

INDEPENDENT FACILITATOR BASICS TO WORK IN CALIFORNIA'S SELF DETERMINATION PROGRAM



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Detailed Licensing

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Licensing

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1: BEING AN INDEPENDENT FACILITATOR

Being a professional independent facilitator (IF) can be an incredibly rewarding profession. Supporting people to live self determined and self directed lives is an incredible opportunity. However, it can also be frustrating and confusing when you do not understand the reasons behind challenging conversations and situations with regional centers and financial management services.

This text is a response to those challenges. Whether you are serving one family member, a non-profit organization, a few paid clients, or more, understanding the details of the Self Determination Program (SDP) can help you be an even better IF than you already are.

All professions need on-going training, and this career is no different. As SDP evolves, the Department of Developmental Services issues directives. These directives attempt to clarify or improve the way the program works. Even after this text is published, SDP will continue to evolve. Keep this in mind as you grow as an independent facilitator. All directives can be found on the Department of Developmental Services website for your convenience.

Serving a regional center client as an independent facilitator comes with a lot of responsibility, as well. Being good stewards of taxpayer funds helps create a sustainable Self Determination Program (SDP), as the law intended.

There are three ways an independent facilitator can earn money by serving participants in California's SDP:

1. Person-Centered Planning services;
2. Pre-Enrollment Transition Supports; and
3. On-going independent facilitator services.

Throughout this text, each of these three areas will be explored and explained.

If you have suggestions for additional clarity, improvements, or requests for additional training, please send those requests to Kelly Kulzer-Reyes at Taft College kkulzer@taftcollege.edu

Deeper thinking about being an IF

Depending on only one Facebook group, one non-profit, or one source for information can be problematic in any situation. Consider listening to leaders throughout the SDP world and using your excellent critical thinking skills to ask yourself questions like these:

- What is the background of the individual leading the training?
- Am I believing the advice because I want the information to be true?
- What does this trainer gain from the information they are sharing?
- What is the reputation of the organization (regional center, DDS, non-profit, family resource center) I am choosing to listen to?
- How could the information I am hearing impact the sustainability of the program?
- What can I do to help make this program even better for those served?
- How can I verify the information that I learned?

This is just a beginning to the questions we all must ask ourselves when someone is training us. What questions are missing from this list?

[1.1: Roadmap to Becoming an Independent Facilitator](#)

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1.1: Roadmap to Becoming an Independent Facilitator

There are two vastly different ways to navigate California's Self Determination Program as an Independent Facilitator: 1) as a consultant or small business owner who charges a client for services and 2) as a community member who supports a participant, either yourself or a loved one, free of charge. The job tasks are identical in both roles, but those who are starting a consulting business have some additional responsibilities.

Checklists

Unpaid Independent Facilitator

- Learn how SDP works
- Start supporting a participant
- Keep learning as time goes on (This program evolves constantly.)

Paid Independent Facilitator

Paid IFs do all the things unpaid ones do, and:

- Start a business/Become a consultant
- Complete an Independent Facilitator Certificate
- Get a business license from your local agency
- Create a list of services you provide
- Purchase Professional Liability Insurance

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1.2: Professional (Paid) Independent Facilitator

Starting a business

To comply with California and federal laws related to having your own business, please verify this checklist with your local business licensing agency. Typically, paid Independent Facilitators (IF) bill using the Internal Revenue Service (IRS) form 1099-NEC (non-employee compensation). There is something called the ABC test which helps people know if they should be a consultant (1099 tax filer) or staff (regular employee tax requirements).

Consultants do not have taxes taken out of 1099 pay, as consultants are not “employees”. Rather they are compensated for their work outside of employment. Make sure you understand how to file taxes as a 1099 consultant before you begin your journey as a professional IF.

There are independent facilitators who prefer to create an Limited Liability Corporation (LLC). Since that is a more advanced level of business, it won't be a focus here. There are resources to support small business owners to create LLCs. Talk with a local small business development organization or a local community college for support to learn what is needed.

Independent Facilitator Training Certificate

This IF certificate can be earned by successfully completing Taft College's Disability Services independent facilitator noncredit certificate. IF training certificates are also available through different agencies throughout California.

Business license, depending on your community's requirements

Contact your city to learn what your local requirements are. Sometimes there is a county license requirement, and other times the requirement is at the city office. In some rare cases, neither the city nor the county require a business license. Just make sure you are following the rules where you live. No one wants a headache later.

Description of the services you provide (mini-business plan)

This can be a description of the services you provide with your hourly rate. You can create a website, a flyer, or simply include the information about your services with your clients via email.

Sharing this information with the people you serve helps promote transparency and accurate expectations for all parties.

Setting clear expectations and maintaining boundaries will help you and your client work together and improve communication.

Professional liability insurance

Financial management services will ask for proof of your liability insurance to set you up for payment in their provider system. There are many insurance companies that offer professional liability insurance. The amount of insurance you will need depends on a few factors. Consider this “errors and omissions” insurance an investment in yourself, and a motivator to be even more careful with the lives and plans of the people you serve.

Everyone makes mistakes, but in this field, mistakes can mean big challenges for the people we serve.

On-going training

As this program evolves, independent facilitators will want to stay current with the updates, changes, and new requirements of the Self Determination Program. This can happen with continuing education units (CEUs) through a local community college, through mentorship funded through local volunteer advisory committees at regional centers, IF support groups run by regional centers, and guidance through professional organizations.

Knowledge of Updates to SDP, the Lanterman Act, and impacts of changes to Medicaid-funded programs like Home and Community Based Services (HCBS)

Many have likely noticed that the political landscape changes over time. Programs like California's Self Determination Program are impacted by federal funding shifts and cuts to the Centers for Medicaid and Medicare Services and California's Department of Health and Human Services. Changes to trailer bill language can happen annually, and independent facilitators should maintain current knowledge to best support their clients.

Keep current with funding challenges, but do not panic. This program is in statute. We can all do our part to protect the funding sources and the program as we learn to navigate challenging times together.

Providing good service to SDP participants:

- I tell clients what services I provide, and I share what participants are expected to do without my direct help.
- I share how to **communicate** and **sign up for appointments** with me through a Calendly link in my email signature.
- I have a business license from my city and professional liability insurance. These costs are tax write-offs for me, and I share them with my accountant each year.
- I attend as many of the DDS sessions about SDP as I can.
- I meet with other IFs regularly to brainstorm and learn as much as I can from others.
- I re-read the Lanterman Act. Yes. Seriously. Keeping information fresh helps me do my best for my clients.
- I apologize when I make a mistake. Everyone makes mistakes. Humility matters.

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1.3: Unpaid (volunteer/self/parent) Independent Facilitator

Unpaid Independent Facilitator: Still need training and to keep up to date

If you are hoping to save money for yourself or a loved one served by the regional center system by providing this support free-of charge, the business license and insurance won't be a barrier. However, understanding how the program works and staying current with program developments is still wise.

There is no certificate required for unpaid IFs; however, to ensure a positive experience in the SDP, it is important to keep current with best practices, DDS directives, and regulations. Changes to the program can negatively impact quality of life and continuity of care for people served by this program.

Keeping Up-to-Date with the Self Determination Program

This text is a good source of information, but it is not the only way to develop your understanding of the SDP. Attending support groups, like your regional center's local advisory committee meetings and funded resources, non-profit organizations programs like SDP Together at Club 21 Learning and Resource Center, the Self Determination Institute's monthly support and training groups, or Disability Voices United's roundtables can all help build your foundational knowledge and keep you informed of changes to the program at the state level.

Your regional center may host monthly IF Roundtables, typically on Zoom. They are often attended by regional center staff and working (paid) independent facilitators. These collaborative events can be very helpful to deeply learning about the policies and procedures at one regional center.

There are many ways to keep current with the program. Hopefully you have found multiple options.

Depending on only one Facebook group, one non-profit, or one source for information can be problematic in any situation.. Consider listening to leaders throughout the SDP world and using your excellent critical thinking skills to ask yourself questions like these:

- What is the background of the individual leading the training?
- Am I believing the advice because I want the information to be true?
- What does this trainer gain from the information they are sharing?
- What is the reputation of the organization (regional center, DDS, non-profit, family resource center) I am choosing to listen to?
- How could the information I am hearing impact the sustainability of the program?
- What can I do to help make this program even better for those served?
- How can I verify the information that I learned?

This is just a beginning to the questions we all must ask ourselves when someone is training us. SDP is no different.

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2: Person-Centered Thinking and Planning

What we will learn

- The importance of using person-centered practices in all areas of SDP planning
- About resources to support person-centered practices
- How person-centered practices connect to SDP

Person-centered practices are at the core of everything in the Self Determination Program (SDP). Person-centered thinking and planning help ensure the person served by the regional center is the focus of all programs and services. This person, the individual served by the regional center, is also in charge of all decision-making.

Some people will run their SDP plan with minimal support. Others will choose trusted supporters to help them manage their Self Determination Program. Still others will depend more heavily on their circle of support for a successful SDP experience.

Regardless of ability or interest in running their own program, the person served by the regional center, often referred to as the “participant” or the “individual served”, is the center and focus of the program and all planning. The SDP participant is the person in control of their goals, their staff, and their lives.

The person you are supporting in the Self Determination Program is the foremost expert on their life. They know what they like -- and what they dislike. They know the kinds of people they want to spend time with – and who they do not.

Do not fall into the trap of thinking that the family or circle of support or the regional center or the agencies working with the individual “know best”. This will not serve your client well.

When all parties come together to brainstorm and collaborate with a common focus on the person at the center of the planning, self-direction can flourish.

SDP participants are experts on their own lives and are key in making improvements, choices, and changes in their lives. They determine how they participate in the community and choose the supports they want and need to live full lives.

In SDP, they create, or co-create with their trusted supporters, short and long-term goals through the person-centered planning process. Using these goals as the foundation for a meaningful life in the community, these participants make decisions about how prioritize their efforts and meet their goals — not the participant’s family, not their circle of support, not the regional center, and not the vendored agencies that provide services.

Acknowledging that these decisions and choices may use Supported Decision Making (SDM) strategies, ultimately, the decisions about a participant’s daily life – along with all supports and services they want and need– belong to the person in the program: the SDP participant.

There are many resources to support you in your person-centered thinking development. Some of the most celebrated and respected are listed here.

- [Inclusion Press: Circles of Support page](#)
- [Person-Centered Thinking: Helen Sanderson and Associates](#)
- [Charting the Life Course](#), UMKC
- [Open Future Learning](#), YouTube Channel*

*Hint for success: If you are supporting a person who will hire direct support staff, make sure every staff member, parent, sibling, service coordinator, and you – the independent facilitator—watch the short instructive videos created by Open Future Learning. Be aware that there is some profanity within the shorts.

Especially powerful are these shorts from Open Future Learning:

- [“Disability Advocacy by Fionn”](#)
- [“Not a child. Not your property”](#)

- [“People with Down syndrome are not your caricature”](#)

Deeper thinking about training staff

If you were to create short training videos for direct support professionals, families, or the broader community, what would you focus on?

The life and voice of the person served by the regional center is always the center of planning in the Self Determination Program. Person-centered active supports increase choice and reduce challenging behavior while effective independent facilitation can elevate the wants and needs of the person served above those of their circles of support. These desires and needed supports connect directly to creating the life and meeting the goals uncovered and identified in the person-centered planning process.

Deeper thinking about person-centered practices

Sometimes you may feel like you are working with a parent of a participant more than the participant. Think of ways to ensure the planning is centered on what the person served by the regional center wants and needs. Consider how you encourage trusted supporters to use person-centered active supports and Supported Decision Making (SDM). Are you actively modeling this in your interactions? What could you do to model this behavior with those you support?

Create a list of questions you could ask or role play a dialogue with members of the circle of support to help them understand the value of person-centered practices.

3: Independent Facilitator Basics

What we will learn

- What independent facilitators do
- Who can be an independent facilitator
- Requirements to be a paid independent facilitator
- Regional Center basic information

What is an Independent Facilitator?

According to the Department of Developmental Services website, participants in the Self-Determination Program (SDP) may choose someone who helps them implement their program. That person is called an independent facilitator.

Independent facilitators assist the SDP participant and their supporters in understanding the Self Determination Program, developing a spending plan based on the goals from the PCP and IPP, and managing changes and needs within the parameters of the SDP.

All services and supports within the spending plan need to be connected to the participant's IPP goals, disability-related needs, and applicable SDP requirements.

Independent facilitators support person-centered flexibility and creativity in the Self-Determination Program. And because the SDP community has a deep desire to protect this important service delivery model, there is active advocacy to improve implementation.

Independent facilitators do not intentionally avoid, bypass, or misrepresent laws, regulations, or program requirements to include a service or item on a spending plan. The California laws and regulations from the Centers for Medicaid and Medicare Services (CMS) must be followed by all parties connected to the Self Determination Program. Rather, IFs strive to improve the quality of life for people served by the regional center through this innovative program.

The roles and requirements for paid independent facilitators in the SDP are in the text from the DDS [directive](#) released in December 2018 about independent facilitators, their roles, and their responsibilities.

DDS Directive Language

Roles of an Independent Facilitator

Independent facilitators, as defined in [Welfare & Institutions \(W&I\) Code §4685.8\(c\)\(2\)](#), are people who are selected and directed by the participant and who are able to provide assistance in the following ways:

- Assisting the individual with making informed decisions regarding their individual budget;
- Locating, accessing and coordinating services and supports consistent with the participant's Individual Program Plan (IPP);
- Identifying immediate and long-term needs and developing options to meet those needs;
- Leading, participating, and/or advocating on behalf of participants in the person-centered planning process and development of the IPP; and,
- Obtaining identified services and supports.

Requirements of Paid Independent Facilitator(s)

An individual who serves as an independent facilitator is required to receive training, at their own cost, in:

- The principles of self-determination;

- The person-centered planning process; and,
- The other responsibilities described above under “Roles of an Independent Facilitator”

Participants and their financial management service providers will verify that the prospective independent facilitator has met the training requirements, outlined above.

The following individuals may not act as paid independent facilitators:

- A person who is providing other services to the participant pursuant to his or her IPP;
- A person employed by a person/agency providing services to the participant;
- The parent of a minor participant; or,
- The spouse of a participant.

By the nature of the job, an independent facilitator must be free of conflicts of interest.

Why Person-Centered Practices Matter

It might seem like person-centered practices keep coming up in this text. And hopefully, you see how all of the support provided by an independent facilitator must happen in a truly person-centered way. Person-centered planning is about the individual's future and reaching their goals. The process should be driven by the individual and reflect what is important to and for that person.

Person-centered planning can include other people, such as family or friends, only if the individual chooses to include them in the process. Once the individual has made choices about what they want and need, an individual program plan (IPP) is written based on the individual's decisions. The IPP lays out the individual's goals and what is needed to reach those goals, including necessary services and supports.

Without the SDP participant, there is no self-direction. Being self-determined is the core of this program. That means that the independent facilitator's role is to ensure the voice of the individual served is the focus of everything connected to the SDP planning process.

To be clear, individuals served by the regional center are in charge of their lives, plans, and desires — not their family nor the people who work for them.

This means the voice of the individual served by the regional center is heard and accurately reflected in all SDP planning. The person at the center of the program is the boss. They are the authority on their own lives, and as an independent facilitator, it is an honor and a privilege to support them in the ways they see fit.

This does not mean that family members are not a part of the circle of support, if the SDP participant chooses to include them. An SDP participant can include any person willing to provide support and input on their planning.

In conversations with service coordinators, the participant and their circle of support will explain situations and allow the service coordinator to make suggestions of possible services in the traditional system.

Here are some common traditional system services:

- Independent living skills/supported living skills (depending on where the adult lives)
- Respite
- Parent Education
- Adaptive Skills Training
- Day Programs (adulthood only)
- Social Skills Training
- Social/Recreational Services
- Not all regional centers provide all services. Developing expertise about one regional center at a time. Learn which services are common and easy to understand. If

There are many more listed on the [Regional Centers Services and Descriptions](#) page of the DDS website.

Person-centered, not neighbor-centered, friend-centered, or parent-centered

Because we strive to ensure person-centered practices are embraced, independent facilitators know that not all participants will have the same services that their friends have. One area of constant struggle in this program is the focus on what others have.

For example, a family served by an IF wants to increase their budget. The parent of a person served by a regional center tells their IF, “My friend’s son got _____” from her regional center. I want my son to have the same thing.”

When confronted with a “keeping up with the Joneses” request, there are important things to keep in mind:

1. Person-centered plans show the goals and provide ideas and possibilities to meet those goals.
2. No two people served by the regional center system have identical needs. If the system is to truly be person-centered, it is reasonable that two different people served receive different supports.

As a professional in this field, help people served understand the beauty of this program. Choice, freedom, and authority are all key principles of self determination. However, responsibility and support are equally important. We are stewards of an amazing, taxpayer funded program. Quite frankly, ours may be the most innovative and amazing program in the nation. For it to be sustainable, we must all work together to use these funds wisely. Keeping up with the Joneses is not our mantra. Getting more “stuff” is not our mantra.

Our SDP Mantra:

When my needs are met, I am content.

If my needs are not met, then the program is not working, yet.

To ensure the needs are met, it is vital to document them in the Individual Program Plan (IPP). Once needs are documented in the IPP within the traditional system, the budget creation process becomes much easier.

Building bridges between participants and regional centers

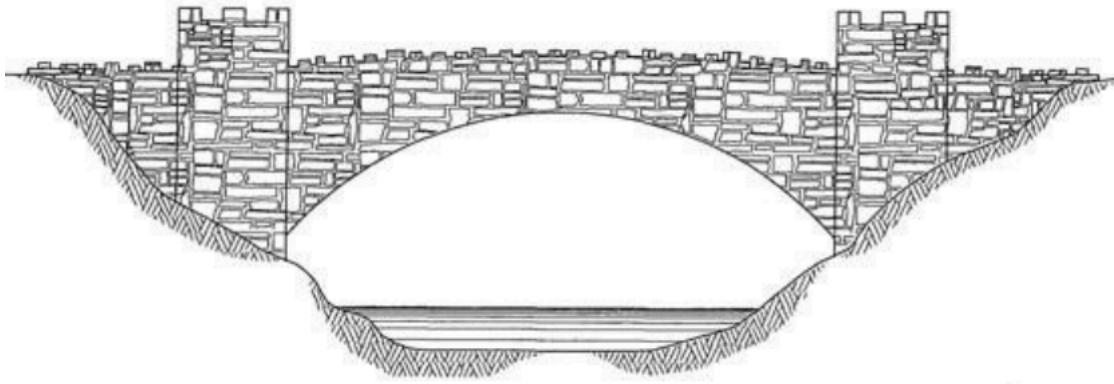
One of the regional center’s jobs is to ask questions about needs, circumstances and possible resources when a participant or an independent facilitator shares a participant’s needs that are new to the regional center. Ideally, the regional center service coordinator is already highly skilled at talking with families about disability, explaining kinds of services regional centers provide, and finding services to support individuals served by regional centers.

