plan balances for the applicable reporting period.

Mid-Month Spending Summaries

Mains'l may distribute additional spending summaries following the close of each payroll cycle. These summaries provide participants and managing parties with updated spending information throughout the month to assist with ongoing budget monitoring.

Distribution to Participants and Managing Parties

- Spending summaries will be sent to the primary email address on file with Mains'l for the participant or managing party.
- Participants or managing parties who do not have an email address or prefer not to receive summaries electronically will receive a mailed copy at the mailing address on file.
- Participants and managing parties are responsible for notifying Mains'l of any changes to their contact information or preferred delivery method.

Distribution to Regional Centers

Mains'l will distribute spending summaries to Regional Centers once per month. Summaries will be sent directly to the Service Coordinator identified in Mains'l records for each participant.

Distribution to California Department of Developmental Services

Mains'l will upload spending summaries monthly to the Navigation Plus Portal, no less than once per month. Summaries will be available to the DDS through the portal for all participants utilizing the Self-Determination Program with Mains'l.

Additional Spending Summary Requests

Participants, managing parties, Regional Centers, and DDS may request a spending summary at any time by contacting Mains'l.

Requested summaries will reflect the most current financial information available at the time the summary is prepared.

Distribution to Independent Facilitators and Other Third Parties

Mains'l will not automatically distribute spending summaries to Independent Facilitators or other third parties outside of the participant, managing party, or Regional Center.

Participants and managing parties have the right to share their spending summaries with Independent Facilitators, service providers, or any other individuals of their choosing.

Questions and Assistance

Participants and managing parties who have questions regarding their spending summaries, wish to request an additional summary, or need to update their delivery preferences should contact their assigned Mains'l FMS Support Specialist.

How to Read Your Budget Statement

Use this guide with the sample. Numbers 1-7 match the notes beside the sample statement.

1 Participant and plan information

Start by checking the participant name, Client Number, UCI Number, Managing Party, Regional Center and FMS Model. The Revision Date tells you when the plan was last revised.

Check the dates

Plan Dates show the period covered by the plan. **Statement Date** is the statement's reporting date. **Staffing Thru Date** is the date shown for staffing information. Check these separately; they may differ.

2 Your Budget at a Glance

Total Approved Budget - $140,967.11
The total amount approved in the plan.

Remaining Budget - $52,662.94
The amount left after spending recorded to date. In this sample: $140,967.11 minus $88,304.17 equals $52,662.94.

Spent to Date - $88,304.17
Spending recorded so far in the plan period, rather than only the current month.

Projected Spending - $140,967.09
An estimate of spending. It is separate from spending already recorded. Ask your FMS Support Specialist which time period and assumptions the projection uses.

% Underspent on Budget Items - 37.35%
Compares recorded spending with projected spending. A positive percentage means underspent; a negative percentage means overspent relative to the projection. It is not an additional dollar balance.

Before planning a new purchase
Check the approved budget item and its remaining amount, and consider any expenses that have not yet appeared on the statement.

Find where your money is going

Read the service totals first, then find the individual approved items underneath.

3 Services Overview

This table groups spending by service code and service name. For example, **320-Community Living Supports** brings related items together. Use it to see the bigger picture.

4 Line Item Detail

This table lists individual **Budget Items Approved in Plan**. It starts on sample page 1 and continues on sample page 2.
Mains'l Category is the code used to identify the item's category.

The four money columns

Approved Amount

The total approved for the service or budget item.

Billed This Month

The amount charged to that service or item in the reporting month.

Total Billed To Date

The total charged to that service or item so far in the plan period. This already includes the current month; do not add the two columns together.

Remaining Budget

The approved amount minus the amount billed to date.

Try one row: Yoga/meditation class
Approved Amount: **$1,500.00**
Billed This Month: **$250.00**
Total Billed To Date: **$375.00**
Remaining Budget: **$1,125.00**
The check: $1,500.00 - $375.00 = $1,125.00.

Look for low balances. Fitness / Stretching has $5.00 remaining in the sample. Review the specific item before arranging more services, even when the overall budget still has funds left.

Check payments and ask questions

Use the detail tables to understand the charges behind your budget totals.

5 Payroll Detail

Shows employee pay and related employer costs listed on the statement. **Employee** identifies who was paid. **Budget Item** shows the item charged. **Pay Rate** is the hourly rate, **Hours** is the number of paid hours, and **Amount** is the charge to the budget.

Example: Wages - PA shows $35.00 per hour x 60.00 hours = $2,100.00. **Employer burden** means related employer costs, such as payroll taxes and other employment costs. These appear on separate lines; a zero rate or zero hours on a burden line does not mean the charge is zero.

6 Payables Detail

Shows payments to vendors and purchases. **Vendor** identifies the payee. **Budget Item** shows the item charged. **Invoice #** helps identify the bill, **Payment Date** shows when the payment was made, and **Amount** shows the payment total.

Example: Yoga/meditation class lists invoice 3525, payment date 09/30/2026 and amount $250.00. More than one payment can be charged to the same budget item.

7 Your support contacts

Find your **Service Coordinator**, **Independent Facilitator** and **FMS Support Specialist** at the bottom of sample page 2. For a statement question, start with your FMS Support Specialist. Have the statement date, budget item, amount and invoice number (if any) ready.

A note about the supplied sample
All sample figures and dates are preserved. Statement Date is 09/30/2026; Staffing Thru Date is 10/31/2026, and some payments are dated in October. The $9,901.21 monthly summary is $0.03 higher than Total Payroll plus Total Payables ($9,901.18). The displayed 37.35% underspent also differs slightly from the 37.36% obtained by comparing the displayed projection and spending. Ask support to confirm these differences and reporting periods.