However, sometimes the participant and their circle of support have no idea what a regional center can or should be providing. At times, the regional center uses specific language, or jargon, focused on the disability-connected supports and services. This creates a wide gap in understanding between the regional center and those they serve.

Independent facilitators have the opportunity to bridge that knowledge gap and help people navigate California’s unnecessarily complicated service-delivery system.

Deeper thinking about the IF role as a bridge

Think about the image and words below: the participant is on one side of the bridge, while the regional center service coordinator is on the opposite side. The person trying to help connect these two sides is the independent facilitator.



- What happens when a bridge is damaged or has a shaky foundation?
- What happens to an SDP participant when the IF's knowledge base is shaky?
- How does active listening improve effectiveness as a communication bridge?

The independent facilitator's role as a communication bridge includes respectful, culturally competent interactions with all parties. One of the most common challenges mentioned about independent facilitators is aggressive advocacy. Often perceived as unprofessional and bullying behavior, these occasionally challenging colleagues can strain relationships with regional centers and financial management services.

Starting each interaction with strategic and authentic kindness can help improve communication and IF effectiveness, better serving clients and improving relations with other professionals in the process. This also builds good faith among all parties which can help others trying to use the Self Determination Program to meet their needs, too.

Kindness spreads like a ripple in still water. [Thank you to The Grateful Dead for that.](#)

4: CULTURALLY COMPETENT COMMUNICATION

What we will learn

- Active listening and comfort with silence
- Strategies to work with diverse populations
- Strategies to ensure person-centered communication
- Strategies to use plain language
- Background about high-low context cultures

Active Listening

Human relationships are built on communication. As we speak and listen, learn about each other, and get to know each other in personal ways, relationships grow and thrive. Our relationships are defined by how we communicate, including what we talk about, when we talk about it, and how we respond. The substance of relationships is how we communicate. Interaction is comprised of what we tell each other (disclosure) and how we attend to each other's disclosure (listening).

Understanding how to listen can be very helpful to improve communication in professional settings. No matter how good a listener you are now, it is likely you can be even better. I know I can.

Those with ADHD diagnoses, like the author of this text, may need to use other strategies to help calm their minds and hone their focus. If you ever see me out in the wild, you may notice I am holding a pair of knitting needles. If my hands are busy, I blurt out fewer random thoughts. I still crack jokes and share a lot of thoughts, but I try to keep my comments and snappy responses on the topic at hand.

Think about the following strategies that work to improve active listening.

Strategies for active listening

There are many techniques that can help develop stronger active listening skills.

- Use the 80/20 rule: the listener is silent and engaged 80% of the time and only speaks 20% of the time.
- Summarize the speaker's ideas
- Ask open-ended questions about the ideas being shared.
- Remove distractions: phones, airpods/headphones (for non-hearing related sounds), notifications on devices (use work mode or silence)
- Keep hands busy (knitting, note-taking, fidgets)

Plain Language

Using language that reduces the use of jargon and acronyms in communication to maintain clear and uncluttered communication is referred to as "plain language". This means that the words used by independent facilitators should be clear and easy to understand.

Sometimes explaining information from regional centers or financial management services can be difficult. Understanding the language and vocabulary that is used in the Self Determination Program helps us all understand the details of the program better.

Communicating with SDP Participants

People in the Self Determination Program have a variety of communication styles. Some people have communication disabilities. Some people use augmentative and assistive communication (AAC) tools, like an iPad with an app or a Picture Exchange Communication System (PECS) board. Others use their voice. Some people have typical speech but need longer language

processing and/or production time.

People using all types of communication can direct their own lives. Do not make the mistake of accidentally (or intentionally) excluding someone based on assumptions, perceptions, and biases. Ableism is pervasive but independent facilitators can model better communication skills and lead in positive ways.

Using language that reduces the use of jargon and acronyms in communication to maintain clear and uncluttered communication is referred to as “plain language”. This means that the words used by independent facilitators should be clear and easy to understand.

Communicating with Families and Circles of Support

It is vital to remember that the person served by the regional center is the decision maker. Whether the individual communicates using words, gestures, facial reactions, Assistive and Augmentative Communication technology, or another way, the SDP participant is in control of their planning. Choose to support people’s authority in the planning process. Model communication expectations for families and circles of support. Lead by example.

Parents of children and adults served by the regional center have been impacted by malfunctioning systems for years. Patience may be needed with families that struggle with plans centered around their loved one can be a big adjustment for some. As life-long learners ourselves, it is important to help all parties embrace this person-centered approach. It is also important to use positive reinforcement in communication.

When people use excellent interpersonal communication in meetings, complimenting them on their effective communication. This natural coaching can help build capacity and confidence in the entire team.

Phrases to consider (so the compliment doesn’t fall flat or backfire)

It might make sense to say this quietly, so as not to draw unwanted attention, if there are many people around. Many people are unaccustomed to receiving compliments graciously.

“I noticed how you summarized the service coordinator’s ideas in that meeting. That was excellent work. It should help a lot as we move into the spending plan phase.”

“You were so clear describing the challenges you are facing at work. That should help the service coordinator argue for that service effectively on your behalf.”

Now think about how to use positive reinforcement to coach your client and/or their circle of support. The goal is to develop competence in these skills to grow a state full of effective advocates.

Some might wonder if this will reduce the client base and lead to less work. Let me be clear. I have been trying to teach myself out of a job for the past twenty-five years. It has not happened yet. We all do better when we all do better. Don’t hoard goodness and encouragement. Let it soar out of you with energy and love. You will be just fine.

Communicating with Regional Centers and Financial Management Services

Everyone likes to be treated respectfully. When interacting with the other parts of the SDP team, namely the regional center and the financial management service, it is good practice to remain respectful, kind, and pleasant. Expressing gratitude and maintaining a collaborative and positive tone goes a long way in building rapport.

As the late Supreme Court Justice, Ruth Bader Ginsberg, famously said, “You can disagree without being disagreeable.” She was known for being a so-called “liberal” judge, and she was close friends with fellow Supreme Court Justice Antonin Scalia, a so-called “conservative”. Even though the two justices were philosophical opposites, they had a reputation for collegiality and respectful discourse.



“You can disagree without being disagreeable.”

Former Supreme Court Justice Ruth Bader Ginsberg

Practicing patience and respectful communication can help foster a positive reputation and will help SDP participants continue to grow and thrive with the supports and services they need from the regional center.

Using active listening techniques, clear and accurate language, and a patient, professional tone will go a long way to build positive working environments with our teams.

Communicating with Service Providers

Some parts of the Self Determination Program are complicated for providers. Those who are new to accepting payment from the SDP Financial Management Services. Provide support and help to providers. It is so important that providers are compensated in a timely manner. They are providing a service and must be compensated for their hard work.

Conflict Resolution

The easiest way to resolve a conflict is to avoid one. This is often easier said than done, but there are some really easy ways that independent facilitators can reduce conflicts.

According to [Introduction to Communication: A free, open-source, introductory communication studies text](#) published by Minnesota State Colleges and Universities:

Many of us do not like addressing conflict; we tend to fall back on whatever conflict management style we are most comfortable with using. The list below outlines a relatively simple and straightforward way to talk about conflict in a healthy manner:

1. Let the other person express their feelings and concerns on the issue without interruption, except when necessary to ask for clarification.
2. Paraphrase back to the person and try to understand their concerns. This is a perception-check, to make sure we understood the message correctly and it demonstrates we are listening to understand their position.
3. Express our feelings and concerns.
4. Identify the core point of difference.
5. Discuss the core difference, working to understand each other's point of view.
6. Identify and implement a solution acceptable to both people.

While engaging in the process, it is very important to minimize emotion and avoid defensiveness. Once emotion and defensiveness take over the interaction, the chances of resolving the conflict are minimized.

We must also operate with integrity, which means we say what we need to say, and we act consistently with what we say. If we fail to express our thoughts completely, we may find the resolution is superficial or not really targeted on our concerns. Once we and

our partner reach a resolution, it is important to follow through. Agreeing to something, then not following through, inflames the conflict, versus resolving it.

Sometimes a conflict is significant but difficult to solve or even to talk about. When the issue and the relationship are important, bringing in a mediator may help. A mediator must be a neutral and impartial party. Friends or family members are *not* qualified to mediate because of their inherent bias toward the situation or the parties. Gaining an outside perspective may help those in conflict to see the situation anew and work toward collaborating on a resolution.

Communication-Enhancing Advocacy Strategies

Recaps are short summaries of what another person says. These can help clarify what the speaker meant. Sometimes we can avoid conflict by clarifying the what we heard. (Sometimes that is not the case).

Templates are the beginnings of sentences to let the audience know the communication goal. Think of these like a "fill in the blank" activity introduced with a sweet or professional sentence beginning.

Non-threatening responses are always in order. We do not need to stoop to insults or unpleasantness (even when we are really mad). Still angry after a meeting? Bakersfield has a rage room on District Blvd. Bring all your old plates and smash away. You can even bring in your old TV. Smash it. Items are not people and do not have feelings.

Service coordinators, program managers, financial management services customer service representatives, and local volunteer advisory committee members are all humans. No one does better work when they feel belittled, bullied, or lambasted. There are IFs out in the wild who have created unfortunate reputations for themselves, and the rest of the IF community often gets blamed for this. All we can do is try our best, hold ourselves to high standards, and treat everyone with whom we interact with respect. We only have control and power over our actions. Let's use our power for good.

Templates

- "Let me make sure I understand your point. (summarize what was understood)"
- "Correct me if I'm wrong, but I thought I heard you say, ' _____ '"
- "I want to make sure I got all of your points, summarize the points. Did I miss anything?"

It is helpful to summarize what is understood to the person who is speaking. This helps both sides be clear and seek clarity as the conversation progresses. It also demonstrates to the speaker that they are being heard, respected, and valued in the conversation.

Non-threatening Responses

The more positive and professional the tone is, the more allies can be found in the regional center system. Maintain a calm and professional presence even when it is difficult. Deep breaths are not just for rush hour traffic. Stay calm and steady. Serve clients effectively by creating a reputation for kindness, competence, and ethics. These lead to effective advocacy.

One of the most common challenges working independent facilitators reference is arbitrary denials of needed services and supports. If there is a denial of something that both sides fundamentally disagree about, there are respectful ways to do that, too. If there is disagreement on something that is allowable, the next step is mediation/fair hearing. Request a Notice of Action (NOA) or simply file of mediation without one. There is no need to wait to receive the NOA before filing.

Here are some templates to address the concern in a non-threatening way:

If a service coordinator says, "X Regional Center does not provide y service", the independent facilitator can respond with something like:

- "I understand what you are saying. Please provide a copy of the policy you are talking about in writing."
- "That is _____(unfortunate/surprising/frustrating/upsetting/confusing). Please provide an NOA (notice of action) so we can discuss this in mediation (or fair hearing)."
- "It sounds like we are not in agreement on this point, but we do agree on many other things. Let's move forward on the areas of agreement."

Hopefully mediation and fair hearing won't be needed, but it is important to know how the process works. Share as much information with the service coordinator as possible about the requested service or support. It is possible that there was a communication breakdown and the service coordinator truly does not understand the request. Provide the needed information and empower them to advocate more effectively on behalf of the shared client. Everyone should be on the same team.

While waiting for a response from a regional center, use the same rules and timeline that exist in the traditional system might help. Fifteen days to approve and respond, or an NOA should be provided. No threats needed. Just compliance with statute.

- The Lanterman Act ensures participants will have answers to requests and changes in their IPP services within fifteen days.
- There are many timelines outlined in the Lanterman Act.

The parent support organization, [Undivided](#), has regional center timelines on their website.

Expressing gratitude

You are busy, I am busy, and everyone we encounter is busy. Letting people know they are appreciated is always a good idea. Good manners haven't hurt very many people. All parties will appreciate a little extra gratitude.

No one knows what others are dealing with in their lives. Work, family, friends, the world and so much more impact everyday life.

Thank you for listening. You have my sincere gratitude.

[4.1: Why Culturally Competent Communication Matters](#)

[4.2: 5- Taxonomies of Cultural Patterns](#)

[4.3: Deeper Thinking about Communication](#)

4.1: Why Culturally Competent Communication Matters

Independent facilitators have the opportunity to support people with developmental disabilities from all walks of life. California is a beautifully diverse place with people from all corners of the earth.

To ensure understanding of the Self Determination Program, independent facilitators explain California's systems to their clients and their circles of support. Doing this will undoubtedly include discussions about ableism and plain language. These explanations may be with individuals whose dominant language is English or one of the many other languages spoken in our state. It is vital to remember that these systems are baffling to English-dominant and English-learning people, alike. Using plain language, checking for understanding often, and comfort with discomfort are all key in communicating clearly.

Cultural understanding matters when looking at disability through different cultural and linguistic lenses. Language shapes how people view disability, and views of disability differ based on culture.

In Communication Professor Tammera Stokes Rice's text, [Communications 256: Intercultural Communication](#), "Chapter 5: Taxonomies of Cultural Patterns" focuses on how various cultural patterns impact how people communicate. One of those patterns, the high-low context cultural taxonomy, was first described in anthropologist Edward Hall's book *The Silent Language*.

Professor Stokes Rice's text on taxonomies is on the next page.

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4.2: 5- Taxonomies of Cultural Patterns

Learning Objectives

- Explain the similarities and differences of Hall, Hofstede and the GLOBE Taxonomies.

To develop confidence in intercultural communication, you must understand differences in cultural patterns. Cultural patterns are the similar behaviors within similar situations we witness due to shared beliefs, values, norms and social practices that are steady over time. In this chapter, you will explore three different taxonomies, which help us understand similarities and differences in these cultural patterns. Specifically, we will examine Edward Hall's High-Low context cultural taxonomy, Geert Hofstede's six dimensions, and Shalom Schwartz's seven dimensions of culture. (Stokes Rice, 2019).[i]

Hall's High-Low Context Cultural Taxonomy

Anthropologist Edward Hall founded the field of intercultural communication in 1959 with his book *The Silent Language*. The book was originally intended for the general public, but it sparked academic research in intercultural communication and fueled interest in subjects like nonverbal communication, according to [Keio Communication Review](#).^[ii]

High and Low Context^[iii]

Think about someone you are very close to—a best friend, romantic partner, or sibling. Have there been times when you began a sentence and the other person knew exactly what you were going to say before you said it? For example, in a situation between two sisters, one sister might exclaim, “Get off!” (which is short for “get off my wavelength”). This phenomenon of being on someone's wavelength is similar to what Hall describes as high context. In high context communication the meaning is in the people, or more specifically, the relationship between the people as opposed to just the words. When we have to rely on the translation of the words to decipher a person's meaning then this is said to be low context communication. The American legal system, for example, relies on low context communication.

While some cultures are low or high context, in general terms, there can also be individual or contextual differences within cultures. In the example above between the two sisters, they are using high context communication, however, America is considered a low context culture. Countries such as Germany and Sweden are also low context while Japan and China are high context.

Hall defines intercultural communication as a form of communication that shares information across different cultures and social groups. One framework for approaching intercultural communication is with high-context and low-context cultures, which refer to the value cultures place on indirect and direct communication.

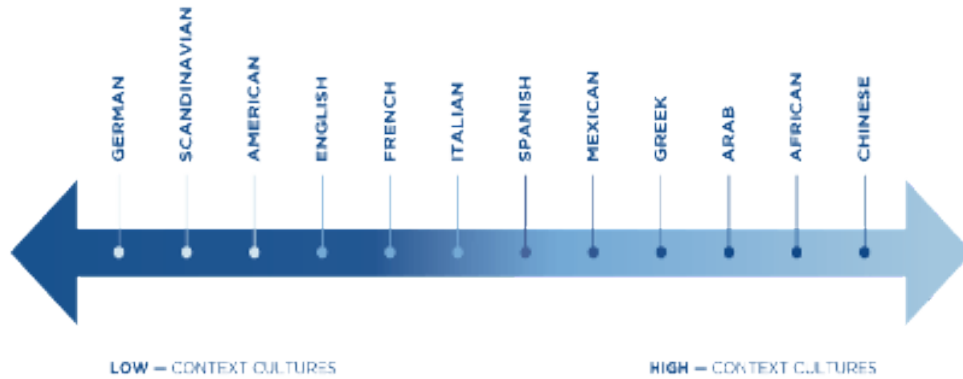


Figure 4.2.1: Low – High Context

Cultures

High-Context Cultures

A high-context culture relies on implicit communication and nonverbal cues. In high-context communication, a message cannot be understood without a great deal of background information. Asian, African, Arab, central European and Latin American cultures are generally considered to be high-context cultures.

High-context cultures often display the following tendencies, according to C.B. Halverson's book *Cultural Context Inventory*.

- **Association:** Relationships build slowly and depend on trust. Productivity depends on relationships and the group process. An individual's identity is rooted in groups (family, culture, work). Social structure and authority are centralized.
- **Interaction:** Nonverbal elements such as voice tone, gestures, facial expression and eye movement are significant. Verbal messages are indirect, and communication is seen as an art form or way of engaging someone. Disagreement is personalized, and a person is sensitive to conflict expressed in someone else's nonverbal communication.
- **Territoriality:** Space is communal. People stand close to each other and share the same space.
- **Temporality:** Everything has its own time, and time is not easily scheduled. Change is slow, and time is a process that belongs to others and nature.
- **Learning:** Multiple sources of information are used. Thinking proceeds from general to specific. Learning occurs by observing others as they model or demonstrate and then practicing. Groups are preferred, and accuracy is valued.

Low-Context Cultures

A low-context culture relies on explicit communication. In low-context communication, more of the information in a message is spelled out and defined. Cultures with western European roots, such as the United States and Australia, are generally considered to be low-context cultures.

Low-context cultures often display the following tendencies, according to Halverson:

- **Association:** Relationships begin and end quickly. Productivity depends on procedures and paying attention to the goal. The identity of individuals is rooted in themselves and their accomplishments. Social structure is decentralized.
- **Interaction:** Nonverbal elements are not significant. Verbal messages are explicit, and communication is seen as a way of exchanging information, ideas and opinions. Disagreement is depersonalized; the focus is on rational (not personal) solutions. An individual can be explicit about another person's bothersome behavior.
- **Territoriality:** Space is compartmentalized. Privacy is important, so people stand farther apart.
- **Temporality:** Events and tasks are scheduled and to be done at particular times. Change is fast, and time is a commodity to be spent or saved. One's time is one's own.
- **Learning:** One source of information is used. Thinking proceeds from specific to general. Learning occurs by following the

explicit directions and explanations of others. Individual orientation is preferred, and speed is valued.

Communication Dynamics in High- and Low-Context Cultures

Cultural differences shape every aspect of global communication, says *Forbes* contributor Carol Kinsey Goman. This helps explain why people in Japan (a high-context culture) prefer face-to-face communication over electronic technology favored by other industrialized countries like the United States, Canada, the United Kingdom and Germany (low-context cultures).

High-context cultures also prefer personal bonds and informal agreements over meticulously worded legal documents. They “are looking for meaning and understanding in what is *not* said — in body language, in silences and pauses, and in relationships and empathy,” Goman says. Meanwhile, low-context cultures “place emphasis on sending and receiving accurate messages directly, and by being precise with spoken or written words,” she explains. U.S. business leaders often fall into a communication trap by disregarding the importance of building and maintaining personal relationships when interacting with people from high-context cultures.

People should also watch for differences within high- and low-context cultures. This classification is an oversimplification, according to A.C. Krizan and others in the book *Business Communication*. “For example, although American culture is classified as low context, communication among family members tends to be high context,” they write. “Family relationships and members’ high level of shared experiences require fewer words because of mutual understandings.”

On the other hand, communication between two businesspersons from a low-context culture tends to be more specific and direct. Attention focuses more on what is said than relationships. In China or Japan, words receive less attention than relationships, mutual understandings and nonverbal body language.

Hofstede’s Taxonomy[iv]

The theory of Hofstede’s cultural dimensions constitutes a framework revolving around cross-cultural communication, which was devised by Geert Hofstede. The dimensions collectively portray the impact of the culture ingrained in society on the values of the members of that society. They also describe the relationship between these values and behavior, with the help of a structure based on factor analysis. In other words, this theory studies significant aspects of culture and provides them a rating on a comparison scale.

So far as international business is concerned, the dimensions of culture form an important facet. Knowledge of the manner in which different features of a business are viewed in different cultures, can help a manager in understanding and sailing successfully across the international business market.

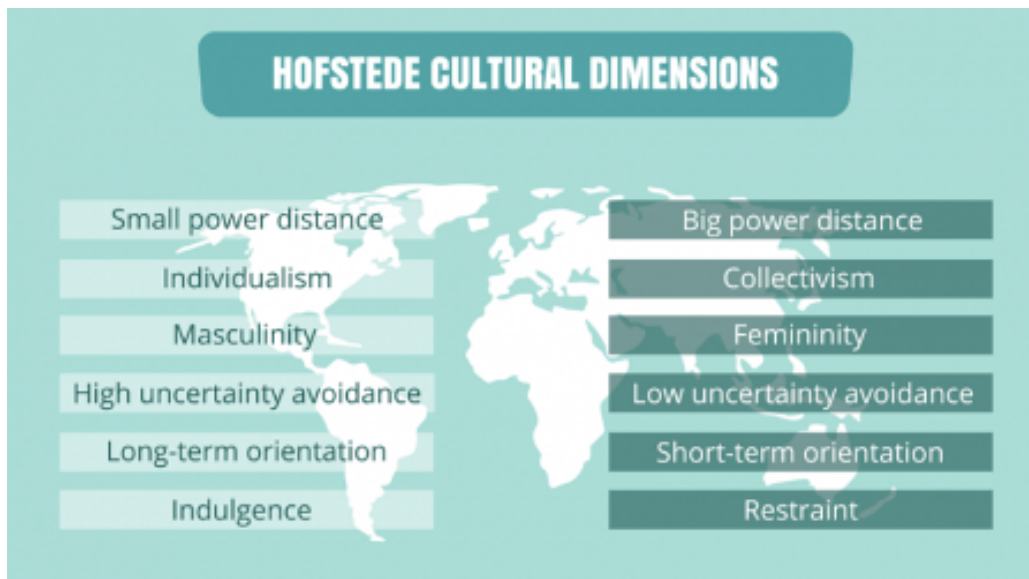


Figure 4.2.2: Hofstede cultural dimensions

In this article, we discuss the topic of Hofstede cultural dimensions by exploring 1) an **introduction**; 2) the **six cultural**

dimensions of Hofstede framework, and using those dimensions to better understand cultures and people based on 3) a **case study of cultural differences**; 4) the **urgency of managing cultural difference as part of human resources management**; and 5) **conclusion**.

Hofstede's Cultural Dimensions

The original model of Hofstede was the outcome of factor analysis done on a global survey of the value system of employees at IBM between the years 1967 and 1973. This theory was one of the initial ones which could quantify cultural differences.

The original theory that Hofstede proposed talked of four dimensions, namely power distance, uncertainty avoidance, individualism vs. collectivism and masculinity vs. femininity. After conducting independent studies in Hong Kong, Hofstede included a fifth dimension, known as long-term vs. short-term orientation, to describe value aspects that were not a part of his original theory. Again in 2010, Hofstede devised another dimension, the sixth one, indulgence vs. self-restraint, in an edition of *'Cultures and Organizations: Software of the Mind'*, co-authored by Michael Minkov.

Hofstede's work serves as the base for other researches in cross-cultural psychology, inviting a number of researchers to study different aspects of international business and communication. These dimensions founded by Hofstede illustrate the deeply embedded values of diverse cultures. These values impact not only how people with different cultural backgrounds behave, but also the manner in which they will potentially behave when placed in a work-associated context.

This is a brief overview of the six cultural dimensions:

1. **Power Distance:** This dimension explains the extent to which members who are less powerful in a society accept and also expect that the distribution of power takes place unequally.
2. **Uncertainty Avoidance:** It is a dimension that describes the extent to which people in society are not at ease with ambiguity and uncertainty.
3. **Individualism vs. Collectivism:** The focus of this dimension is on the question regarding whether people have a preference for being left alone to look after themselves or want to remain in a closely knitted network.
4. **Masculinity vs. Femininity:** Masculinity implies a society's preference for assertiveness, heroism, achievement and material reward for attaining success. On the contrary, femininity represents a preference for modesty, cooperation, quality of life and caring for the weak.
5. **Long-Term vs. Short-Term Orientation:** Long-term orientation describes the inclination of a society toward searching for virtue. Short-term orientation pertains to those societies that are strongly inclined toward the establishment of the absolute truth.
6. **Indulgence vs. Restraint:** This revolves around the degree to which societies can exercise control over their impulses and desires.

Hofstede's Dimensions and Understanding Countries, Culture and People

According to Geert Hofstede, culture is the mind's collective programming that differentiates between one category of people and members of one group from another. The term 'category' might imply nations, religions, ethnicities, regions across or within nations, genders, organizations, or occupations.

#1: Power Distance

Power distance stands for inequality that is defined not from above, but from below. It is, in fact, the extent to which organizations and societies accept power differentials.

Societies with large power distance are characterized by the following features:

- Autocracy in leadership;
- Authority that is centralized;
- Paternalistic ways of management;
- A number of hierarchy levels;
- The acceptance of the privileges that come with power;
- A lot of supervisory staff;
- An expectation of power differences and inequality.

- Societies that have small power distance possess the following features:
- Participative or consultative style of management;
- Decision-making responsibility and authority decentralized;
- Flat structure of organizations;
- Supervisory staff small in proportion;
- Questioning the authority and lack of acceptance;
- An inclination toward egalitarianism;
- Consciousness of rights.

#2: Uncertainty Avoidance

Uncertainty avoidance is the extent to which the members belonging to a society are capable of coping with future uncertainty without going through stress.

Weak uncertainty avoidance comes with the following features:

- Undertaking risk;
- Flexibility;
- Tolerance toward differing opinions and behaviors.

Strong uncertainty avoidance is represented by the following aspects:

- Tendency to avoid risk;
- Organizations that have a number of standardized procedures, written rules, and clearly delineated structures;
- Strong requirement for consensus;
- Respect for authority;
- Requirement for predictability highlighting the significance of planning;
- Minimal or no tolerance for deviants;
- Promotions depending upon age or seniority.

#3: Individualism vs. Collectivism

Individualism set against its opposite collectivism defines the extent to which individuals are inclined toward remaining in groups.

Individualistic cultures are characterized by:

- Fostering contractual relationships that revolve around the fundamentals of exchange. These cultures engage in the calculation of profit and loss prior to engagement in a behavior.
- Concentration on self or at the most very near and dear ones, and concern with behavioral relationships as well as own goals, interests, and needs.
- Emphasis on personal enjoyment, fun, and pleasure, over duties and social norms. They are a part of a number of in-groups which hardly have any influence on their lives.
- Self-sufficiency and value independence, and placement of self-interest over collective interest. Confrontation is accepted as an attribute.
- Stress on horizontal relationships (such as the relationship between spouse and spouse) rather than vertical relationships (such as the relationship between parent and child).
- The notion that they hold unique beliefs.

Collectivistic cultures are characterized by:

- Behavior as per social norms that are established for maintenance of social harmony among in-group members;
- Considering the wider collective with regards to implications of their actions;
- Sharing of resources and readiness to give up personal interest keeping in mind the collective interest;
- Favoring some in-groups (such as friends and family);
- Being a part of a few in-groups that have an influence on their lives. Rather than being individualistic, they have an increased inclination towards conformity;
- Increased concern regarding in-group members. They show hostility or indifference toward out-group members;
- Emphasis on harmony and hierarchy within group;

- Regulation of behavior with the help of group norms.

#4: Masculinity vs. Femininity

Masculinity and femininity revolve around the emotional role distribution between genders, which is again a prime issue in a number of societies.

Masculine cultures possess the following characteristics:

- Clearly distinct gender roles;
- Benevolence has little or no significance;

Men are expected to be tough and assertive with a concentration on material achievements;

- Much value is associated with mastery of people, nature, job, and the like;
- Sense of humor, intelligence, affection, personality are considered preferred characteristic traits of a boyfriend by the women;
- Understanding, wealth, and health are considered desirable characteristic traits of a husband by the women.

Feminine cultures possess the following characteristics:

- Overlapping of social gender roles;
- Men, as well as women, are expected to be tender, modest, with focus on the quality of life;
- Emphasis on the non-materialistic angles of success;
- The preferred traits in boyfriends and husbands are the same.

#5: Long-Term vs. Short-Term Orientation

This is based on the Confucian dynamism. According to the teachings of Confucius, the following aspects of life are evident:

- Unequal relationships existing between people ensure the stability of society.
- Every social organization has its prototype in the family.
- Virtuous behavior involves treatment meted out to others in a similar manner as one prefers to be treated oneself.
- So far as tasks in life are concerned, virtue comprises acquiring skills, working hard, education, being wise in spending as well as showing perseverance and patience.

Long-term orientation (high Confucian values) reflects the following:

- A futuristic, dynamic mentality;
- Emphasis on a relationship order depending on status, and observance of this order;
- Emphasis on persistence and perseverance;
- Stress on possessing a sense of shame;
- Stress on thrift;
- Positive association with economic growth;
- Inclination toward interrelatedness represented in sensitivity toward social contacts.

Short-term orientation (low Confucian values) is characterized by the following:

- Orientation toward past and present;
- Focus on respect for tradition;
- A comparatively static, more conventional mentality;
- Emphasis on saving face;
- Emphasis on personal steadiness;
- Focus on stability;
- Emphasis on reciprocation of gifts, favors, and greetings;
- Negative association with economic growth.

#6: Indulgence vs. Restraint

The dimension of indulgence vs. restraint focuses on happiness. A society that practices indulgence makes room for the comparatively free gratification of natural and basic human drives pertaining to indulging in fun and enjoying life. The quality of restraint describes a society that holds back need gratification and tries to control it through stringent social norms.



Think About It . . . Country Comparison

From years of research, Geert Hofstede organized 52 countries in terms of their orientation. Visit [this website](#) and at the bottom of the page go to the country comparison tool and begin exploring Hofstede's dimensions from different cultures.

When looking at Hofstede's research and that of others on individualism and collectivism, it is important to remember is that no culture is purely one or the other. Again, think of these qualities as points along a continuum rather than fixed positions. Individuals and co-cultures may exhibit differences in individualism/collectivism from the dominant culture and certain contexts may highlight one or the other. Also remember that it can be very difficult to change one's orientation and interaction with those with different value orientations can prove challenging. In some of your classes, for example, does the Professor require a group project as part of the final grade? How do students respond to such an assignment? In our experience we find that some students enjoy and benefit from the collective and collaborative process and seem to learn better in such an environment. These students have more of a collective orientation. Other students, usually the majority, are resistant to such assignments citing reasons such as "it's difficult to coordinate schedules with four other people" or "I don't want my grade resting on someone else's performance." These statements reflect an individual orientation.[v]

GLOBE Taxonomy

GLOBE stands from Global Leadership and Organization Behavior Effectiveness. It is a means of compiling information on what are the dominant patterns of a culture. The measures that are defined by Hofstede include: power distance, uncertainty avoidance, in-group collectivism, institutional collectivism, gender egalitarianism, assertiveness, performance orientation, future orientation, and humane orientation. If a culture's numbers are above zero on the GLOBE scale, then they have high dimensions. If they are low on the GLOBE scale, they will be prone to have low dimensions.[vi]

- **Power Distance:** The degree to which people believe that power should be stratified, unequally shared, and concentrated at higher levels of an organization or government
- **Uncertainty Avoidance:** The extent to which people strive to avoid uncertainty by relying on social norms, rules, rituals, and bureaucratic practices to alleviate the unpredictability
- **In-Group Collectivism:** The degree to which people express pride, loyalty, and cohesiveness in their families
- **Institutional Collectivism:** The degree to which a culture's institutional practices encourage collective actions and the collective distribution of resources
- **Gender Egalitarianism:** The extent to which people minimize gender role differences and gender discrimination while promoting gender equality
- **Assertiveness:** The degree to which people are assertive, confrontational, and aggressive in social relationships
- **Performance Orientation:** The extent to which people encourage others to improve their task-oriented performance and excel.
- **Future Orientation:** The degree to which people engage in future orientated behaviors such as planning, investing in the future, and delaying gratification

- Humane Orientation: The degree to which people encourage others to be fair, altruistic, friendly, generous, caring, and kind

The "Global Leadership and Organizational Behavior Effectiveness" (GLOBE) Research Program was conceived in 1991 by Robert J. House of the Wharton School of Business, University of Pennsylvania. In 2004, its first comprehensive volume on "Culture, Leadership, and Organizations: The GLOBE Study of 62 Societies" was published, based on results from about 17,300 middle managers from 951 organizations in the food processing, financial services, and telecommunications services industries. A second major volume, "Culture and Leadership across the World: The GLOBE Book of In-Depth Studies of 25 Societies" became available in early 2007. It complements the findings from the first volume with in-country leadership literature analyses, interview data, focus group discussions, and formal analyses of printed media to provide in-depth descriptions of leadership theory and leader behavior in those 25 cultures. Cultural Dimensions and Culture Clusters: GLOBE's major premise (and finding) is that leader effectiveness is contextual, that is, it is embedded in the societal and organizational norms, values, and beliefs of the people being led. In other words, to be seen as effective, the time-tested adage continues to apply: "When in Rome do as the Romans do." As a first step to gauge leader effectiveness across cultures, GLOBE empirically established nine cultural dimensions that make it possible to capture the similarities and/or differences in norms, values, beliefs –and practices—among societies. They build on findings by Hofstede (1980), Schwartz (1994), Smith (1995), Inglehart (1997), and others. They are: Power Distance: The degree to which members of a collective expect power to be distributed equally. Uncertainty Avoidance: The extent to which a society, organization, or group relies on social norms, rules, and procedures to alleviate unpredictability of future events. Humane Orientation: The degree to which a collective encourages and rewards individuals for being fair, altruistic, generous, caring, and kind to others. Collectivism I: (Institutional) The degree to which organizational and societal institutional practices encourage and reward collective distribution of resources and collective action. Collectivism II: (In-Group) The degree to which individuals express pride, loyalty, and cohesiveness in their organizations or families. Assertiveness: The degree to which individuals are assertive, confrontational, and aggressive in their relationships with others. Gender Egalitarianism: The degree to which a collective minimizes gender inequality. Future Orientation: The extent to which individuals engage in future-oriented behaviors such as delaying gratification, planning, and investing in the future. Performance Orientation: The degree to which a collective encourages and rewards group members for performance improvement and excellence.[vii]

[i] Stokes Rice, 2019

[ii] online.seu.edu/articles/high-and-low-context-cultures/

[iii] courses.candelalearning.com/...-by-culture-2/

[iv] <https://www.cleverism.com/understanding-cultures-people-hofstede-dimensions/>

[v] courses.candelalearning.com/...-by-culture-2/

[vi] http://tevinsic.blogspot.com/2012/03/cultural-patterns-and-communication_02.html

[vii] <https://www.inspireimagineinnovate.com/pdf/globesummary-by-michael-h-hoppe.pdf>

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4.3: Deeper Thinking about Communication

Deeper thinking: Practice communicating that aligns with high-low context culture descriptions

Consider how you use language to explain ideas about the Self Determination Program. Practice these scenarios using the descriptions above.

1. Explain SDP to someone who is new to California from a low-context culture. Assume they understand developmental disabilities in a US context.
2. Explain SDP to someone who speaks English as an additional language and has moved to the US from a low-context culture.
3. Explain SDP to someone who is learning English from a high-context culture.
4. Explain SDP to someone in another language if you have another language in your beautiful brain.

Practice any/all these tasks. Record yourself and make yourself listen to your explanations. (Yes, this can be painful.) Analyze your own explanation. What is missing? What can you do to improve your explanation?

5: Pre-Enrollment Transition Supports

What we will learn

- Steps to move into SDP
- How those steps lead to SDP
- About one regional center's process for SDP

After the person-centered plan (PCP) is complete, the process of moving an individual served by the regional center into the Self Determination Program begins.

Pre-enrollment Supports are not part of the SDP budget or spending plan. These supports are provided before a participant moves into the Self Determination Program.

Checklist to Move into SDP

1. Participant communicates their desire to move into the SDP
2. Participant tells their service coordinator who they want to support them (Person-Centered Planner/Pre-enrollment Transition helper/Independent Facilitator)
3. Supporter/Person-Centered Planner/Independent Facilitator gets a Release of Information from participant who shares it with Regional Center (RC)
4. **PCP created (this can be funded with purchase reimbursement 024 funding)**

These four steps are complete before starting the pre-transition support process.

- RC service coordinator explains the 099-PDS or 099 vendor process to the pre-enrollment support providers (could be the same person as the IF) so they can bill for services
- Once the IF is connected to the 099-PDS FMS, then they begin helping the participant transition to the SDP
- When the participant moves into the SDP, the pre-enrollment SDP supporter either concludes their work with the participant or they continue to support them as an independent facilitator.

Recently, Kern Regional Center examined its SDP process to post on the KRC website at the request of the Local Volunteer Advisory Committee (LVAC). As a result of this project, KRC has clarified some important aspects of their internal (and external) processes and expectations.

Please find this process on the local regional center's webpage. If unable to locate it, send an email to the LVAC and attend the next LVAC meeting to request a similar process document be provided and posted to support service coordinators, program managers, participants, their circles of support, independent facilitators, and financial management services. Everyone connected to SDP benefits when processes are examined, clarified, and made available to all parties.

Kern Regional Center's SDP Process

This process is a living document. KRC's leadership team created it in a good faith effort. The local volunteer advisory committee is grateful for KRC's collaboration.

Kulzer-Reyes had to alter and edit the KRC document sample below to make the text accessible.

Find a document that details the process at the other 20 regional centers. First student to succeed wins a prize.

Sample Process: Transition to SDP Document

Chapter	Self Determination	Revision Date
Procedure #:		
Procedure Title		

PURPOSE: Transitioning into the Self Determination Program.