Spending Plan Revisions Policy

Mains'l recognizes that a Participant's services, needs, and funding allocations may change during an approved Spending Plan period. When changes are necessary, a Spending Plan revision may be required to ensure that services and expenditures remain consistent with the Participant's approved budget and Regional Center authorization.

All Spending Plan revisions must be properly documented, reviewed, and authorized before Mains'l can implement changes to the Participant's budget.

Reasons for Spending Plan Revisions

A Spending Plan revision may be required for changes including, but not limited to:

- Moving or reallocating funds between service codes or within the same service code.
- Adding, removing, or modifying approved services.
- Changes to employee or service provider rates.
- Changes to approved funding amounts, service allocations, or budget details.
- Changes to providers, vendors, or service arrangements that require an update to the Spending Plan or Regional Center authorization.

Participants and Managing Parties should communicate anticipated changes to Mains'l as early as possible to allow sufficient time for review, approval, and processing.

Required Documentation and Approvals

Before a Spending Plan revision can be implemented, Mains'l must receive and verify the applicable documentation, which may include:

- A revised Spending Plan reflecting the requested changes signed by the Participant or Managing Party and Regional Center, if required by the Participants Regional Center.
- A corresponding revised Purchase of Service (POS) authorization or other written Regional Center authorization supporting the approved changes, if applicable.
- Additional supporting documentation, including a current Individual Program Plan (IPP), when necessary to clarify the requested changes.
- If the participant's Regional Center does not require an updated spending plan, Mains'l will request written approval for all changes to ensure proper authorization and documentation.

Mains'l cannot implement changes based solely on verbal requests, unsigned or unapproved Spending Plans, or requests from Participants or Managing Parties without the required collaboration with Regional Center.

Written Regional Center approval is required for movement or reallocation of funds when applicable, including transfers within the same service code.

All required approvals must be received and verified before changes can be made to the Participant's budget.

Participant and Managing Party Responsibilities

Participants and Managing Parties are responsible for actively participating in the Spending Plan revision process.

Responsibilities include:

- Communicating requested changes to services, funding allocations, employee or provider rates, or other Spending Plan details.
- Identifying the requested effective date of the changes.
- Providing complete and accurate information and supporting documentation.
- Reviewing and signing the revised Spending Plan when required.
- Working with the Regional Center and Independent Facilitator, when applicable, to obtain necessary approvals.
- Responding promptly to requests from Mains'l or the Regional Center for additional information, corrections, or clarification.
- Communicating any time-sensitive service needs or potential impacts on employees, vendors, or service providers.

Participants and Managing Parties should not authorize expenditures or service changes based on a proposed revision until the required approvals have been received and Mains'l has confirmed implementation.

Review and Processing of Spending Plan Revisions

Upon receiving a revised Spending Plan, Mains'l will review the documentation within three (3) business days to verify accuracy, completeness, and consistency with the requested changes.

Mains'l will compare the revised Spending Plan with the current approved budget and corresponding Regional Center authorization to verify that service codes, funding amounts, rates, and effective dates are accurate and consistent.

If discrepancies, missing information, or additional approval requirements are identified, Mains'l will notify the Participant or Managing Party and/or Regional Center and request the necessary corrections or documentation.

Once all required documentation and authorizations have been received and verified, Mains'l will update the Participant's budget and applicable systems within one (1) business day.

Processing timelines may be extended when additional documentation, clarification, or Regional Center approval is required.

Changes That Cannot Be Processed

Mains'l cannot implement a requested revision when:

- Required Regional Center approval has not been received.
- The revised Spending Plan and POS authorization do not match.
- Required documentation or signatures are missing.
- Requested funding changes exceed or conflict with the amounts authorized by the Regional Center.

- Requested funding changes exceed or conflict with amounts already utilized from the budget.
- The requested change does not meet applicable program requirements.

If a revision cannot be processed, Mains'l will communicate the outstanding requirements and next steps to the Participant or Managing Party and Regional Center.

Until a revision is properly authorized and implemented, the existing approved Spending Plan and budget remain in effect.

A pending revision does not automatically result in suspension of services. However, if insufficient funding or authorization prevents services from continuing, Mains'l may review the circumstances under its Suspension of Services Policy.

Communication and Confirmation

Mains'l will respond to revision-related communications or take the next appropriate action within three (3) business days.

This includes requests for documentation, clarification of proposed changes, notification of discrepancies, and communication regarding outstanding approvals.

The three-business-day timeframe does not guarantee that a revision will be completed or approved within that period when additional information or authorization is required.

Once an approved revision has been implemented, Mains'l will notify the Participant or Managing Party and Regional Center within three (3) business days.

The notification will identify the approved changes, applicable effective date, and any outstanding actions or requirements.

Participants and Managing Parties should contact their assigned Mains'l Support Specialist with questions regarding proposed revisions, required documentation, or the status of a Spending Plan revision.

Renewal of Services and Spending Plans

Mains'l requires all California Self-Determination Program (SDP) Participants to complete the Spending Plan renewal process before the start of each new budget period. Timely renewal is necessary to maintain authorized services, ensure accurate funding, and prevent interruptions in services or payments.

Renewal Notifications and Timeline

Mains'l will begin communicating with Participants, Managing Parties, and Regional Centers approximately two (2) months before the current Spending Plan expires.

Renewal notifications will be sent approximately two (2) months and one (1) month before the end of the current budget period. These notifications will identify the required renewal documentation and applicable submission deadlines.

Mains'l must receive the completed and signed Spending Plan and corresponding Regional Center Purchase of Service (POS) authorization by the 15th of the month before the new budget period begins.