The SDP Orientation is mandatory training for participants interested in the Self Determination Program. The orientation teaches them about their services, draft budgets and moving away from the traditional model.

Effective April 1, 2026, the California State Council on Developmental Disabilities is the only approved provider to offer the SDP orientation statewide. SDP orientations offered by other entities do not meet the requirement set by the Department of Developmental Disabilities.

- The SDP Orientation can be completed as follows:
- Online via the State Council on Developmental Disabilities (SCDD) Orientation webpage: <https://scdd.ca.gov/sdporientation/>.

The SDP orientation will be provided virtually and is available in English, Spanish, Chinese (Mandarin and Cantone), Vietnamese, Tagalog, Korean, Hmong, Farsi, Armenia, Arabic, and American Sign Language (ASL). Additionally, the SDP Orientation will consist of two required two-hour sessions. Part A must be completed before Part B, and both must be finished prior to accessing SDP transition supports and SDP enrollment.

1. If orientation was completed through the Learning Management System (LMS) or the State Council on Developmental Disabilities (SCDD), the Participant Choice Specialist will run a monthly list of who has completed the orientation and reach out to the participants/families to invite them to a Q&A follow up session. The Q&A follow-up session is held monthly (in hybrid format).
 1. Participants who register for the Q&A follow-up session will have the opportunity to have their 12-month authorization report available.
2. Concurrent to the Q&A follow up session, the Service Coordinator (SC) will be notified and will reach out to the participant/family to ask if they wish to move forward into SDP.
 1. If the participant/family wishes not to continue, the SC will discuss any challenges or obstacles preventing them from transitioning to SDP.
 2. If the participant/family wishes to continue, the SC will support and be the main point of contact during the transition process.
3. If the participant/family is interested in pursuing SDP, the SC will provide the participant/family with a list of Independent Facilitators upon their request.
 1. NOTE: Kern Regional does not endorse any specific Independent Facilitator.
 2. The participant/family has the right to select the Service Coordinator as their Independent Facilitator.
4. The SC will discuss with the participant/family the option of creating a Person-Centered Plan and encourage them to contact their Independent Facilitator for assistance in completing it.
 1. The Person-Centered Plan outlines what's important to and what's important for the participants. It includes their living situation, work, or school programming. It includes the needs, dreams and goals of the participants.
 2. Note: The person-centered plan is optional and does not replace the Individual Program Plan (IPP). It informs the IPP.
5. Once the Person-Centered Plan is completed, the Independent Facilitator can request payment for their service. Payment will be made once the screening process of the Independent Facilitator has been completed and through a standard POS, along with a copy of the plan and invoice.
 1. Plans and invoices should be submitted to Service Coordinator via email and include the SDP email: sdp@kernrc.org.
 2. Note: The Person-Centered Plan does not necessarily require an Independent Facilitator. However, the individual drafting the plan should possess a solid understanding of person-centered practices, as well as knowledge of the participant's preferences, strengths, and needs.

Note: The 12 months authorization report can be requested at any time the participant/family has expressed interest.

As the participant/family is beginning the transitioning process, Kern Regional Center recommends beginning exploring and interviewing the different FMS agencies and different models. Once a draft budget has been obtained the participant/family will contact their chosen FMS.

The role of the FMS is discussed at this early stage in the transition process; however, participants/families choose their FMS later in the process with the help of their Independent Facilitator.

1. Self Determination participants are required to use a Financial Management Service (FMS) to pay for services through SDP. FMS does not work for regional centers but must be contracted by a regional center. The FMS will:
 1. Pay the bills for your services
 2. Provide monthly statements of how you are spending your individual budget
 3. Pay taxes on your staff/workers and ensure employment laws are being followed.
2. The Service Coordinator will review the different service models. *The participant or family can change service models at any time, if they feel it's necessary.*

Once the PCP has been completed, a meeting will be scheduled to discuss the plan and initiate the budget development process.

1. A meeting with Service Coordinator, Participant Choice Specialist, parent, client, Independent Facilitator and/or clients' parents' and circle of support will be held to review the Person-Centered Plan, 12-month authorization report, current services, any new needs, hopes and dreams and available generic services.
2. The 12-month authorizations report will be available and reviewed as the team develops the individual budget.
3. The amount of funding in an individual budget must be based upon services the regional center would have funded through the traditional service delivery model to meet the individual's IPP goals. This amount is calculated by the regional center and must include any adjustments agreed to by the IPP team, as described below. Also, WIC section 4685.8 now requires the IPP team to discuss unmet needs for individuals with no or low purchase of service authorizations, which is defined as less than \$2,000 of authorized services for the most recently available 12 months.
4. The budget will begin with the total amount of the most recently available 12 months of purchase of service authorizations for that individual in the traditional service delivery model. New needed services will be added as identified by the IPP team that are not previously included in a purchase of service authorization. **(DDS Directive 11/25/2025)**
 1. If services requested need further consultation the team will reconvene within 15 days. A Notice of Action will be issued if services are denied.
 2. If assessments are needed, i.e. Supported Living Services, Independent Living Services or Augmentative Communication, etc., the team will reconvene once assessment is completed.
 1. Note: The participant/family will have the availability to have the funding of the assessment added to the draft budget and be reflected in the spending plan.
 3. The participant/family must explore all generic resources with the support of their Service Coordinators.
 4. Service Coordinators will link the participant/family to generic agencies such as Community Navigator Program.
5. **At the conclusion of the meeting, a draft budget that includes current services based on the 12-month authorization report and any new needs will be drafted and the participant/family will have a general idea of services as they transition into SDP.**

At Kern Regional Center, we are dedicated to carefully reviewing each budget and spending plan to ensure they meet all necessary guidelines and align with the requirements of the Lanterman Act and adhere to the following process when certifying an SDP budget.

1. Best Practice Team is a multi-disciplinary team that provides the Service Coordinator with technical assistance, review rates, dental needs assessment and additional information as needed. Additionally, the team reviews services, assessments and any exceptions if warranted.
2. Best Practice Team meets every Monday morning. Service Coordinators will sign up for the next meeting once the draft budget is completed.
3. Once the proposed budget is reviewed and if no questions remain, the budget is certified.
4. The budget will be certified by the Director of Client Services or their designee.
5. The Service Coordinator will send the Regional Center certified budget to the participant/family the same day via docu-sign for the participant's/family's signature and include the Independent Facilitator for additional support.

6. If the participant/family has chosen their Service Coordinator as their Independent Facilitator, the SC will provide support and guidance in understanding the proposed budget.
7. A planning team meeting shall be convened at the participant/family's earliest convenience to discuss any concerns with the budget if final agreement cannot be reached.
8. Once the budget is certified and signed by the participant/family, the Service Coordinator shall provide a copy of the certified budget to the Independent Facilitator.

A Self-Determination Program (SDP) spending plan identifies how a participant's individual budget will be used to support their goals, services, and supports.

1. The spending plan is developed in collaboration with the participant/family, the independent facilitator, and, if included, regional center staff.
2. The spending plan needs to include the services, how often the services will be purchased, the SDP service codes, and the cost of each service and support that will be purchased.

At Kern Regional Center, the draft spending plan as provided by the participant/family and Independent Facilitator will be reviewed at Best Practice Team.

1. The Service Coordinator will review the spending plan with Program Manager, prior to presenting it to the Best Practice Team.
2. Regional Centers are to certify the individual's spending plan. As part of the certification process, regional centers must certify that the goods and services in the spending plan meet the following:
3. Address the goals in the individual's IPP.
 1. Are not available from generic services, including but not limited to, Medi-Cal, In Home Supportive Services, services from other state departments such as the Department of Rehabilitation, and services provided by local school districts or private insurance.
 2. Are eligible for federal financial participation, which means the services or supports are eligible for federal funding and that the services have been approved by the federal Centers for Medicare and Medicaid Services.
4. If the Best Practice team has any questions pertaining to the spending plan, a planning team meeting shall be convened at the participant/family's earliest convenience to discuss. If agreement cannot be reached on any or all services detailed in the spending plan, the participant/family will be provided with their due process rights.
5. If agreement is reached on the spending plan, the Program Manager will submit the spending plan to the SDP Program Manager and the SDP Program Manager will review the spending plan with KRC accounting department, typically before the end of the week.
6. The spending plan will undergo a thorough review by the Accounting Department to verify the accuracy of details including the Name, UCI, Dates of services, FMS vendor number, and most importantly that the calculations are correct.
7. If no questions remain, the Director of Client Services or their designee will certify the spending plan.
8. A copy of the signed spending plan will be provided to family and Independent Facilitator. As well, as to the Lead SDP Service Coordinator for tracking purposes.

Prior to finalizing the Purchase of Service (POS) request and the initiation of the new budget, the spending plan will have to be incorporated into the IPP. At Kern Regional Center, this will be done via an addendum of the existing IPP.

1. The Service Coordinator will draft the addendum based upon the conversations the IPP team has had in previous months leading up to the transition.
2. The Service Coordinator will provide a copy of the addendum to all parties.
3. Once the addendum has been signed and returned from the participant/family, the SC will draft the agreed upon POS requests.
4. The Program Manager will approve the POS.
5. Once all Purchase of Services have been approved the entire packet (open authorizations, copy of certified spending plan) will be emailed to the respective FMS.

***Please note that this is subject to change as procedures are updated by DDS and internal processes at Kern Regional Center.**

Deeper thinking about pre-enrollment supports

1. Examine the KRC SDP process.
2. Find the same type of process document on your home regional center's website.
3. If you cannot locate the document/information on the website, request the information at the next LVAC meeting.

What if...

What if you decided to ONLY work in the pre-enrollment support area? How would that impact your business? There are positives and negatives to something like this, but consider what you might gain from this kind of business focus.

Deeper thinking about a "pre-enrollment supports only" business

This support, or this support paired with person-centered planning, could be the business focus of someone familiar with the Self Determination Program.

- What might the benefit of developing expertise only in these two areas of SDP?
- What might the drawbacks be?

6: How Budgets are Made

What we will learn

- Where and how the initial budget is created
- How traditional services connect to the SDP budget
- How person-centered planning connects to the budget creation
- Why the rules governing budgets matter

Pre-Enrollment Transition Supports

The initial SDP budget is created during the pre-enrollment transition period, and it is based on current needs and current authorizations. To ensure the budget reflects all current needs, consider adjusting the IPP before beginning the transition process. This will make the budget process significantly easier.

Traditional services and the Lanterman Act

Understanding what services are available in the traditional regional center system is key to success in the Self Determination Program. The only way to add to a budget is to identify services and supports that would be provided to a participant in the traditional system. Once those services and supports are identified, the Self Determination Program allows participants to allocate the funds to services they choose themselves to meet the person-centered goals. This is the beauty of SDP: the creativity and innovation to meet needs in “out of the box” ways.

Some services in the traditional system for individuals under 18 are:

- Respite, in-home or out-of-home
- Personal Assistance
- Social Recreation, Camp, and Creative arts
- Socialization Training Program
- Healthy Relationships and Preventing Sexual Abuse (under Individual and Family Training 102, according to the SCDD regional center look up tool)
- Daycare Services: This is for costs above daycare needs for children without disabilities of the same age.

In adulthood, services shift dramatically to include all aspects of life with a developmental disability. Some services added in adulthood include:

- Independent Living Skills (ILS)
- Supported Living Skills (SLS)
- Employment Supports
- Day Programs
- Tailored Day programs
- Money Management

Remember, there is no need to request the exact service or use the traditional service codes. Independent facilitators, participants, and families can describe the challenge and the goal to the service coordinator. Then the service coordinator can think about how that challenge would be addressed in the traditional service delivery model. Different regional centers use service codes in varied ways.

Some people participate in day programs, while others are eligible for more intensive supports to meet their needs. The services an individual needs are the foundation of their budget.

Just like in the traditional system, generic resources are used first in the Self Determination Program. If a participant is trying to use SDP to get around using private insurance or school-based services, this will not work. If a participant's private insurance or Medi-Cal covers a service, this funding source will be used instead of the Self Determination Program.

Person-Centered Plans: Revealing Needs

A wonderful person-centered plan will also help the independent facilitator and service coordinator identify services and supports that are available in the traditional system.

When participants or independent facilitators describe goals and challenges to service coordinators, this provides all parties a chance to work together to brainstorm possible solutions using the traditional service delivery system's available and allowable resources. The person-centered plan can describe the life, the goals, and the challenges a person wants to address, and the service coordinator can suggest solutions based on the traditional system.

When independent facilitators decide what the services should be, before discussions with service coordinators, they might miss additional services, ideas, or even better supports and services from the traditional model.

If the independent facilitator has developed expertise and understanding of a specific regional center, and the predetermined request works for the people they serve, it can be effective and direct. Yet, it might miss the opportunity to build rapport and demonstrate respect for the expertise service coordinators can potentially offer SDP participants.

Current needs

In the regional center system, current needs are the parts of life that people with developmental disabilities need support for and are eligible to receive services.

Sometimes, people struggle to get access to the services they need.

Common reasons for not receiving these services include a lack of providers, inadequate program design, services are not provided in a way that works for the person served, or the service is never offered at all, even when the individual served is eligible for it.

In a person-centered plan, there could be additional needs that are not met, but it is possible that these needs do not connect to services provided in the traditional system. These person-centered needs can lead to goals that connect to a developmental disability, but they will not increase a Self Determination Program budget.

Changes in circumstances

There are many events that can change life. These life-changing events impact what we need in our daily lives. We have changes in circumstances when we move to a new community, get a new job, graduate from high school, enter a new life stage, or lose someone close to us. In each of these circumstances, the change can impact our mental health, our daily living situation, and more.

When there is a change in the lives of a person in SDP, the person-centered plan needs to be updated and this can be shared with the regional center to see how to meet this new need.



Why rules about budgets matter

The Self Determination Program relies on Medicaid funding. This means there are rules from the Centers for Medicaid and Medicare Services (CMS) that determine how funds can be used. Independent facilitators should know what “allowable” expenses are. Allowable expenses are simply the acceptable ways to use federal funds. There is a huge CMS Regulations text with over 400 pages of regulations. Sometimes these rules conflict with each other. However, the important part for independent facilitators to understand is that when we use federal funds for services, we have to follow the rules attached to the money.

Deeper thinking about budgets

If the Individual Program Plan is up-to-date with all of the hopes, dreams, and needs, there should be current authorizations representing the supports and services in place. This makes the budget easy to create.

- Why do you think the IPP may not be up-to-date?
- What barriers exist to accurate IPP development?

If current needs were represented and authorizations were in place, how could that improve the SDP budget creation process?

7: Person-Centered Spending Plans

What we will learn

- How to connect the person-centered plan goals to the participant's spending plan
- What the required elements are in a spending plan

Guide participants through the spending plan process

As you create a spending plan, make sure you explain how the spending connects to the person-centered plan. Much like in an IEP, each staff person, activity, and purchase in the spending plan should refer to a goal in the PCP. If there is not a direct connection between the goal and the proposed spending, it should not be there.

Verify spending is connected to PCP goals

Much like people in school have an **Individualized Education Plan (IEP)**, people served by California's regional center system have an Individualized Program Plan, widely referred to as an IPP. The IPP should reflect the needs and wants of the person served. If the IPP does not reflect a person's needs and wants effectively, the participant can ask the service coordinator to improve the plan to make it more accurate and reflect the individual's real life.

If you have discussed a need with your regional center and the need is still not represented in the IPP, do not sign the document. Allow the regional center to correct the error before the document is signed.

The regional center should supply a notice of action if they cannot or will not provide the needed service. After a request for a service, the regional center has fifteen days to either approve or deny the service. The denial is accompanied by a notice of action (NOA) which can be used to either go to mediation or to a fair hearing to make your argument with someone who can change the decision.

Mediation and fair hearing are not to be feared. They exist to resolve disputes. Use these tools to support positive resolution. When you prepare to attend mediation and/or fair hearing, make sure to address the arguments the regional center is using to deny the service. If you cannot locate counterarguments to the regional center's argument for the denial, it will be very difficult to end with a favorable resolution. However, if you can find support for your argument in statute or the Centers for Medicaid and Medicare Services Regulations, you will have a response based on the system's guidelines. Arguments cannot only be emotional. They must be based on the law. If the request does not fit within the guidelines of the Self Determination Program, it will not be approved.

If a client is making a request that you know does not meet the requirements set forth in the law, you should let them know that the request is not something that can be approved within this funding source. Consider helping them explore nonprofits organizations or local resources that can help provide this type of resource.

Suggested language to communicate appropriate boundaries with clients

"I understand what you are saying; however, Self Determination Program funding cannot be used in this way. If you would like to pursue this (service/purchase/support), I will not be able to help you."

"This sounds important to you. Unfortunately, regulations set by the Centers for Medicaid and Medicare Services do not allow federal funding to be used in this way. Perhaps there is a nonprofit in the community that helps purchase _____."

Deeper Thinking

Create a reasonable and respectful response to help someone understand that there are limits in the Self Determination Program.

Consider how you will help manage participants' and families' expectations of how the Self Determination Program works and does not work. What are things you wish you had known before starting on your work in SDP?

Individual Program Plans contain vital information

An individual's authorized services and supports are reflected in the IPP. This is a legal document that is required by the Lanterman Act.

Many people served by the regional centers and their circle of support fail to realize the importance of the IPP. If an IPP is accurate and contains all needs, this can make the budget authorization process in the Self Determination Program process easier. Each regional center has its own procedures for this, of course, but an inaccurate or vague IPP can be problematic for budget creation.

If the IPP does not reflect a person's reality, the budget creation process can be very difficult. It seems this is where many struggles between the regional center and the SDP participant begin. One way to reduce conflict in this area is to make sure the IPP is accurate, up to date, and includes what life currently looks like for the individual served by the regional center.

The person-centered plan should be the place where all of a person's strengths and passions are shared, and it can also focus on how the individual would like to be spending their time. Some people want to be working. Others volunteer. Still others want to participate in activities in the community. Once this is known, the regional center should offer a service that meets the individual's need. When the service is provided in the traditional system, the individual will participate in the service provided by a vendor of the regional center. However, in the Self Determination Program, the funds that are approved for the traditional service can be used creatively to meet the needs in many different ways. Those different ways of using the funds are the line items of the spending plan.

Example: Writing employment into a spending plan

To show you how the spending plan would address an employment goal, there are various supports an individual might need. Here is a sample goal:

Sample Employment Goal

Kelly will work at a job she chooses with the support she needs to succeed.

In the case of working at a great job, an individual might need someone to support them. This is referred to as a "job coach" in the traditional system. However in SDP, participants can write the job description creatively, hire someone specific to work with as a job coaching support provider, or even hire a support provider for different hours than the traditional system allows. This is one area of creativity in SDP.

To work at a job, Kelly, the person with the goal above, might need support in some of the following areas:

- Career coach: person to support Kelly find a job, write a resume, develop career and professional skills
- Transportation: Kelly rides a bike, but her job is far from the bike path. She needs help to learn how to mount her bike on the public bus's bike rack.
- Schedule: Kelly uses a paper calendar well, but her employer uses an app to schedule her shifts. She wants to be at work on time, and she wants to use the same technology as her workmates.

The spending plan can include a career coach, a transportation coach, and a technology coach so that Kelly can succeed at

attaining and maintaining her desired job.

When an individual has a goal of being active and included in their community, it is important to remember that answering questions about that activity will help shape the spending plan.

Deeper thinking

Test yourself.

1. What do spending plans need to include?
2. Why do spending plans need to be person-centered?
3. Where do the goals come from? Why are they important?

8: Identifying Person-Centered Services and Supports

What we will learn

- How to identify a needed service or support from the person-centered plan
- How to help participants find what they need
- The requirements to use generic resources first
- How to maximize the budget with low cost services

Identifying Person-Centered Services and Supports

One of the challenges people receiving regional center services face is feeling like they do not know what to request. Often this is where trust falters and people feel overwhelmed. Using the service coordinator's expertise can help the SDP participant improve their lives, but understanding what the regional center can provide, based on the Lanterman Act services, can help all parties.

Helping Participants Find What They Need

Understanding Purchase of Services (POS) guidelines from regional centers

Here is a summary of Central Valley Regional Center's Purchase of Services policy document from 2024. Each regional center should have their own POS guidelines posted on their website. Take a minute to find the regional center that serves your community now.

The original document is

The CVRC Purchase of Services (POS) policy outlines how the regional center determines, authorizes, and funds services for individuals with developmental disabilities. All purchased services must align with the Lanterman Act, be based on the individual's needs and preferences, and be documented in an Individual Program Plan (IPP) or Individual Family Service Plan (IFSP).

Independent Facilitators can use this structure to guide planning, help individuals advocate for services, prepare for IPP meetings, and ensure that requests meet regulatory requirements.

The policy emphasizes:

- Person-centered planning
- Use of generic resources first (e.g., Medi-Cal, schools, IHSS)
- Least-restrictive and cost-effective services
- Evidence-based supports only
- Service effectiveness and progress monitoring

Understanding these principles helps Independent Facilitators prepare strong, compliant justifications for service requests and support individuals in navigating denials, appeals, and exceptions.

Finding and Hiring Staff

Job descriptions

Reviewing the PCP before writing job descriptions can help participants include accurate descriptions of the job available. Look for ideas and information that the SDP participant wants the staff members to be able to do. If the PCP states that the person served by the future employee likes to explore the community, eat at restaurants, and dance the polka, it is important to include these details in the job description. Including these details helps communicate the SDP participant's desires while helping the potential staff member understand what kinds of things they will be doing while at work.

Make sure to include expectations and any certifications you will require of your staff. If you need staff to be CPR certified, make sure to include that in the job description.

If staff need to drive for work, make sure to include transportation (non medical transportation service code 338) in the spending plan. In the section about spending plans, look for the sample spending plan. Non-medical transportation will be in the second category, with the service code 338 using the IRS mileage reimbursement rate.

Job postings

Posting jobs on commercial job boards like Indeed, ZipRecruiter, or Care.com can be very helpful. The free versions of these websites may not be sufficient, but check out a few sites and try posting. If you need to buy the paid version of a site, do your homework. What is the job you are hiring? If it is a direct support professional position, make sure the website you choose has access to that type of applicant.

Local treasures: Community colleges and universities

If your local community college or university has a job board, consider posting there. Contact the departments that train the types of workers you want to hire. If you are looking for a technology coach, consider finding a local program. College majors that might be a good match for technology coaches include students majoring in education, video production, technology literacy, or assistive technology. If you are looking for a community integrator, consider students majoring in education, counseling, social work, or disability services. These are a small number of possibilities; in the activity at the end of this chapter, you will have the chance to create your own job description and brainstorm possible connections to current students' majors.

Word of Mouth

Maybe you know someone who would be an amazing community living coach. Maybe you met someone at your temple or church who might be a wonderful asset. Ask people for recommendations. Let people know what kinds of qualities you are looking for, and let them help.

Finding Services

There are many ways to find services which help meet the goals within an individual's person-centered plan, and using low cost and no cost activities can help maximize the budget.

Being a part of the community includes participating in activities people choose. Sometimes the hardest part is finding staff to support community participation, but other times finding the events and activities feels even harder.

Most communities have a parks and recreation department. These departments have websites which publicize local events, community classes, and activities for people to enjoy together. There are also community education programs, adult education and community college course offerings, local sports events, and so much more.

Helping service providers understand the Self Determination Program

There are wonderful businesses in every community that can help support people in meeting their goals within the Self Determination Program. A business that wants to be paid with SDP funds will need to sign up with the SDP participant's financial management service (FMS). No matter which service model a participant uses, the bill pay model allows service providers to register with them and submit approved invoices to the FMS. Each FMS has its own way of paying invoices, so one of the activities in this chapter is about finding the FMS billing requirements to ensure invoices are paid promptly and accurately.

Hiring Staff

Employee hiring checklist for participants with staff

Make sure to create a list of all the employer and employee information for your client. This should include the following:

- Job descriptions
- Employee handbook

Understanding employer burden

Centers for Medicaid and Medicare Services Regulations

Understanding allowable expenses

- Explain federally reimbursable
- Title 17 rules
- HCBS compliance rules (if they still exist next week)
- Related to disability (WIC 4512 (b))

Understanding how to troubleshoot spending plan challenges

Generic Resources

Generic resources are the services that are provided by other agencies that have a legal responsibility to fund them. State law says that regional centers cannot pay for services for which another agency has responsibility. Examples of “Generic Resources” include:

- California Children’s Services
- City, County, and State Housing Services
- Community Legal Services
- County Medical Clinics
- County Mental Health and/or Behavioral Health Services
- Department of Rehabilitation
- Education System (Private and/or Public)
- Family Resource Centers
- Health Care Insurance (Private and/or Public)
- In-Home Supportive Services

They do not include “low-cost” or “no cost” services. Those are important to explore to extend an approved budget as much as possible, but they are not generic resources.

Low Cost Options

Maximizing the funds that are allocated can be easier with low cost services found in the community.

Why IFs Need to Train Participants to Understand How to Be an Employer

Deeper thinking about identifying services and supports

The creativity people can explore with

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9: I want to be my own Independent Facilitator

What we will learn

- Suggestions to start being your own IF

Learn everything you can about SDP

For people with disabilities who want to serve as their own independent facilitator, there is nothing specific you need to do, except learn how the program works. Once you know how the program pieces work, you can serve as your own IF. Taft College offers two noncredit SDP certificates for people who want to learn more about how to be a person-centered planner or an independent facilitator.

Attend or join your local volunteer advisory committee.

Consider creating a support group with others who are navigating the same program. Talk to your Local Volunteer Advisory Committee to see if they can help start a group, ask the self advocate committee to spread the word, or start one yourself. You know what you want. Find people who support your vision, and go for it!

You could also do this with a parent or a sibling, instead of completely alone, if you prefer a connected circle of support. That can work, too. Make sure you invite the people you want to include. Also, make sure you hire the people you want working for you. It can be tempting to have a close family member support you, but if you want to grow your independent living skills, it is possible that an outside view might be incredibly helpful.

Deeper thinking about being your own IF

Make a list of questions you want to know the answers to before you become your own independent facilitator. Check to see if the trainings you have access to answer those questions.

10: Business Skills for Independent Facilitators

What we will learn

- "Other duties as assigned" - the work you didn't know you were signing up for as an IF
- Create a list of services you will provide as an independent facilitator
- Explore software you can use to keep your business organized

What IFs do, besides helping people in SDP

This whole chapter is about what IFs do, so I wrote it as a conversation with you. I work as an independent facilitator, too, so telling you about it from my perspective makes more sense to me.

Time Management and Organizational Skills for Effective Project Management

Business management includes taking care of your business finances, operations, and client development. If serving as an independent facilitator is your full-time job, these tasks could become an overwhelmingly large part of your professional responsibilities. As you grow your business, these tasks will grow.

Visual aids and checklists help participants understand where you are in the SDP process. Monthly assignments or to-do lists can help your clients stay organized and take on increasing responsibility for the work of SDP. Consider creating an organizational tool to keep clients organized. Create one for yourself first. This will help you understand what parts of the program have business skills that you may not yet have.

You are brilliant. You can learn new things. And you can do hard things.

Conflict Avoidance and Resolution

As discussed before, communication skills are a large part of success as an independent facilitator. Clear communication and timely responses to questions can help your clients thrive in SDP.

Operations

Consider how your regional center goes through the process of moving someone into the Self Determination Program. Locate the regional center's SDP process on their website. If you can't find it, send a note to the SDP email and the participant-choice specialist listed on the SDP page of the regional center website. If your regional center no longer has participant-choice specialists, attend the local volunteer advisory committee (LVAC) or send their chair an email asking for the process. Do not give up. The process should be available and transparent.

It can be difficult to plan operations around the operations of others, but that is the key to making SDP work for real people.

- What technology could help you make the process easier?
- What skills do you need to develop in order to serve your clients well?
- What are the hardest stages of the SDP process at the regional center you are working with?
- What can be done to advocate for improvements in that stage of the SDP process?

Client Development

After you have supported your first client in SDP, take the time to reflect on what went well and what you would like to do differently

in the future. Once you have reflected on the process, create a plan to improve your process.

Another important consideration is to match clients and IFs with similar goals, personalities, and ethics. If a prospective client approaches you wanting to switch from their original IF, it may be wise to ask more about the situation. Sometimes, the previous IF was unresponsive, overcommitted, or struggled to manage challenges with a regional center effectively. However, there are also times when a client is asking for support to do something that is unethical, illegal, or unwise. If you are uncomfortable with the way a person is trying to use Medicaid-funded services, be clear with them. Do not agree to support someone who is doing something you know is unethical or illegal.

There are various ways to express yourself clearly.

Here are some possible template language for different challenges:

Unallowable expenses

- “What you are suggesting is not in line with the Medicaid regulations that govern this program. I do not recommend trying to break the law.”
- “I don’t think I am a good fit for your current goals.”
- “There may be other resources to fund _____. Have you asked your service coordinator if she knows any non-profit organizations or community resources that help with that? Unfortunately, what you are hoping to do is not allowed in SDP.”

Questionable rates

- “I noticed that you want to pay three staff members (Community Living Coaches) \$26/hour and one of them \$75/hour. That is a big difference for the same job. Let's make sure there is a reasonable justification for the discrepancy.”

There are ways to avoid this from happening. It makes sense to talk with the participant early to explain your philosophy and comfort level with questionable creativity. If the justification for the wildly different hourly rates is that the participant wants to pay a family member more money than non-family members, that feels a little icky, right? If the reason is the \$75/hour staff has different job expectations and responsibilities, then it is a different job and it needs a different job title and description. Consider including job descriptions for both staff roles when submitting the spending plan in anticipation of the question. Acknowledge that there is a vast difference and explain it.

In short, do not pay people with similar skills and experience vastly different wages for exactly the same work.

This program needs every single independent facilitator working to improve this program’s sustainability. We all do better when we all do better. We can support each other and still hold ourselves to high standards. We can lead by example and maintain strong professional reputations as a community.

Honesty, openness, and clear communication matter deeply. Make sure you are honest about how you plan to support the client, and be honest about what you are not willing to do.

Keeping Organized SDP Participant Records

Naming conventions

Folders by participant

Managing workload

This program can be a lot of work. Consider completing the process with one complete client before adding more. Start with the PCP, move to pre-transition supports, and move them into year 1 of SDP before trying to grow your business. If you can find a mentor, work with an experienced independent facilitator you trust.

Once you are comfortable working with your chosen regional center, adding new clients can be a wonderful experience.

Participant Privacy

Sharing personal information about clients is not acceptable. Some of the information people share with you is protected by the Health Insurance Portability and Accountability Act of 1996 ("HIPAA").

The Department of Health and Human Services summarizes HIPAA and the associated privacy protections it provides like this:

A major goal of the Privacy Rule is to assure that individuals' health information is properly protected while allowing the flow of health information needed to provide and promote high quality health care and to protect the public's health and well being. The Rule strikes a balance that permits important uses of information, while protecting the privacy of people who seek care and healing. Given that the health care marketplace is diverse, the Rule is designed to be flexible and comprehensive to cover the variety of uses and disclosures that need to be addressed.

It is important to know that protecting privacy and being a trustworthy partner is vital in this field. While medical information is HIPAA protected, non-medical information is still private. Do not share personal information about your clients. Always use a **Release of Information (ROI)** document. Immediately share the release with the regional center when you introduce yourself as the client's independent facilitator.

Professional Responsibilities

Program Updates and directives from the Department of Developmental Services occur regularly in this evolving program. As a result, on-going and regular professional development is needed to serve clients well.

Clear expectations from the start

When I start working with a new participant, I try to communicate openly. Below are tasks I am willing (and not willing) to complete as an independent facilitator.

What I do as your IF

- Help create a vision for what life with SDP supports could look like
- Troubleshoot challenges with RC and FMS
- Support client with RC or FMS when there is an impasse
- Create template email messages with necessary information to help solve problems
- Help create a to-do list for the family/participant to complete
- Brainstorm
- Help create annual spending plans
- Attend IPP at your request
- Identify changes in circumstances and unmet needs on an on-going basis
- Provide you with Excel and Word documents (or shared Google Drive files) of your spending plan and PCP – this way you can make your own adjustments as time goes on
- Help you create job descriptions for positions you need to hire
- Empower and train you to understand how SDP works so eventually you will be able to do this work without me.
- Follow the rules of SDP

What you need to do as an SDP participant

- Make the SDP vision a reality (or as close as possible)
- Submit purchase requests connected to your spending plan (the IF should never be completing this task).
- Recruit and hire staff for the positions you need
- Review your monthly spending and ensure your records match your FMS's records.
 - When they don't match, you need to contact them to fix the discrepancy

- Contact potential services and supports to make sure they will work with your FMS
- Connect potential service provider with your FMS
- Ensure service providers understand how to get paid
- Approve and submit invoices
- Approve staff hours per FMS rules and systems
- Create staff and activity schedule for and with your loved one
- Ask me for help when you need it
- Learn how this program works so you can decrease your need for me over time
- Follow the rules of SDP
- Other tasks, as they arise

Determining rates and billing

Like all professions, Independent Facilitators have different levels of professional experience and education. There are requirements in statute that mention needing training in person-centered practices, but this is not hands-on or practical experience. It is based on the desire for planners to understand person-centered thinking and how to apply that to the planning process for SDP.

The hourly rate you set should cover your costs – like income taxes – and provide income. Keep in mind that there are independent facilitators charging very high rates –between \$300-\$1000/hour – which complicates our profession with the regional centers and the Department. Please be mindful of that impact as you determine reasonable and appropriate rates for your services.

It is important that the rate charged matches the combination of the value you provide and a desire to maintain system sustainability. There are ways to charge rates that reflect your growth as a professional, your expertise, and your education levels.

How people determine their hourly rate can be a difficult as an independent facilitator. Typically hourly rates take into consideration levels of education, experience, and quality of work. Since independent facilitator services cannot add to funds through the budget process, charging a high hourly rate can be problematic and unsustainable for SDP participants. The only way for a participant to hire an IF is for them to make the choice to take away from funds in another area.

This service might provide a participant with a form a respite -- the rest comes from not having additional stress and responsibility to learn all aspects of SDP in a short amount of time. So instead of using all of the respite hours as in-home respite in the traditional system's sense, the respite is a relief of responsibility while supporting the family to maintain the person-served in their natural environment.

Consider the tasks an IF has to complete, the on-going learning and training that has to be current, and the responsibility and risk of the job. Because 1099 consultants are responsible for all aspects and costs of their work, the hourly wage may sound higher than it actually is. Remember 25-30% of the hourly rate will likely go to taxes, Medicare and Social Security contributions, and hopefully retirement savings, the rate needs to consider those responsibilities.

Rates may also reflect professional experience, education, and value of service.

IF 1: The newbie

- Completed an IF Training
- Has an IF mentor provided by LVAC funding
- Wants to grow a business
- Has business experience, but is new to disability services
- Has an associate's degree
- Still learning the ins and outs of their local processes
- Wants to do a good job, but recognizes they have a lot to learn to be more effective and efficient
- Has helped one person in a volunteer capacity to enter the program

Perhaps this person should consider starting with a lower hourly rate to start with the person-centered plan -- the cap on the PCP using service code 024 is \$1000. Keep a log to track the hours.

Since the Pre-transition Enrollment supports rate is set by the Department of Developmental Services. Each regional center has

an approved hourly rate. All are around \$50/hour.

Maybe this IF starts their first client between \$45-65/hour and communicates that as they grow in competence, the rate will likely increase in year two.

IF 2: The Veteran

- Has worked as an independent facilitator since the program began in 2020.
- Has a master's degree
- Has professional experience in interpersonal communication and teaching
- Teaches multiple SDP classes
- Has a stated philosophy of empowerment, increasing competence in participant and decreasing need for IF support over time

The person-centered plan and pre-enrollment supports rates are still set rates. No need to stress over those.

The hourly rate might be between \$75-150/hour.

My personal philosophy on rates

- I do not have monthly check ins or required monthly "subscriptions" for my clients.
- I work alone (I do not have employees.)
- I try to teach my clients how to solve their own questions, fix their own spending plans, document their own changes in circumstances, and so much more. This builds capacity in the people I serve.
- I do not charge per text, per question, per minute. If I know the answer to a question and a response can be sent quickly to help a client solve their own problem, I just answer it. No charge, no problem, just good service.

How I plan for IF need in spending plan

This is just a typical regular need participant. There are always people who need more and people who need less.

- Year 1: 1 hour/month = 12 hours at \$125/per
 - total in spending plan = \$1500
- Year 2: 6-8 hours for the year
 - total in spending plan ~\$1000
- Year 3+: We evaluate the changes and challenges happening at their regional center and plan accordingly.

Things I charge for:

- Communication: email, text (if it's a longer chain of questions-- not one quick question), phone
- Meetings (check-ins, Zoom with participant, Zoom with team/regional center/other)
- Research (at participant's request)
- Creating template emails (at participant's request)
- Helping create a vision (at participant's request)
- Calls with your FMS or regional center (at participant's request)
- Anything in the list above or other supports **you ask me to provide in SDP**

Other models

Some people schedule monthly check-ins. Others schedule quarterly ones. Still others work for an IF agency which provides them connection, mentorship, and collaboration. If you are concerned about being able to budget or grow your business, come up with a fair and ethical way to bill.

Deciding what services you will offer

Set reasonable and clear expectations for both yourself and your client. Make sure they are aware of all the things you do and do

not do. Also help them understand that even when you are not working directly for your client, there are many statewide meetings and independent facilitator groups that you may be attending. Keeping current with directives, changes in trailer bill language, and funding challenges takes a lot of time. That is one reason being thoughtful about how you set your hourly rate is important.

There is no reason a participant cannot hire multiple independent facilitators. The independent facilitators simply cannot be paid in any other area of the spending plan. If you are hoping to create a niche business, you can do that, if the client wants that type of service.