Submitting the required documentation by this deadline allows Mains'l time to review, verify, and enter the renewed budget before the new Spending Plan period begins.

Required Renewal Documentation

The following documentation is required as part of the renewal process:

- **Signed Spending Plan:** A completed and signed Spending Plan identifying the approved services, service codes, funding amounts, and effective dates for the new budget period.
- **Regional Center Authorization (POS):** A corresponding Regional Center authorization that matches the approved Spending Plan, including authorized services, service codes, funding amounts, and effective dates.
- **Individual Program Plan (IPP):** Mains'l will request a copy of the Participant's current IPP as part of the renewal process.
- **Annual HCBS Settings Assessment:** Mains'l will request documentation confirming completion of the Regional Center's annual assessment of compliance with Home and Community-Based Services (HCBS) settings requirements.

The signed Spending Plan and matching Regional Center authorization must be received and verified before Mains'l can complete the budget renewal.

If the current IPP has not been received, Mains'l will continue requesting the documentation from the Participant, Managing Party, and Regional Center. An outstanding IPP and the Annual HCBS Settings Assessment does not automatically prevent the renewal from being completed when the required Spending Plan and POS authorization have been received and verified.

Participant and Managing Party Responsibilities

Participants and Managing Parties are responsible for actively participating in the renewal process to help prevent interruptions in services.

Responsibilities include:

- Reviewing renewal notices and responding promptly to requests for information or documentation.
- Working with the Regional Center and Independent Facilitator, when applicable, to ensure the Spending Plan is completed and approved.
- Reviewing and signing the renewed Spending Plan.
- Ensuring the corresponding Regional Center authorization is provided to Mains'l by the required deadline.
- Providing the current IPP or assisting Mains'l in obtaining it from the Regional Center.
- Providing the current Annual HCBS Settings Assessment or assisting Mains'l in obtaining it from the Regional Center.
- Communicating changes in services, participant needs, employees, or other information that may affect the renewed Spending Plan.
- Working with Mains'l and the Regional Center to resolve missing documentation, discrepancies, or outstanding approvals.

Failure to provide required renewal documentation by the established deadlines may result in delays or interruptions in services.

Review and Processing of Renewals

Upon receiving renewal documentation, Mains'l will review the Spending Plan and Regional Center authorization to verify that the approved services, service codes, funding amounts, and effective dates are accurate and consistent.

If discrepancies or missing information are identified, Mains'l will communicate the concerns to the Managing Party and Regional Center and request clarification or corrected documentation.

Mains'l cannot process or authorize funding for services or amounts that have not been approved by the Regional Center.

Once all required documentation has been received and verified, Mains'l will complete the necessary budget and employee updates in its systems to support services and timesheet entry for the new budget period.

Mains'l will communicate renewal completion to the Participant or Managing Party and Regional Center.

Delayed Renewals and Suspension of Services

If the signed Spending Plan and matching Regional Center authorization are not received in time to complete the renewal, services may be subject to suspension.

When required documentation remains outstanding after the 15th of the month before renewal, Mains'l will issue a final reminder identifying the missing documentation and requesting submission as soon as possible.

If the renewal cannot be completed by the required processing deadline, Mains'l will review the situation to determine whether suspension is necessary.

Any suspension requires review and approval by Mains'l Senior Management.

When a suspension is approved, Mains’l will issue a Notice of Suspension to the Managing Party, Regional Center, and active employees on the last day of the month.

Mains’l cannot authorize funding for services outside an approved Spending Plan or Regional Center authorization.

Participants and Managing Parties are encouraged to submit renewal documentation as early as possible to prevent interruptions in services and employee payments.

Communication and Assistance

Mains’l will respond to renewal-related questions, documentation requests, discrepancies, and other communications within three (3) business days.

This timeframe represents Mains’l's responsibility to respond or take the appropriate next action. It does not guarantee resolution within three business days when additional documentation, clarification, or approval is required from the Participant, Managing Party, Regional Center, or another party.

Participants and Managing Parties should contact their assigned Mains’l Support Specialist with questions about renewal requirements, outstanding documentation, or the status of their Spending Plan renewal.

Suspension of Services Policy

Mains'l may temporarily suspend Financial Management Services (FMS) for Participants in California's Self-Determination Program (SDP) when services cannot continue due to insufficient funding, missing or expired authorizations, or other circumstances that prevent compliance with applicable program requirements.

Suspension is intended to protect program integrity, maintain fiscal accountability, prevent unauthorized payments, and allow time for outstanding issues to be resolved without immediately terminating services.

Reasons for Suspension

Services may be suspended for reasons including, but not limited to:

- Written notification from the Regional Center directing Mains'l to suspend services.
- Insufficient available funding, including the exhaustion or overuse of an individual service code or the Participant's total approved budget.
- Missing, expired, paused, or pending Regional Center Purchase of Service (POS) authorizations.
- Missing, expired, or unapproved Spending Plans, including delays in required renewals or revisions.
- Failure to provide documentation necessary to authorize or continue services.
- Noncompliance with applicable federal, state, Regional Center, or program requirements.
- Failure to comply with applicable labor laws or Mains'l policies and procedures.
- Credible evidence or reasonable suspicion of fraud, waste, or abuse requiring further review.

Mains'l will review the circumstances surrounding a potential suspension and communicate with the appropriate parties regarding outstanding requirements and next steps.

Notification of Suspension

When a suspension is necessary, Mains'l will provide written notification to the Managing Party and Regional Center.

The notification will include:

- The reason for the suspension.
- The effective date of the suspension.
- The requirements or actions necessary for services to be reinstated.