Services that DDS outlined in their December 21, 2018 directive

IFs can provide assistance in the following ways:

- Assisting the individual with making informed decisions regarding their individual budget;
- Locating, accessing and coordinating services and supports consistent with the participant's Individual Program Plan (IPP);
- Identifying immediate and long-term needs and developing options to meet those needs;
- Leading, participating, and/or advocating on behalf of participants in the person-centered planning process and development of the IPP; and,
- Obtaining identified services and supports.

However, just because the directive says an IF can provide these services does not mean that an IF provides all these services. Perhaps your expertise is in locating services in your community, and that is the one area you want to serve.

Remember, if you provide all of these services, consider making time to teach and empower those you serve to increasingly complete these tasks independently. Write into the spending plan a life coach who can practice finding services in the community for the person-served to develop these skills, too.

Deeper thinking about what IFs really do

Create a list of SDP-related tasks you feel comfortable providing today. Then, create a list of skills or tasks you want to develop further. What is missing from the lists above? Get ready for an online discussion on expectations.

Transition into Self Determination Program: Ways to be paid to support participants move into SDP

099

Definition (plain language)

099 Vendorization: Courtesy Vendorization

Vendored Payment Process

Pre-Enrollment Supports for Self-Determination Program (099-PDS)

099-PDS services help after your Person-Centered Plan is done and support your move into the Self-Determination Program. You choose who provides these supports—they don't have to be vendored with your regional center. This is often done by an Independent Facilitator (IF).

Plan to do this at least 2 weeks before you want/hope/desire to start pre-transition support services

Step 1: Participant Chooses Independent Facilitator

- Decide what kind of help you need and who you want to provide it.
- You do not have to use regional center vendored providers—you can choose anyone qualified.

To qualify, a provider must:

- Have experience with people with developmental disabilities (lived or paid experience—at least 1 year);
- Complete a training about the SDP; and
- Understand the Lanterman Act and SDP rules.

Step 2: Independent Facilitator Sends Info to Service Coordinator

The Independent Facilitator sends written details to the Service Coordinator, including:

- What services they will provide (service options),
- How many hours (up to 40), and
- SC provides hourly rate (based on the consumer's regional center rate).

Step 3: IPP Team and Service Coordinator Actions

- The team agrees on the services, number of hours, and [rate](#).
- Service Coordinator updates the participant's IPP to include the new service and participant signs addendum.
- Service Coordinator requests Purchase of Service (POS) as two authorizations
 - General SD Supports (service code 099, subcode "PDS")
 - Financial Management Service (FMS), Fiscal Agent (service code 490)
- Service Coordinator will send Face Sheet to the Financial Management Service (FMS)
- Service Coordinator will provide contact info for the FMS vendored for Participant-Directed Services (this FMS may differ from the one the participant chooses for their own SDP) to consumer and provider.

Step 4: Independent Facilitator Onboarding with FMS

The Independent Facilitator gives the FMS:

- [W-9 form](#)
- [SDP General Supports Qualifications and Agreement Form*](#)
- [HCBS Provider Agreement Form*](#)
- Business license (if required)**

* Per DDS Directive (July 2, 2024)

** Per Participant-Directed Services (PDS) waiver requirements

Step 5: What the FMS Does

- Onboards Independent Facilitator confirming they are qualified
- Works with the regional center to receive both POS authorizations (099 for IF and 490 for FMS)
- Tells the Independent Facilitator the start date (services done prior to start date cannot be invoiced)
- Pays the Independent Facilitator once the POS is active

Step 6: Invoicing

The participant approves hours invoiced by the Independent Facilitator:

The IF sends a monthly invoice ([use template](#)).

The participant or family must approve it using one of these methods:

- Participant signs the invoice (digital or physical) and IF sends to FMS -or-
- IF emails invoice to participant who forwards to the FMS stating hours are approved

Comparison of 099 and 099-PDS		
	099	099-PDS
What it does	099 vendorization allows a pre enrollment professional to support an individual as they move from the traditional system into the Self Determination Program. Paid through the e-billing system.	Allows transition support with through FMS designated by
How long it takes to complete the process	It depends on the regional center, but all of the requirements in the vendor packet must be met (typically min 30 days).	
How to initiate the process	IF reaches out to their local regional center staff person in charge of vendorization.	Participant requests 099-PDS is added to the IPP. The service provides 099-PDS. The team coordinator will request purchase Supports (099-PDS) and Fis
How many hours	Up to 40 hours (more can be provided by exception)	Up to 40 hours (more can be
Paperwork required	(outlined in the DDS directive)	• W-9 form • SDP General Supports • HCBS Provider Agreement • Business license (if req
How to complete the process	Contact	The IF will register with the
Where you can work	Your vendorizing regional center, then as a courtesy vendor when the other regional center's requirements are complete (additional insurance requirements are possible)	Only for the client that was a
What are the rates	Rate is set by DDS and is based on the participants regional center rate (not your vendor home regional center)	Rate is set by DDS and is ba vendor home regional cente

Comparison of 099 and 099-PDS

Invoicing		The provider sends a month The participant or family mu Participant signs the invoice -or- Provider emails invoice to p approved
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Person-Centered Plan Payment Process (024)

024 vendor number needed to charge to

Billing FMS

There are invoice requirements in the Self Determination Program. When billing, make sure to follow the current rules. Not doing so may create an unnecessary delay in payments.

Invoicing and Billing

Getting Started with a new participant

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11: Business Skills for Consultants

Business licenses and certificates

Working as a consultant includes the need to have a local business certificate if your community requires one. In Bakersfield, the City of Bakersfield website has a portal where a consultant can apply for a business license. There is a list of twelve important pieces of information you need to gather to apply for this permit. In Bakersfield, the City office staff is amazing and very helpful. Call your amazing city office when you get to the point where you want to start taking clients for pay.

In our city, the first part of the business tax certificate application process looks like this:

CITY OF BAKERSFIELD BUSINESS TAX CERTIFICATE APPLICATION INFORMATION

Any business located within the City limits or coming into the City to conduct business is required to have a City Business Tax Certificate.

The Business Tax Certificate is valid until June 30th each year. Taxes are due each year on July 1st and must be paid before July 31st to avoid penalties. Businesses are responsible for payment of the tax before the due date and should not rely on courtesy reminders.

A Business Tax Certificate Application may be obtained from the Treasury Division counter in City Hall North located at 1600 Truxtun Avenue or by calling the Treasury Division, (661) 326- 3762 or (661) 326-3763.

Items required to complete the application are:

1. Business name – Fictitious Name filing – if required.
2. Business address and telephone number.
3. Billing address
4. All owner names, Service of Process Addresses, and telephone numbers.
5. Type of business.
6. Type of organization.
7. Federal I.D., Social Security, Driver License # or Other ID of one of the owners.
8. Business start date in Bakersfield.
9. Contractors License number – if required.
10. California Department of Tax and Fee Administration (seller's permit) – if required.
11. Estimate of gross receipts for the first twelve months of business.
12. Sign and date. Applications must be completely filled out to avoid any delays.

Please call our office at (661) 326-3762 to obtain a quote before mailing an application.

Applications need to be accompanied with payment in order to be processed.

Fees for regulatory permit(s) may be required depending on the type of business.

Starting a business in Kern County

Creating a business can feel scary, and this course is not a replacement for legal advice on this process. However, small business owners and entrepreneurs around California contribute to our great state's economy every day.

Make sure to follow the business rules in your area, and consider taking a class in entrepreneurship to learn more. In Kern County, Bakersfield College offers noncredit certificates in [Entrepreneurship, Small Business Development, and Small Business Execution](#).

Friends in other parts of California should check to see what the requirements are in their community. Once you know how to complete this process for yourself, you will be able to support new providers in your area with the process. Sharing what we learn is a big part of fostering positive collaborative relationships.

Employer Identification Number / Tax ID

Independent Facilitators working as 1099 NEC workers use their social security number as their tax identification.

Independent facilitators who are creating a separate business or a limited liability corporation (LLC) will need an EIN (Employer Identification Number). Apply for a Federal Employer Identification Number from the IRS if you plan to hire employees or operate as a corporation or partnership.

These numbers are used to ensure that the service provider is paying taxes on the money earned.

Branding/create logo

If you are starting or growing your business, you can use a logo to help build recognition for your work. Canva is a common resource for this. Consider hiring someone in SDP who works with graphic design to help you create yours. This brings our meaningful work full circle.

Getting legal advice on your customer agreement

Agreeing on the services you provide and communicating this with your clients can help avoid many problems. It may make sense to get legal advice on this agreement. You don't want to accidentally put in writing something that is not legal. Businesses, like LegalZoom, have question and answer sections that could be a reasonable resource to get started.

To be clear, this is not a recommendation of LegalZoom; rather, it helps you get started on the path to the legal supports you may need. Did you see how I made sure you know I am not recommending a product, but informing you of an example? So clever. The same should be done with any service, support, or research you provide. The participant and their circle of support are the ones hiring and firing. They need to vet their own service providers to ensure their needs will be met and their goals can be reached with the provider's help.

Professional Liability Insurance

No matter how wonderful of an independent facilitator you are, you will make mistakes. Hopefully, those mistakes will be easily fixed and you will fix them quickly — and without charging your client. It is important to remember the great responsibility independent facilitators have in providing unbiased, high-quality, and ethical service to the people we serve. It is really important to have professional liability insurance in the rare case where a mistake you have made results in a lawsuit.

Make sure to speak with an insurance professional to discuss how much insurance is needed for the type of work you are providing if you have questions. Nothing in this book should be construed as legal advice. Learn as much as you can about the coverage you might want and purchase it. Talk with your accountant to see if it will be a tax write-off as a business expense.

Always talk with an expert to learn more about topics that are new to you. Taking advice about how to be a good IF from someone who is not an independent facilitator doesn't really make sense. Advice about legal questions or insurance concerns or even accounting preparation should come from experts in their respective fields.

Bookkeeping and Invoicing

Invoices have specific requirements set by the Department. Make sure to include all the required information so your invoices can be paid quickly by the FMS.

Keeping track of your invoices, FMS payments, regional center

Business taxes

Bank Account

Keeping a bank account for direct deposit that is separate from your regular household needs will help you keep track of deposits more effectively.

12: TECHNOLOGY SKILLS AND TOOLS IN SDP

What we will learn

- Technology skills that help simplify IF work
- Tools that can simplify IF processes

This chapter is meant to share technology tools that could help an IF improve their efficiency and make life easier. These are not recommendations or product endorsements. Rather, this is a chapter with technology that exists now. Hopefully, it will help IFs better organize their processes and simplify their lives.

Everything independent facilitators do connects to technology.

There are many technology skills and tools that help independent facilitators complete daily tasks. Consider the work that IFs do every day. Then take a moment to think about technology tools that might improve the process.

- Email
- Invoicing
- Project management
- Phone calls
- Virtual meetings

Note! Internet connectivity will be important to anyone meeting with clients in virtual meetings.

Each of these tasks can be easier when we use better tools.

Because technology constantly evolves, it is important to reflect on how to simplify processes to maximize productivity.

Spreadsheets

Using a spreadsheet, like Google Sheets or Microsoft Excel, can help track many tasks. I used ChatGPT to create a list of tasks that spreadsheets could make easier. It provided seventy-four ideas. That is a lot of ways to use a spreadsheet --- too many for many of us.

Here are a few ideas for spreadsheets that could help an IF keep track of important information.

1. SDP Annual Budget Tracker
2. Spending Plan Builder
3. Participant Goal Tracker
4. IF Caseload Dashboard
5. Invoice and Payment Tracker
6. Provider Directory
7. Document & Deadline Tracker
8. Person-Centered Planning Action Plan
9. Employee Management Tracker
10. SDP Compliance Calendar

If there is one of these that looks useful, try using an AI chatbot, like Claude or ChatGPT, to create a template with the necessary formulas. Then copy and paste the information into either a Google Sheet or Microsoft Excel workbook. For more help with spreadsheets, there are countless free resources out in the wild. Many community colleges offer online or in-person noncredit software skill building classes.

[https://biz.libretexts.org/Courses/Coalinga_College/Introduction_to_Spreadsheets_\(BSOT_112\)/01%3A_Introduction_to_Excel_and_Workbooks](https://biz.libretexts.org/Courses/Coalinga_College/Introduction_to_Spreadsheets_(BSOT_112)/01%3A_Introduction_to_Excel_and_Workbooks)

Artificial Intelligence

Using AI to increase productivity has become part of everyday life. Despite the environmental concerns connected to its electricity and water use, generative artificial intelligence is here to stay. And it can be really useful when working with SDP challenges.

Remember, AI is a tool. It is not a replacement for your *actual* intelligence.

Anna Mills

[https://human.libretexts.org/Bookshelves/Composition/Specialized_Composition/AI_and_College_Writing%3A_An_Orientation/04%3A_AI_Strategies/4.04%3A_Getting_the_most_out_of_AI_\(prompting\)](https://human.libretexts.org/Bookshelves/Composition/Specialized_Composition/AI_and_College_Writing%3A_An_Orientation/04%3A_AI_Strategies/4.04%3A_Getting_the_most_out_of_AI_(prompting))

https://human.libretexts.org/Bookshelves/Composition/Specialized_Composition/AI_and_College_Writing%3A_An_Orientation/04%3A_AI_Strategies/4.05%3A_Which_AI_tools_should_I_consider

Invoicing

There are many ways to generate, submit, and track your invoices. Some IFs use the free tools they already have access to. Others pay for services like Quickbooks or SDP Spark. Regardless of the tools you choose, it is important to decide on a system that truly works for you.

Virtual Meetings

There are lots of ways to meet with your clients. Virtual meetings on platforms like Google Meet, Teams in Outlook, and Zoom all have free options.

Deeper thinking about technology

12.1: Fundamental Skills

12.1.1: Overview of Microsoft Excel

12.1.2: Entering, Editing, and Managing Data

12.1.3: Formatting and Data Analysis

12.1.4: Printing

12.1.5: Chapter Practice

12.2: Cautions- Generative AI

12.2.1: Don't trust AI- sometimes it makes things up

12.2.2: Don't trust AI to cite its sources

12.2.3: Don't trust AI with sensitive information; check the privacy policy

12.2.4: Don't trust AI- it's biased

12.2.5: Does using AI do harm? If so, should we stop using it?

12.3: Which AI tools should I consider?

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12.1: FUNDAMENTAL SKILLS

Microsoft Excel is a tool that can be used in virtually all careers and is valuable in both professional and personal settings. Whether you need to keep track of medications in inventory for a hospital or create a financial plan for your retirement, Excel enables you to do these activities efficiently and accurately. This chapter introduces the fundamental skills necessary to get you started in using Excel. You will find that just a few skills can make you very productive in a short period of time.

12.1.1: Overview of Microsoft Excel

12.1.2: Entering, Editing, and Managing Data

12.1.3: Formatting and Data Analysis

12.1.4: Printing

12.1.5: Chapter Practice

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12.1.1: Overview of Microsoft Excel

Learning Objectives

- Examine the value of using Excel to make decisions.
- Learn how to start Excel.
- Become familiar with the Excel workbook.
- Understand how to navigate worksheets.
- Examine the Excel Ribbon.
- Examine the right-click menu options.
- Learn how to save workbooks.
- Examine the Status Bar.
- Become familiar with the features in the Excel Help window.

Microsoft Office contains a variety of tools that help people accomplish many personal and professional objectives. Microsoft Excel is perhaps the most versatile and widely used of all the Office applications. No matter which career path you choose, you will likely need to use Excel to accomplish your professional objectives, some of which may occur daily. This chapter provides an overview of the Excel application along with an orientation for accessing the commands and features of an Excel workbook.

Making Decisions with Excel

Taking a very simple view, Excel is a tool that allows you to enter quantitative data into an electronic spreadsheet to apply one or many mathematical computations. These computations ultimately convert that quantitative data into information. The information produced in Excel can be used to make decisions in both professional and personal contexts. For example, employees can use Excel to determine how much inventory to buy for a clothing retailer, how much medication to administer to a patient, or how much money to spend to stay within a budget. With respect to personal decisions, you can use Excel to determine how much money you can spend on a house, how much you can spend on car lease payments, or how much you need to save to reach your retirement goals. We will demonstrate how you can use Excel to make these decisions and many more throughout this text.

Figure 1.1 shows a completed Excel worksheet that will be constructed in this chapter. The information shown in this worksheet contains sales data for a hypothetical merchandise retail company. The worksheet data can help a retailer analyze the business and determine the number of salespeople needed for each month for example.

	A	B	C	D
	Merchandise City, USA Retail Sales			
	Month	Unit Sales	Average Price	Sales Dollars
	January	2,670	\$ 9.99	\$ 26,685
	February	2,160	\$ 12.49	\$ 26,937
	March	515	\$ 14.99	\$ 7,701
	April	590	\$ 17.49	\$ 10,269
	May	1,030	\$ 14.99	\$ 15,405
	June	2,875	\$ 12.49	\$ 35,916
	July	2,700	\$ 9.99	\$ 26,937
	August	900	\$ 19.99	\$ 17,958
	September	775	\$ 19.99	\$ 15,708
	October	1,180	\$ 19.99	\$ 23,562
	November	1,800	\$ 17.49	\$ 31,416
	December	4,560	\$ 14.99	\$ 75,125
	Total Sales	21,755		\$ 313,619

Figure 1.1 Example of an Excel Worksheet

Starting Excel

1. Locate Excel on your computer.
2. Click Microsoft Excel to launch the Excel application where you are presented with workbook options to help get you started.
3. Click the first option; "Blank Workbook".

Excel for Windows vs Excel for Mac

The Excel for Windows and Excel for Mac software versions are very similar. Most of the features, tools and commands are available in both versions. There are, however, some differences with the Excel interface. There are also a few features that are not available in the Excel for Mac version. The screenshots and step-by-step instructions in this textbook are specific to Excel for Windows. We have attempted to provide alternate screenshots and instructions for the Mac version when the differences are significant. When you see this icon , it means we are providing information specific to Mac users.

The Excel Workbook

A workbook is an Excel file that contains one or more worksheets (referred to as spreadsheets). Excel will assign a file name to the workbook, such as **Book1**, **Book2**, **Book3**, and so on, depending on how many new workbooks are opened. **Figure 1.2** shows a blank workbook after starting Excel. Take some time to familiarize yourself with this screen. Your screen may be slightly different based on the version you're using.