Mains'l will also provide written notification to all active employees associated with the Participant's Spending Plan, advising them that services and payroll processing will be paused during the suspension period.

Employer and Managing Party Responsibilities

Upon receiving a Notice of Suspension, the Employer or Managing Party is responsible for:

- Ensuring all employees are informed that authorized services must stop during the suspension period.
- Communicating the effective date of the suspension to employees.

- Ensuring employees do not continue providing services during the suspension.
- Notifying vendors and service providers when the suspension affects scheduled services or payments.
- Working with Mains'l and the Regional Center to resolve outstanding funding, authorization, or documentation requirements.
- Providing any updated Spending Plans, authorizations, or other documentation necessary to reinstate services.

Services performed during a suspension are not authorized for payment through Mains'l. The Employer remains responsible for complying with applicable wage and hour laws, including obligations related to work performed.

Payments During Suspension

During a suspension, Mains'l will place the Participant's budget on hold and pause payment processing for services affected by the suspension.

- Payroll processing for affected services will be paused during the suspension period.
- New purchases and vendor payments associated with suspended services will not be processed.
- Invoices submitted during the suspension will be reviewed once services are reinstated and may only be paid when appropriate funding and authorization are available.
- Payment for services provided before the effective suspension date will be handled in accordance with applicable program requirements, available funding, and wage payment obligations.

Participants, Employers, and Managing Parties must not authorize additional services or expenditures against a suspended budget until Mains'l confirms that services have been reinstated.

Monitoring and Follow-Up

Mains'l will monitor suspended accounts and communicate with the Managing Party and Regional Center regarding outstanding requirements and the status of the suspension.

If a suspension continues for more than fourteen (14) days without an update, Mains'l will follow up with the Managing Party and Regional Center.

If services remain inactive for ninety (90) days or longer, Mains'l will conduct an additional management review to determine whether further assistance, continued suspension, or other action is appropriate.

Reinstatement of Services

Services may be reinstated once the issues resulting in suspension have been resolved and all required approvals and documentation have been received.

Before reinstating services, Mains'l will verify that:

- A current and approved Spending Plan is in place.
- An active Regional Center authorization supports the services and funding.
- Any outstanding discrepancies or requirements necessary for reinstatement have been resolved.

Once these requirements have been verified, Mains'l will update the Participant's budget and applicable systems to resume authorized services and payment processing.

Mains'l will provide written notification of reinstatement to the Managing Party, Regional Center, and affected employees.

Employees and vendors should not resume services until reinstatement has been confirmed by Mains'l.

Continued Suspension or Termination of Services

If the circumstances preventing services from continuing cannot be resolved, Mains'l will work with the Managing Party and Regional Center to determine appropriate next steps.

When reinstatement is not possible or appropriate, Mains'l may proceed in accordance with its Termination of Services Policy and Procedure.

Mains'l will provide available guidance and coordination to support the Participant and Managing Party through the transition process.

Termination of Services Policy

Mains'l is committed to supporting participants, employers, and managing parties in successfully utilizing Financial Management Services (FMS). When challenges or concerns arise, Mains'l will make reasonable efforts to work collaboratively with the involved parties to address concerns, identify solutions, and support the continuation of services whenever possible.

Participants may choose to discontinue services with Mains'l. Mains'l may also determine that it is necessary to terminate FMS services. When Mains'l initiates termination, the required notice periods and transition procedures outlined in this policy will be followed.

Mains'l will provide at least 60 calendar days' written notice before terminating FMS services for a participant, unless a shorter notice period is necessary due to a health and safety risk identified by the participant's Individual Program Plan (IPP) team or Mains'l's FMS vendorization is being terminated.

The 60-calendar-day notice requirement applies to terminations initiated by Mains'l and does not restrict a participant's right to discontinue services or choose another available FMS provider.

If a shorter notice period is necessary, Mains'l will simultaneously notify the participant's regional center and San Diego Regional Center (SDRC), Mains'l's vendoring regional center.

If Mains'l's FMS vendorization is being terminated under Title 17, California Code of Regulations, Section 54370, Mains'l will provide written notification to each affected participant, their regional center, and SDRC within five business days of receiving written notice of the vendorization termination.

Regardless of which party initiates termination, Mains'l will work with the participant, employer, managing party, and regional center to support transition and minimize disruptions to services.

Termination of Services Procedure

1. Notification of Termination

- For Mains'l-initiated terminations, Mains'l will provide written notice to the Participant, Employer, Managing Party, and Regional Center at least 60 calendar days before the effective termination date, unless an exception described in this policy applies.
- The notice will include the reason for termination, the effective date, relevant next steps, and contact information for transition support.
- When a shorter notice period is necessary due to a health and safety risk identified by the participant's IPP team, Mains'l will simultaneously notify the participant's regional center and SDRC.
- If Mains'l receives written notice that its FMS vendorization is being terminated under Title 17, Section 54370, Mains'l will notify each affected participant, their regional center, and SDRC in writing within five business days.

2. Employer Responsibilities

- The Employer is responsible for notifying all Employees in writing that FMS services are ending and identifying the effective termination date.
- Mains'l will also issue written notice directly to Employees regarding the termination of FMS services and any applicable final payroll information.

3. Vendor Communication and Payment

- The Employer is responsible for notifying vendors that Mains'l will no longer process invoices for services provided after the termination date.
- Mains'l will continue processing eligible invoices and payments for authorized services provided before the termination date, subject to applicable program requirements.
- Invoices for services provided after the termination date will not be paid by Mains'l.

4. Transition Support

- Mains'l will collaborate with the Participant, Employer, Managing Party, and Regional Center to support the transition of FMS services.
- Participants retain the right to choose whether to transition to another available FMS provider.
- Mains'l will provide necessary records and information to support the transition, consistent with applicable requirements and authorizations.

5. Final Financial Reporting and Closeout

- Mains'l will complete all required final payroll processing, vendor payments, tax filings, and other applicable reporting.
- Mains'l will provide final expenditure reports and a year-to-date statement of expenditures to the Participant, their Regional Center, and the California Department of Developmental Services (DDS) no later than 30 calendar days from the participant's last day of service, once all invoices, vendor payments, and taxes have been paid on behalf of the participant, as required by applicable standards.
- Mains'l will complete all final tax returns and other required reporting.
- Applicable service authorizations will be revoked after required tax filings and other reporting have been completed.

Grievance and Complaint Policy

Mains'l is committed to providing quality Financial Management Services (FMS) and maintaining open, respectful communication with participants, employers, employees, and others. We recognize that concerns may arise, and we believe everyone should have the opportunity to share their concerns, ask questions, and have issues addressed fairly and timely.

Participants and their employees have the right to submit grievances or complaints regarding Mains'l services, processes, or staff. Mains'l will take all concerns seriously and work with those involved to understand the issue, identify appropriate solutions, and improve services when needed.

Participants and employees may raise concerns or submit grievances without fear of retaliation or negative treatment for doing so.

Submitting a Grievance or Complaint

Participants, employers, employees, and other applicable parties may submit a grievance or complaint to Mains'l at any time.

Concerns may be shared verbally or in writing, including by telephone, email, or direct communication with Mains'l staff. Individuals may contact their assigned Support Specialist, another Mains'l staff member, or FMS leadership.

Grievances and complaints may also be submitted anonymously. Individuals who prefer not to identify themselves may complete the grievance and complaint form available on the California FMS Resources page of Mains'l's website:

https://www.mainsl.com/california/fms-resources/

Providing contact information is encouraged but not required. Anonymous submissions will be reviewed and addressed based on the information available. When no contact information is provided, Mains'l may be unable to request additional information or provide a written response regarding the resolution.

Mains'l encourages individuals to communicate concerns as they arise so they can be addressed promptly.

A copy of Mains'l's grievance and complaint process will be provided to all participants and is available to any other party upon request.

Review and Resolution of Grievances

Mains'l will review concerns received and determine the appropriate steps to address them. Some complaints may be resolved through direct communication, clarification, or assistance from Mains'l staff. Concerns requiring additional review or investigation will be addressed through the formal grievance process.

When a formal grievance is submitted, Mains'l will:

- Review the concern and gather relevant information from the individuals involved.
- Conduct a fair and confidential investigation.
- Work to identify an appropriate resolution.
- Investigate and resolve the grievance within 60 calendar days of the date it was initially received.

- Provide the participant who submitted the grievance with a written explanation of the outcome and resolution, when contact information is available.

If a grievance is substantiated, Mains'l will develop a corrective action plan to address the identified concern and help prevent similar issues from occurring in the future. The participant will receive a detailed written description of the corrective action plan.

Confidentiality

Mains'l will maintain the confidentiality of grievance investigations and related information in accordance with applicable privacy laws, including California Welfare and Institutions Code Section 4514.

Information will only be shared with individuals who have an appropriate need to participate in the review, investigation, resolution, or required reporting of the grievance.

Complaints Involving Other Individuals or Organizations

Mains'l recognizes that participants may have concerns involving other individuals or organizations supporting their services.

When a grievance or complaint involves an individual or organization outside of Mains'l's responsibility, Mains'l will assist in identifying and providing contact information to the appropriate organization or entity to address the concern.

If a concern also involves Mains'l services or staff, Mains'l will continue to review and address the portion of the concern within its responsibility.

Participant Rights and External Complaint Processes

Participants have the right to raise concerns regarding their services and their rights within California's developmental disabilities service system.

In addition to Mains'l's grievance process, participants may access complaint and appeal processes available through the California Department of Developmental Services (DDS), their Regional Center, or other appropriate entities.

These processes may include complaints involving potential violations of individual rights or appeals related to eligibility and authorized services.

California Department of Developmental Services (DDS)

Office of Community Appeals and Resolutions

Phone: 833-538-3723

Email: Appeals@dds.ca.gov

Website: https://www.dds.ca.gov/general/appeals-complaints-comments/

Mains'l will assist participants in identifying the appropriate complaint process or organization when requested.

Grievance and Complaint Tracking and Reporting

Mains'l will document and track grievances and complaints, including anonymous submissions, to support timely resolution, accountability, and ongoing improvement of services.

Every six months, Mains'l will prepare a report summarizing grievances and complaints received and the actions taken to address them. This report will be provided to DDS, the participant's Regional Center, and the vendoring Regional Center in accordance with applicable requirements.

All grievance and complaint information will be maintained and shared in accordance with applicable confidentiality requirements.

Office of the Developmental Services Ombudsperson

The California Department of Developmental Services (DDS) has an independent Office of the Developmental Services Ombudsperson to help individuals and families who receive services through California's regional center system, including participants in the Self-Determination Program (SDP).

The Ombudsperson is a neutral resource available to help individuals and families understand their rights, access information, and work through questions or concerns related to services.

How Can the Ombudsperson Help?

The Office of the Developmental Services Ombudsperson can assist with:

- Providing information about regional center services and the Self-Determination Program.
- Helping participants and families understand their rights and available service options.
- Answering questions and providing guidance about services.
- Assisting with concerns, disagreements, or challenges related to accessing services.
- Helping individuals and families understand available complaint and appeal processes.
- Connecting individuals and families with additional resources and support.