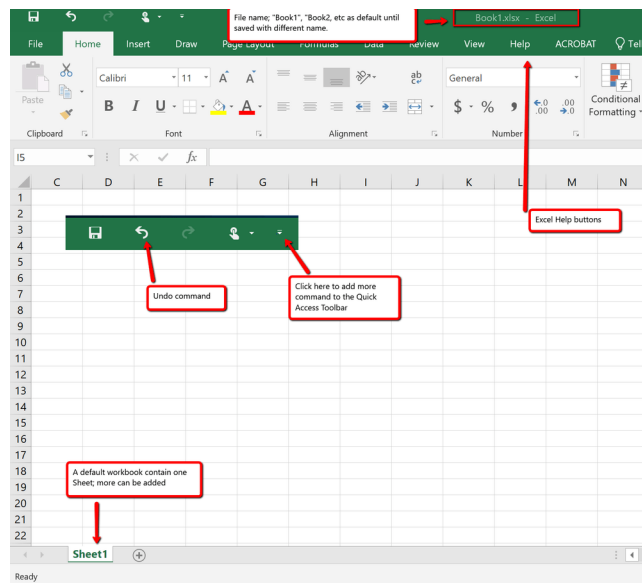


Figure 1.2 Blank Workbook

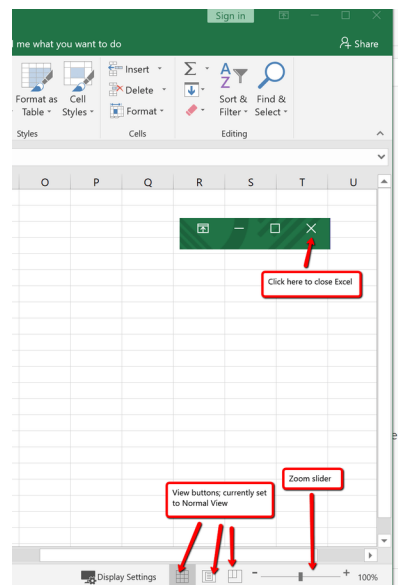


Figure 1.2a Blank Workbook (right-side)

Your workbook should already be maximized (or shown at full size) once Excel is started, as shown in **Figure 1.2**. However, if your screen looks like **Figure 1.3** after starting Excel, you should click the Maximize button, as shown in the figure.

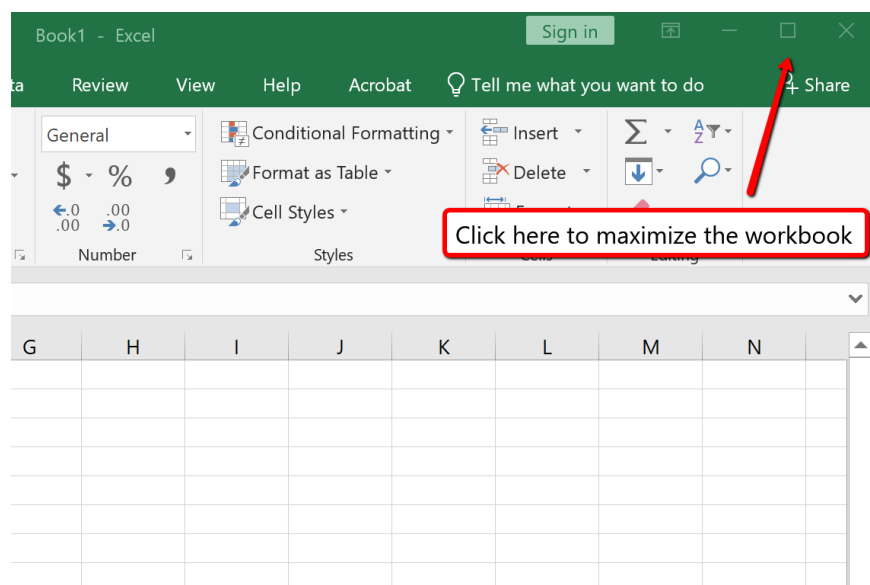


Figure 1.3 Restored Worksheet

Navigating Worksheets

Data are entered and managed in an Excel worksheet. The worksheet contains several rectangles called cells for entering numeric and non-numeric data. Each cell in an Excel worksheet contains an address, which is defined by a column letter followed by a row number. For example, the cell that is currently activated in **Figure 1.3** is **A1**. This would be referred to as cell location A1 or cell reference A1. The following steps explain how you can navigate in an Excel worksheet:

1. Place your mouse pointer over cell D5 and click.
2. Check to make sure column letter D and row number 5 are highlighted, as shown in **Figure 1.4**.

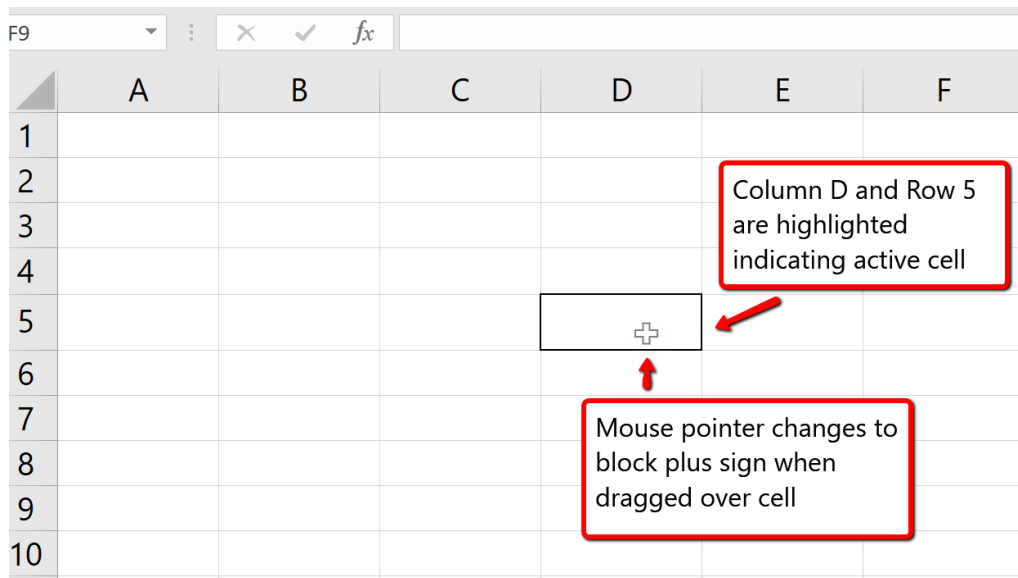


Figure 1.4 Activating a Cell Location

1. Move the mouse pointer to cell A1.
2. Click and hold the left mouse button and drag the mouse pointer back to cell D5.
3. Release the left mouse button. You should see several cells highlighted, as shown in **Figure 1.5**.

This is referred to as a **cell range** and is documented as follows: **A1:D5**. Any two cell locations separated by a colon are known as a cell range. The first cell is the top left corner of the range, and the second cell is the lower right corner of the range.

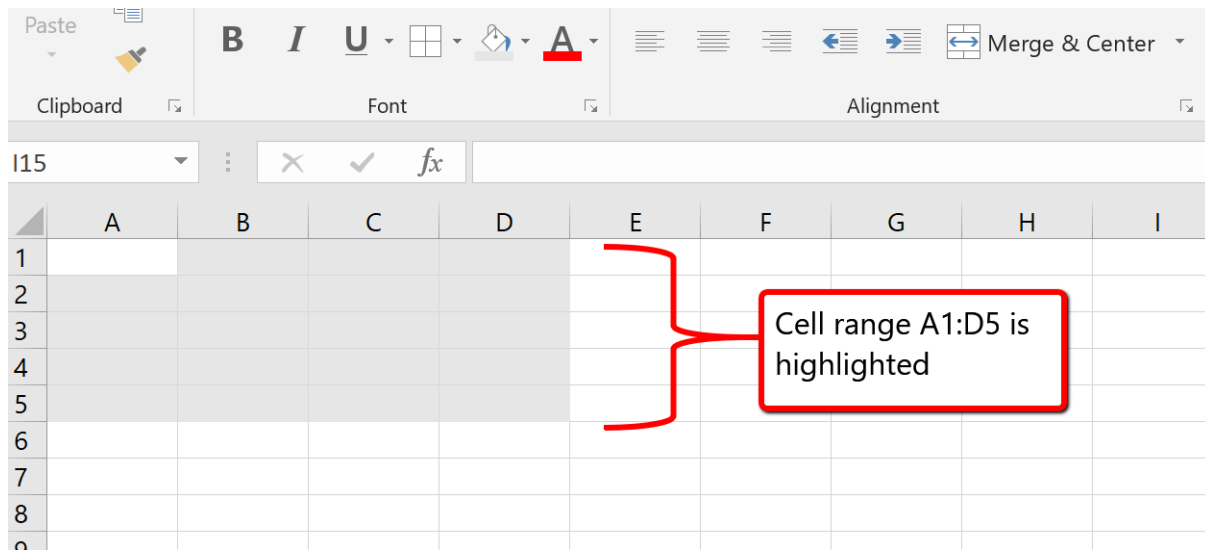


Figure 1.5 Highlighting a Range of Cells

1. At the bottom of the screen, you'll see a sheet tab indicated by "**Sheet1**". Clicking on the + adds additional worksheets. This is how you open or add a worksheets within a workbook. To see how this works, click on the + to add another worksheet so that you now have two sheets
2. Click the Sheet1 worksheet tab at the bottom of the worksheet to return to the worksheet shown in **Figure 1.5**.

Keyboard Shortcuts

Basic Worksheet Navigation

- Use the arrow keys on your keyboard to activate cells on the worksheet.
- Hold the SHIFT key and press the arrow keys on your keyboard to highlight a range of cells in a worksheet.
- Hold the CTRL key while pressing the PAGE DOWN or PAGE UP keys to open other worksheets in a workbook.
-  Mac Users: Hold down the Fn and Command keys and press the left or right arrow keys

The Excel Ribbon

Excel's features and commands are found in the Ribbon, which is the upper area of the Excel screen that contains several tabs running across the top. Each tab provides access to a different set of Excel commands. **Figure 1.6** shows the commands available in the Home tab of the Ribbon. **Table 1.1 “Command Overview for Each Tab of the Ribbon”** provides an overview of the commands that are found in each tab of the Ribbon.

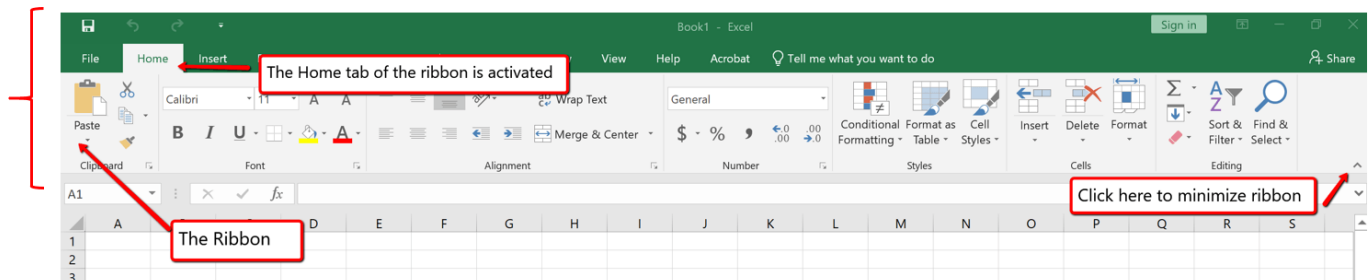


Figure 1.6 Home Tab of Ribbon

 The Excel for Mac ribbon, as shown in **Figure 1.6a** below, has two primary differences:

- The older dropdown menu structure is still available with Excel for Mac.
- The specific commands and tools within each tab are slightly different between the two Excel Ribbons. Some of the commands found within the Excel for Windows Ribbon tabs are located within the dropdown menu structure in the Excel for Mac version. So, if you can't find the tool on the Excel for Mac Ribbon, then try to find the tool by looking through the dropdown menu instead.

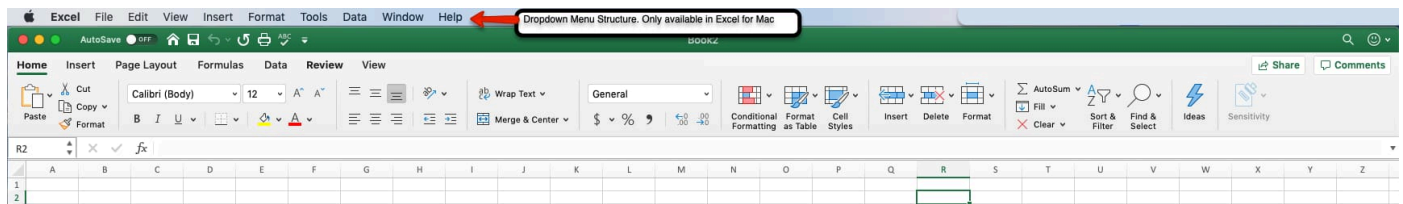


Figure 1.6a Home tab of Excel for Mac Ribbon with dropdown menu structure

Group Title Names on the Ribbon

If you look closely at the Excel Ribbon (See Figure 1.6 above), you will see that the Ribbon is separated in groups of tool buttons, and each group has a title name. On Home tab, the group title names are “Clipboard”, “Font”, “Alignment”, “Number”, “Styles”, “Cells”, “Editing”, etc. The tool buttons within each group are all related to the group title.

 **Mac Users Only:** The default “View” for the Excel for Mac ribbon **does not display** these “group title names”. Notice in Figure 1.6a above, there are no group title names. It is a good idea to change this “view” so you can see the group title names. Here are the steps:

1. Click the “Excel” menu option at top left above the Ribbon
2. Choose “Preferences”

3. Click the **“View”** button
4. Scroll down and check the box for **“Group Titles”**
5. Close the “View” dialog box. The group title names should now display as shown in Figure 6.1 (not Figure 6.1a) above

Table 1.1 Command Overview for Each Tab of the Ribbon

Tab Name	Description of Commands
File	Also known as the Backstage view of the Excel workbook. Contains all commands for opening, closing, saving, and creating new Excel workbooks. Includes print commands, document properties, e-mailing options, and help features. The default settings and options are also found in this tab.
Home	Contains the most frequently used Excel commands. Formatting commands are found in this tab along with commands for cutting, copying, pasting, and for inserting and deleting rows and columns.
Insert	Used to insert objects such as charts, pictures, shapes, PivotTables, Internet links, symbols, or text boxes.
Page Layout	Contains commands used to prepare a worksheet for printing. Also includes commands used to show and print the gridlines on a worksheet.
Formulas	Includes commands for adding mathematical functions to a worksheet. Also contains tools for auditing mathematical formulas.
Data	Used when working with external data sources such as Microsoft Access, text files, or the Internet. Also contains sorting commands and access to scenario tools.
Review	Includes Spelling and Track Changes features. Also contains protection features to password protect worksheets or workbooks.
View	Used to adjust the visual appearance of a workbook. Common commands include the Zoom and Page Layout view.
Help	This tab provides access to help and support features such as contacting Microsoft support, sending feedback, suggesting a new feature, and community discussion groups.  This tab is not available with Excel for Mac.
Draw	Provides drawing options for using a digital pen, mouse or finger depending on the type of device (laptop with touch screen, tablet, computer, etc). This tab is not visible by default. See below on how to customize the Ribbon to add or remove tabs.
Developer	Provides access to some advanced features such as macros, form controls, and XML commands. This tab is not visible by default. See below on how to customize the Ribbon to add or remove tabs.

The Ribbon shown in **Figure 1.6 and Figure 1.6a** (above) is full, or maximized. The benefit of having a full Ribbon is that the commands are always visible while you are developing a worksheet. However, depending on the screen dimensions of your computer, you may find that the Ribbon takes up too much vertical space on your worksheet. If this is the case, you can minimize the Ribbon by clicking the button shown in **Figure 1.6**. When minimized, the Ribbon will show only the tabs and not the command buttons. When you click on a tab, the command buttons will appear until you select a command or click anywhere on your worksheet.

 To hide the Ribbon with Excel for Mac you can use the keyboard shortcut:

Hold down the “Command and Option” keys and tap the “R” key

The same keyboard shortcut will unhide the Ribbon as well.

How to Customize the Excel Ribbon

Here are the steps to add additional tabs to the Excel Ribbon

1. Click the File tab and choose Options
2. Click on “Customize Ribbon” at the left side of the Options screen
3. Click the checkbox next to the Tab name that you want to add (See Figure 1.7 below)

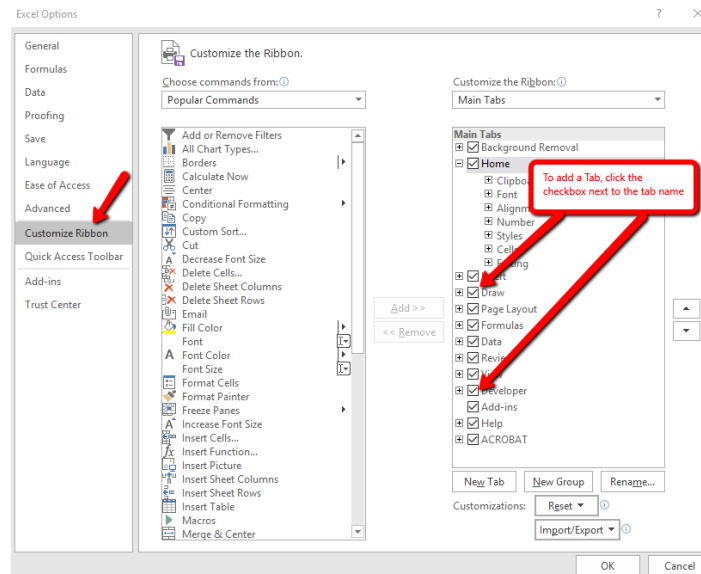


Figure 1.7 Customize the Ribbon Dialog Box

Keyboard Shortcuts

Minimizing or Maximizing the Ribbon

- Hold down the CTRL key and press the F1 key.
- Hold down the CTRL key and press the F1 key again to maximize the Ribbon.
-  Mac Users: Hold down the Command and Option keys and press R

Quick Access Toolbar and Right-Click Menu

The Quick Access Toolbar is found at the upper left side of the Excel screen above the Ribbon, as shown in **Figure 1.7**. This area provides access to the most frequently used commands, such as Save and Undo. You also can customize the Quick Access Toolbar by adding commands that you use on a regular basis. By placing these commands in the Quick Access Toolbar, you do not have to navigate through the Ribbon to find them. To customize the Quick Access Toolbar, click the down arrow as shown in **Figure 1.8**. This will open a menu of commands that you can add to the Quick Access Toolbar. If you do not see the command you are looking for on the list, select the More Commands option.

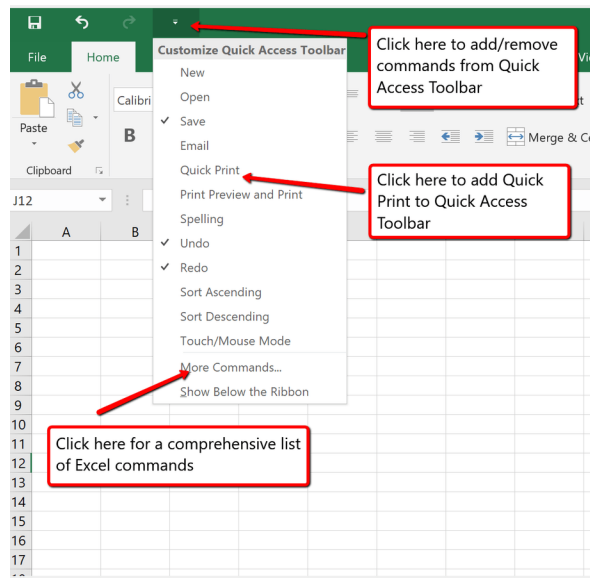


Figure 1.8 Customizing the Quick Access Toolbar

In addition to the Ribbon and Quick Access Toolbar, you can also access many commands by right clicking anywhere on the worksheet. **Figure 1.9** shows an example of the commands available in the right-click menu.