The Ombudsperson provides neutral assistance and does not make decisions on behalf of participants, represent individuals in appeals, or overturn decisions made through formal hearing processes.

Contacting the Ombudsperson

Participants, families, and other individuals seeking information or assistance may contact the Office of the Developmental Services Ombudsperson directly.

- **Phone (Toll-Free):** 1-877-658-9731
- **Email:** Ombudsperson@dds.ca.gov
- **Website:** https://www.dds.ca.gov/initiatives/office-of-the-ombudsperson/

Contacting the Ombudsperson is voluntary. Information shared with the Office is kept confidential in accordance with applicable laws.

Mains'l encourages participants and employers to communicate directly with our team when questions or concerns arise so we have an opportunity to provide assistance and work toward a resolution. Participants and families may also contact the Ombudsperson independently whenever they would like additional information, guidance, or support. Contacting Mains'l first is not required.

Data Privacy and Privacy of Protected Health Information/HIPAA Policy

Mains'l respects and protects the data we receive and retain to promote service recipient rights. Access, release and duplication of private information is in accordance with federal and state statutes.
All persons who access, use, transfer, or otherwise process information about individuals receiving medical care ("health information") must follow appropriate technical, procedural, and administrative safeguards which are designed to protect against the unauthorized access, use, or disclosure of such health information.
All persons who access, use, transfer, or otherwise process health information are subject to the Privacy Rule and Security Rule of the Health Insurance Portability and Accountability Act as codified in 45 CFR Part 164. Such individuals must be trained on the specific safeguards and restrictions relating to the access, use, or disclosure of such health information.
Health information may only be accessed or used for the purposes specified in the Notice of Privacy Rights which is presented on the day services begin. Any other use will require a signed authorization from the individual (or their guardian) to whom the health information relates.
Individuals to whom health information relates (or their guardians) have the right to access their health information upon request. Any person who maintains health information shall follow reasonable procedures to authenticate the individual and the health information that relates to such an individual before allowing access to health information. This access (including any disclosure to an individual) will be documented as evidence to compliance with 45 CFR 164.528. Any access to health information by a third party must also be documented as a disclosure.
Any subcontractor who has access to health information must be under contract to the Employer where such contract fulfills the requirements of 45 CFR 164.314(a)(2).
In the event of an unauthorized access, modification, destruction, or disclosure of health information (a "Security Breach"), notice must be given to the Employer, the effected individual, Mains'l and the relevant authorities (at a minimum, the Department of Health and Human Services Office of Civil Rights). This notice must be made without unreasonable delay.
In addition to the foregoing, individuals who access, use, or otherwise process heath information must comply with the policies and procedures in the relevant HIPAA compliance program. Failure to adhere to this policy or the HIPAA compliance program will lead to disciplinary actions up to and including termination.

Data Privacy and Privacy of Protected Health Information/HIPAA Procedure

Private data includes all information on persons that Mains'l has gathered for the purpose of offering support.

Notice of Privacy Rights

1. On the day services begin, and annually thereafter, the Mains'l representative gives the Notice of Privacy Practices for Persons Receiving Service document to the Employer and has the Employer sign the Notice of Privacy Practices Acknowledgment of Receipt.
2. The Mains'l's representative files this in the legal/consent section of the Employer's Support Plan.

Sharing Information: Mains'l Employees will require a signed authorization from the Employer in order to share information with third parties, unless otherwise required by law. The Employer or their legal representative has a right to access and review their individual record and may request copies of pages in their record.

Security Breach Notification

Following the discovery of unauthorized access to, use of, or disclosure of health information (a "Breach"), the Regional Center shall be immediately notified.

In the event of an actual Security Breach which has compromised the safeguards noted in this policy, The Covered Entity and the Regional Center shall be provided as soon as practicable, but in any event within 24 hours after such Breach is discovered, a written notice including the identification of each individual whose unsecured health information has been, or is reasonably believed to have been, accessed, acquired, or disclosed during the Breach or suspected Breach.

Mains'l, the Regional Center, and any Covered Entity shall cooperate and shall mutually assist each other so that compliance with any obligations to investigate, remediate, mitigate, report, and or otherwise notify third parties of such Breach is fulfilled.

Preventing Fraud, Abuse, and Waste, of Medicaid and Other Insurances Policy

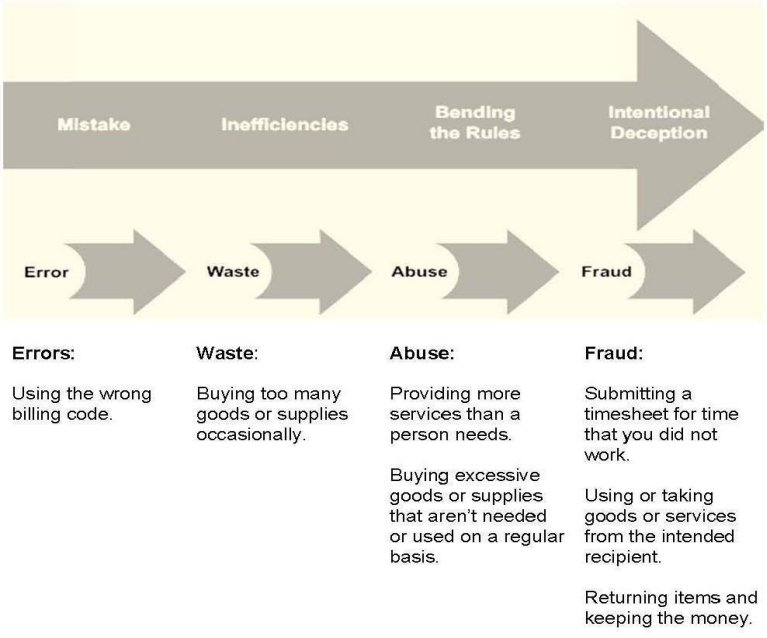
Most of the services Mains'l provides are funded by Medicaid. You play a vital role in protecting the integrity of the Medicaid Program. To reduce waste, abuse, and fraud you need to know what to watch for and when to report if you suspect that waste, abuse, or fraud is occurring.

Although the terms Medicaid and Medicare fraud and abuse have slightly different meanings, depending on individual state law, they generally mean the same thing: any violations of the state and federal requirements related to the delivery of services to Medicaid or Medicare recipients.

Waste is a broad term that refers to care that is not effective or that is not delivered efficiently.

Abuse is when a provider does not follow good medical practices, resulting in unnecessary costs, improper payment, or services that are not medically necessary.

Fraud is when Medicaid or other insurance is billed for services or supplies a client never received. It is when a person knowingly cheats or is dishonest. The dishonesty results in a benefit such as payment or coverage that the person would not have been entitled to otherwise.



Examples of Fraud, Abuse and Waste include but are not limited to:

Multiple state and federal laws make it illegal for a person to bill Medicaid, Medicare or other insurance providers for goods or services that they know are false.

Any person, who submits a claim to Mains'l that they know, or should know, is false will be held responsible and his or her action may be punishable by law.

Suspected fraud, abuse, and violations of this policy must be immediately reported. Any report of fraud or abuse, received by Mains'l will be reported to the regional center. Suspected waste should also be reported to reduce or prevent waste from continuing.

Responding to Suspected Abuse in California Policy

California has laws to protect elderly and dependent adults that are used to inform our actions.

Responding to Suspected Abuse Procedure

If you suspect, witness, or become aware of suspected abuse of dependent adult or elderly, report immediately! You are one of those people – a "mandated reporter."

- Immediately call 911 if you observe or are aware of a physical or sexual assault in progress;
- Immediately (as soon as possible, but not more than 24 hours from initial knowledge) contact your Mains'l representative. Mains'l does not release identifying information about the mandated reporter unless given permission by the mandated reporter, or as required by law. Only information about the suspected maltreatment or injury is reported.

Where to report suspected abuse:

To report to Mains'l, contact your Mains'l representative
To report outside of Mains'l:
For Adults: Adult Protective Services 1-833-401-0832
For Children: See the appropriate phone number for each county in this policy

Abuse must be reported.
You do not need to have proof that it has occurred.

Who is considered a dependent adult? In general, any person who needs assistance to adequately care for him or herself, and is therefore at a greater risk of abuse, is considered a dependent adult. Based on California laws, any person receiving services from Mains'l is considered a dependent adult.
Who is considered a mandated reporter? A person who has assumed full or intermittent responsibility for care of a dependent adult, whether or not paid for that responsibility. Mandated reporters can include family, friends, hired Employees, contracted service providers, and volunteers.
What is abuse? For dependent adults, abuse is defined as physical abuse, serious bodily injury, neglect, or financial abuse, abandonment and isolation. Definitions of each type of abuse are provided below in the definitions section.
Who is required to report suspected abuse? While anyone can report, many people are required by law to report, including you. A complete list of who is required to report can be found in the Statutes listed above. Some professionals who are mandated reporters are people who work in the following areas:

- Care of vulnerable adults or minor children; including relatives and other paid and unpaid caregivers
- Healing arts
- Social services
- Hospitals, medical clinics, and nursing homes
- Psychological or psychiatric treatment
- Childcare and education
- Law enforcement and corrections
- Vocational rehabilitation
- Medical examiner or coroner

What is required to be reported? Suspected abuse must be reported within 24 hours of finding out. Definitions of abuse are listed in this document.

Who do I report to? For the suspected abuse of a dependent adult, report to the California Adult Protective Services (APS). You may complete the documentation online with the (SOC 341). For suspected abuse in a licensed service, it also needs to be reported to the licensing entity Community Care Licensing (CCL) We also ask that you contact the Mains'l administrative on-call personnel.

What happens if I do not report suspected abuse? There are many things that can happen if you do not report including:

- the continuation of abuse to the person
- you being removed from your responsibilities
- you may be found guilty of a misdemeanor and liable for damages caused by the failure
- you may not clear a background study required for many jobs.

If you are asked to not report something, you can explain to the person that you are required by law to report. You also do not have to inform the person that you are making a report, go ahead and make the report if you suspect abuse has occurred.

Will I be protected from retaliation if I make a report? Yes, Mains'l will not retaliate against anyone for making a report in good faith (an honest report) and takes action to protect people who report. There are also laws in place to protect people who make good faith reports.

A person who intentionally makes a false report may be found liable in a civil suit for any actual damages suffered by the reported facility, person or persons and any punitive damages up to $10,000.00 and attorney's fees.

Suspected Abuse Definitions for Adults

Abuse: Abuse can be physical, emotional, verbal, or sexual. This includes but is not limited to:

Physical Abuse:

- Physical assault
- Sexual assault
- Unreasonable physical restraint
- Deprivation of food and water
- Inappropriate use of physical or chemical restraint

Emotional Abuse:

- Verbal assaults, threats, and intimidation
- Subjection to fear, isolation or emotional stress
- Withholding emotional support
- Confinement

Neglect: Occurs when an individual's health and safety needs are not being met. This includes, but is not limited to:

- Failure to supply an individual with care or services, including but not limited to food, clothing, shelter, health care, or supervision, which is reasonable and necessary to obtain or maintain the
- person's physical or mental health or safety and is not the result of an accident or therapeutic conduct.
- Absence or likelihood of absence of care or services, including but not limited to food, clothing, shelter, health care, or supervision necessary to maintain the physical and mental health of the individual which a reasonable person would deem essential to obtain or maintain the person's health, safety, or comfort.

Financial exploitation/abuse: Occurs when a person misuses funds, assets, or property of a dependent adult. This includes but is not limited to:

- Failure to use the dependent adult's financial resources to provide food, clothing, shelter, health care, therapeutic conduct or supervision for the individual, and the failure results in or is likely to result in detriment to the individual;
- Willfully using, withholding, or disposing of funds or property of a dependent adult without legal authority;
- Acquiring possession of, control of, or an interest in, funds or property of a vulnerable individual through the
- use of undue influence, harassment, duress, deception, or fraud;
- Forcing, compelling, coercing, or enticing a dependent adult against his or her will to perform services for the profit or advantage of another.

Remember… Respond immediately if you suspect, see, or hear about maltreatment!

- Immediately call 911 if you observe or are aware of a physical or sexual assault in progress;
- Immediately contact the Adult Protective Services
- We also ask that you immediately contact your Mains'l representative.

References

To view California statutes please go to http://www.cdss.ca.gov/Adult-Protective-Services
Mandated Reporting Requirements, as specified in California Welfare and Institutions Code Section 15630.
Employee Confidentiality Rights, as specified in California Welfare and Institutions Code Section 15633.

California County Emergency Response Child Abuse Reporting Telephone Numbers

An updated listing can be found at: https://www.cdss.ca.gov/reporting/report-abuse/child-protective-services/report-child-abuse

County	Contact Info
Alameda County	(510)-259-1800
Alpine County	(530)-694-2235
Amador County	(209)-223-6550 – Mon thru Thurs 8:00 - 5:00; (209)-223-1075 – After hours
Butte County	(530)-538-7882; (800)-400-0902 – 24 hours
Calaveras County	(209)-754-6452; (209)-754-6500 – After hours
Colusa County	(530)-458-0280
Contra Costa County	(877)-881-1116
Del Norte County	(707)-464-3191
El Dorado County	(530)-642-7100 – Placerville; (530)-573-3201 – South Lake Tahoe
Fresno County	(559)-255-8320
Glenn County	(530)-934-6520; (530)-934-6519; (530)-934-1429 – Intake
Humboldt County	(707)-445-6180
Imperial County	(760)-337-7750
Inyo County	(760)-872-1727
Kern County	(661)-631-6011; (760)-375-6049
Kings County	(559)-582-3241 – 8:00-5:00; (559)-582-8776 – After hours (866)-582-8776
Lake County	(707)-262-0235; (800)-386-4090
Lassen County	(530)-251-8277; (530)-257-6121; (530) 260-8131 – After hours
Los Angeles County	(800)-540-4000 – Within CA; (213)-639-4500 – Outside CA; (800)-272-6699 – TDD Online Reporting: https://reportChildAbuseLA.org
Madera County	(559)-675-7829; (800)-801-3999
Marin County	(415)-473-7153
Mariposa County	(209)-742-0900 – Daytime; (209)-966-7000 – After hours
Mendocino County	(707)-463-7992 – Ukiah; (707)-962-1100 – Fort Bragg; (866)-263-0368 – Toll free

County	Contact Info
Merced County	(209)-385-3104
Modoc County	(530)-233-6602; (866)-233-4424
Mono County	(760)-924-1770; (760)-932-7549 – Sheriff Office; (800)-340-5411 – Hot Line
Monterey County	(831)-755-4661; (800)-606-6618
Napa County	(707)-253-4262; (707)-253-4261; (800)-464-4216
Nevada County	(530)-273-4291 – 24-hour
Orange County	(714)-940-1000; (800)-207-4464
Placer County	(916)-872-6549; (866)-293-1940
Plumas County	(530)-283-6300 – Sheriff Office; (530)-283-6350; (800)-242-3338 – Toll free
Riverside County	(800)-442-4918; (877)-922-4453
Sacramento County	(916)-875-5437
San Benito County	(831)-636-4190; (831)-636-4330 – After hours Police
San Bernardino County	(909)-384-9233; (800)-827-8724
San Diego County	(858)-560-2191; (800)-344-6000
San Francisco County	(415)-558-2650; (800)-856-5553
San Joaquin County	(209)-468-1333
San Luis Obispo County	(805)-781-5437; (800)-834-5437
San Mateo County	(650)-595-7922; (650)-802-7922; (800)-632-4615
Santa Barbara County	(800)-367-0166
Santa Clara County	(650)-493-1186 – North; (408)-683-0601 – South: (408)-299-2071 – Central
Santa Cruz County	(831)-454-2273; (877)-505-3299
Shasta County	(530)-225-5144
Sierra County	(530)-289-3720; (530)-993-6720
Siskiyou County	(530)-841-4200; (530)-842-7009 – 24-hour hot line
Solano County	(800)-544-8696
Sonoma County	(707)-565-4304; (800) 870-7064
Stanislaus County	(209)-558-3665; (800)-558-3665

County	Contact Info
Sutter County	(530)-822-7227
Tehama County	(530)-527-1911; (800)-323-7711
Trinity County	(530)-623-1314
Tulare County	(800)-331-1585
Tuolumne County	(209)-533-5717; (209)-533-4357 – After hours
Ventura County	(805)-654-3200
Yolo County	(530)-669-2345; (530)-669-2346; (888)-400-0022 – After hours
Yuba County	(530)-749-6288