There is no “Right-click” option for Excel for Mac. To access the same commands with Excel for Mac, hold down the Control key and click the mouse button.

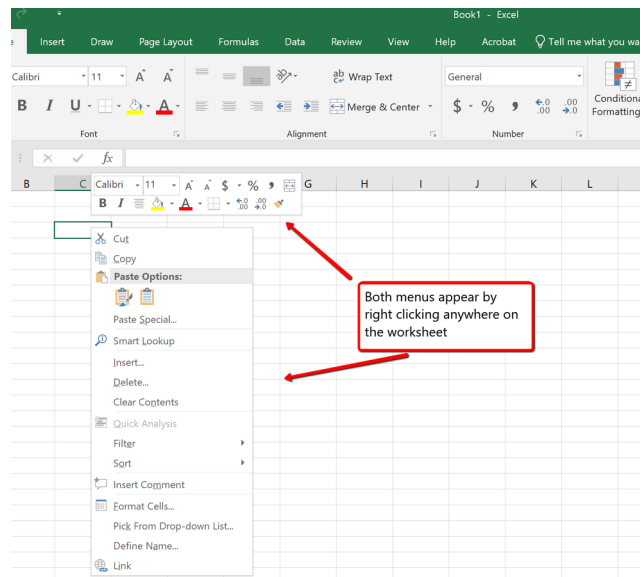


Figure 1.9 Right-Click Menu

The File Tab

The File tab is also known as the **Backstage** view of the workbook. It contains a variety of features and commands related to the workbook that is currently open, new workbooks, or workbooks stored in other locations on your computer or network. **Figure 1.10** shows the options available in the File tab or Backstage view. To leave the Backstage view and return to the worksheet, click the arrow in the upper left-hand corner as shown below.

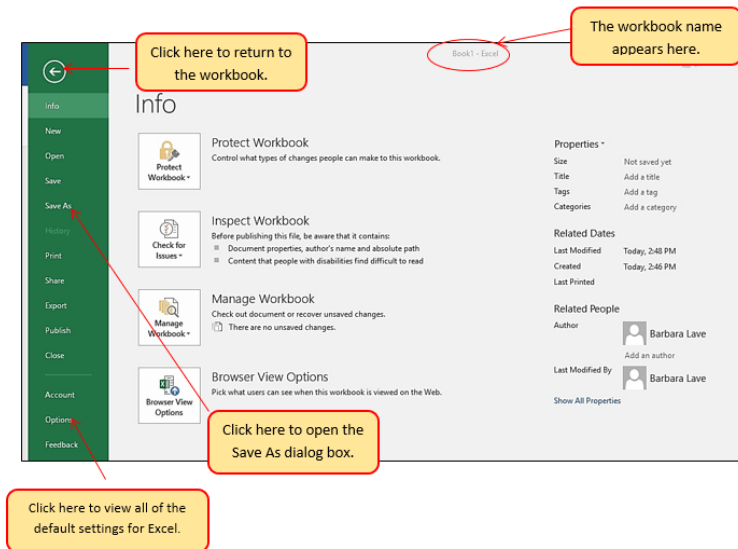


Figure 1.10 File Tab or Backstage View of a Workbook

Included in the File tab are the default settings for the Excel application that can be accessed and modified by clicking the Options button. **Figure 1.11** shows the Excel Options window, which gives you access to settings such as the default font style, font size, and the number of worksheets that appear in new workbooks.

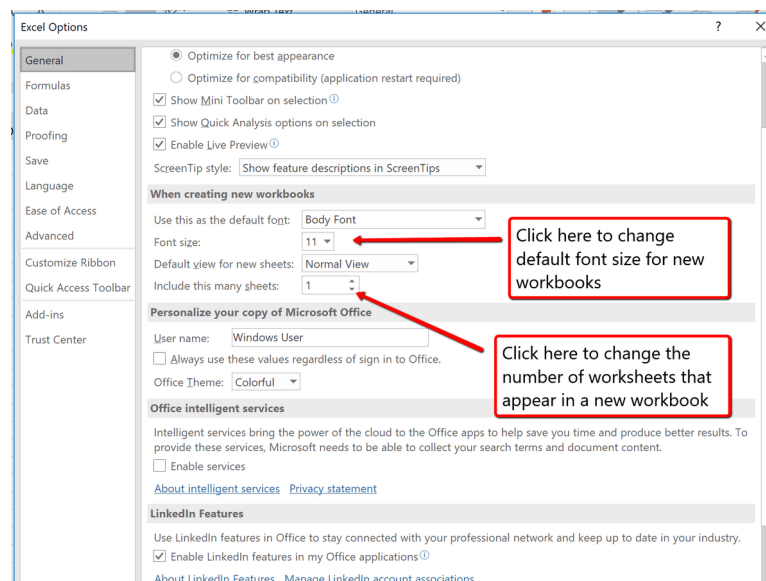


Figure 1.11 Excel Options Window

🍏 To access these same options in Excel for Mac, you must click the "Excel" menu option and choose "Preferences" (see **Figure 1.12** below)



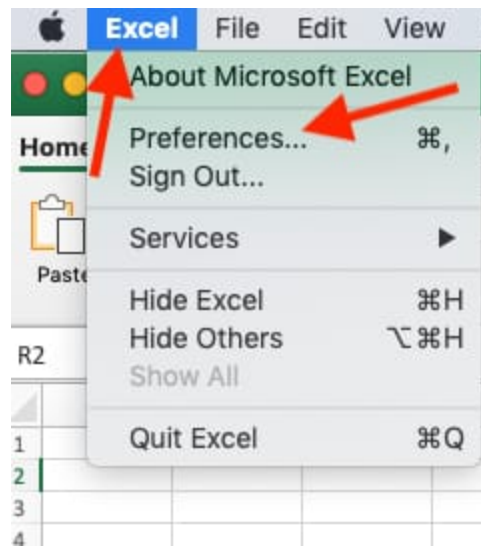


Figure 1.12 The Excel for Mac “Excel” menu option

Saving Workbooks (Save As)

Once you create a new workbook, you will need to change the file name and choose a location on your computer or network to save that file. It is important to remember where you save this workbook on your computer or network as you will be using this file in the **Section 1.2 “Entering, Editing, and Managing Data”** to construct the workbook shown in **Figure 1.1**. The process of saving can be different with different versions of Excel. Please be sure you follow the steps for the version of Excel you are using. The following steps explain how to save a new workbook and assign it a file name.

Saving Workbooks in Excel 365

1. If you have not done so already, open a blank workbook in Excel.
2. Click the File tab and then the **Save As** button in the left side of the Backstage view window. This will open the **Save As** dialog box.
3. Determine a location for saving on your computer by clicking **Browse** on the left side to open the **Save As** dialog box.
4. Click in the File Name box near the bottom of the **Save As** dialog box. Type the new file name: **CH1 Merchandise City Sales Data**
5. Review the settings in the screen for correctness and click the Save button.

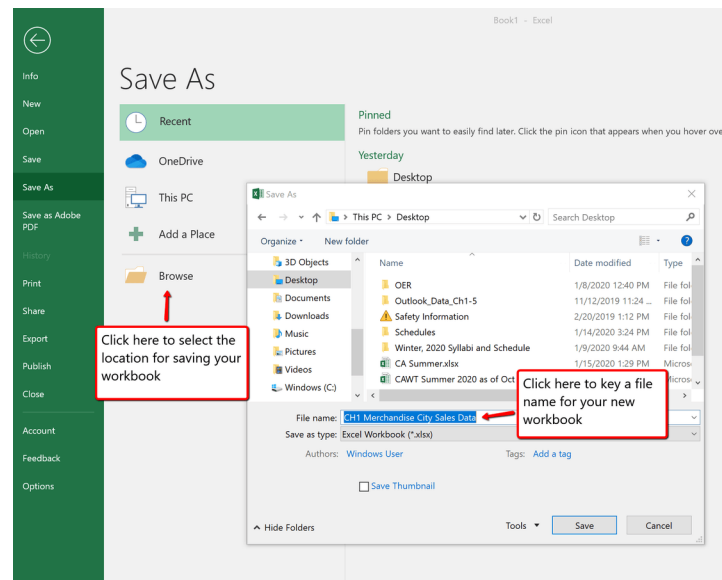


Figure 1.13 Save As Dialog entries for Excel 365

Keyboard Shortcuts

Save As

- Press the F12 key and use the tab and arrow keys to navigate around the Save As dialog box. Use the ENTER key to make a selection.
- Or press the ALT key on your keyboard. You will see letters and numbers, called Key Tips, appear on the Ribbon. Press the F key on your keyboard for the File tab and then the A key. This will open the Save As dialog box.
- 🍏 The Mac shortcut is: Hold down the Command and Shift keys and press S

Skill Refresher

Saving Workbooks (Save As)

1. Click the File tab on the Ribbon.
2. Click the Save As option.
3. Click on Browse to select a location on your PC to save.
4. Click in the File name box and type a new file name if needed.
5. Click the down arrow next to the "Save as type" box and select the appropriate file type if needed. Excel will default to the file type of .xlsx
6. Click the Save button.

The Status Bar

The Status Bar is located below the worksheet tabs on the Excel screen (see Figure 1.13). It displays a variety of information, such as the status of certain keys on your keyboard (e.g., CAPS LOCK), the available views for a workbook, the magnification of the screen, and mathematical functions that can be performed when data are highlighted on a worksheet. You can customize the Status Bar as follows:

1. Place the mouse pointer over any area of the Status Bar and right click to display the "Customize Status Bar" list of options (see Figure 1.14).



Mac Users: use "Control-click" on the Status Bar to display the "Customize Status Bar" options.

2. Select the Caps Lock option from the menu (see Figure 1.14).

3. Press the CAPS LOCK key on your keyboard. You will see the Caps Lock indicator on the lower right side of the Status Bar.
4. Press the CAPS LOCK on your keyboard again. The indicator on the Status Bar goes away.

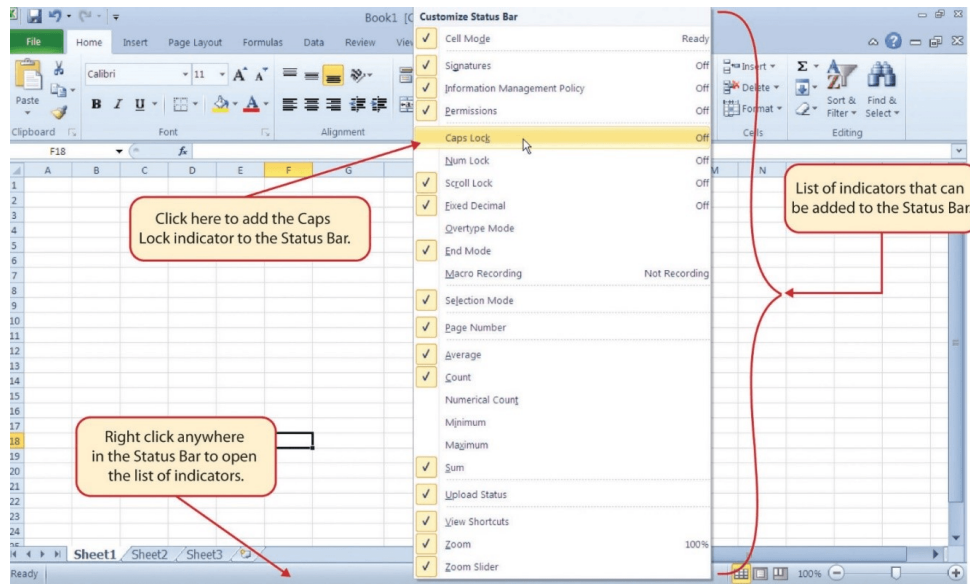


Figure 1.14 Customizing the Status Bar

Excel Help

The Help feature provides extensive information about the Excel application. Although some of this information may be stored on your computer, the Help window will automatically connect to the Internet, if you have a live connection, to provide you with resources that can answer most of your questions. You can open the Excel Help window by clicking the question mark in the upper right area of the screen or ribbon. With newer versions of Excel, use the query box to enter your question and select from helpful option links or select the question mark from the dropdown list to launch Excel Help windows.

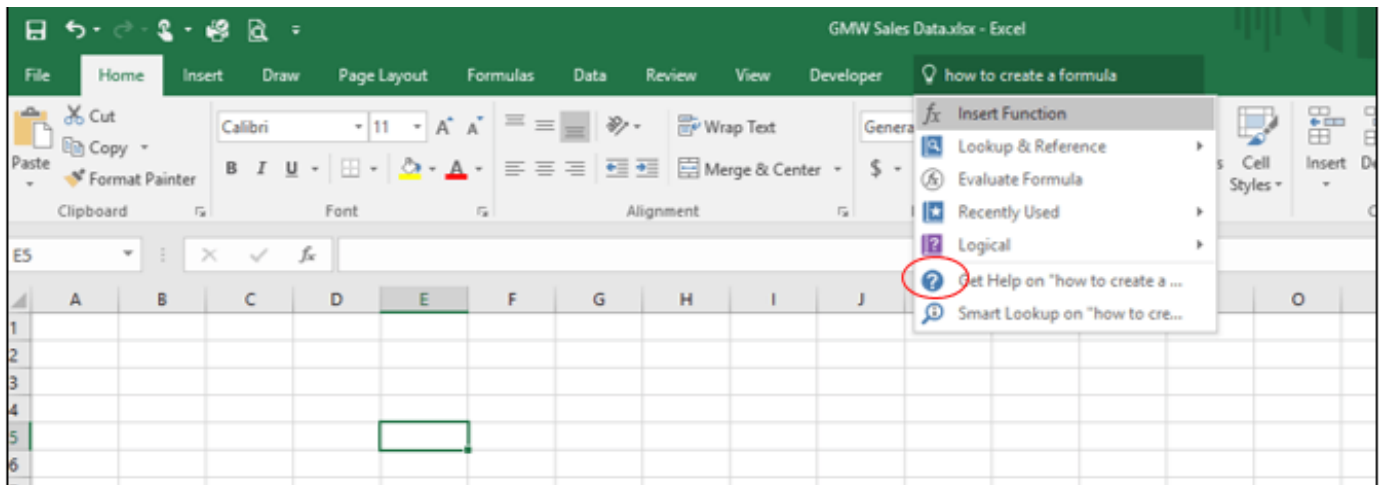


Figure 1.15 Excel Help Window

Keyboard Shortcuts

Excel Help

- Press the F1 key on your keyboard.

-  Mac Users: Press F1 or hold down the Command key and press /

Key Takeaways

- Excel is a powerful tool for processing data for the purposes of making decisions.
- You can find Excel commands throughout the tabs in the Ribbon.
- You can customize the Quick Access Toolbar by adding commands you frequently use.
- You can add or remove the information that is displayed on the Status Bar.
- The Help window provides you with extensive information about Excel.

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12.1.2: Entering, Editing, and Managing Data

Learning Objectives

- Understand how to enter data into a worksheet.
- Examine how to edit data in a worksheet.
- Examine how Auto Fill is used when entering data.
- Understand how to delete data from a worksheet and use the Undo command.
- Examine how to adjust column widths and row heights in a worksheet.
- Understand how to hide columns and rows in a worksheet.
- Examine how to insert columns and rows into a worksheet.
- Understand how to delete columns and rows from a worksheet.
- Learn how to move data to different locations in a worksheet.

In this section, we will begin the development of the workbook shown in **Figure 1.1**. The skills covered in this section are typically used in the early stages of developing one or more worksheets in a workbook.

Entering Data

You will begin building the workbook shown in **Figure 1.1** by manually entering data into the worksheet. The following steps explain how the column headings in Row 2 are typed into the worksheet:

1. Click cell location A2 on the worksheet.
2. Type the word **Month**.
3. Press the RIGHT ARROW key. This will enter the word into cell A2 and activate the next cell to the right.
4. Type **Unit Sales** and press the RIGHT ARROW key.
5. Repeat step 4 for the words **Average Price** and then again for **Sales Dollars**.

Figure 1.15 shows how your worksheet should appear after you have typed the column headings into Row 2. Notice that the word **Price** in cell location C2 is not visible. This is because the column is too narrow to fit the entry you typed. We will examine formatting techniques to correct this problem in the next section.

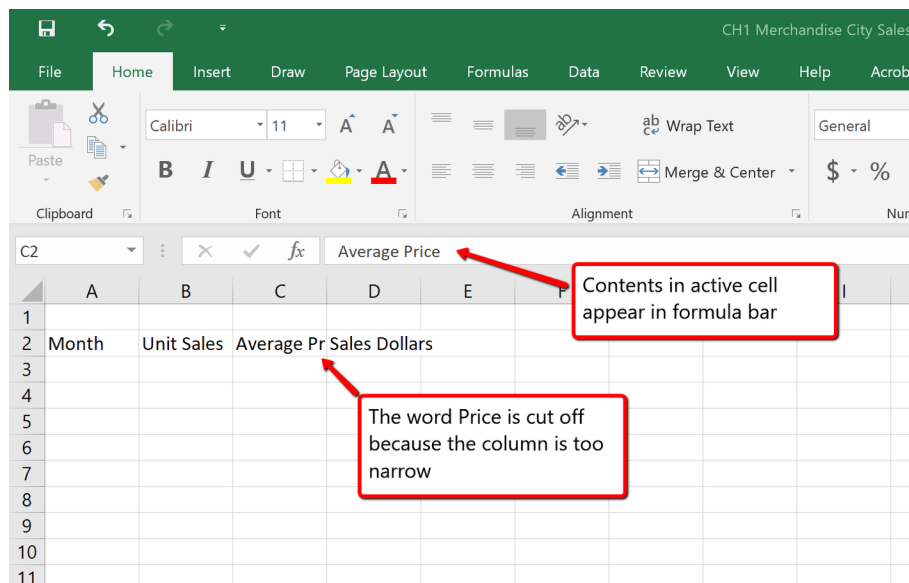


Figure 1.15 Entering Column Headings into a Worksheet

Integrity Check

Column Headings

It is critical to include column headings that accurately describe the data in each column of a worksheet. In professional environments, you will likely be sharing Excel workbooks with coworkers. Good column headings reduce the chance of someone misinterpreting the data contained in a worksheet, which could lead to costly errors depending on your career.

1. Click cell B3.
2. Type the number **2670** and press the ENTER key. After you press the ENTER key, cell B4 will be activated. Using the ENTER key is an efficient way to enter data vertically down a column.
3. Enter the following numbers in cells B4 through B14: **2160, 515, 590, 1030, 2875, 2700, 900, 775, 1180, 1800, and 4560.**
4. Click cell C3.
5. Type the number **9.99** and press the ENTER key.
6. Enter the following numbers in cells C4 through C14: **12.49, 14.99, 17.49, 14.99, 12.49, 9.99, 19.99, 19.99, 19.99, 17.49, and 14.99.**
7. Click cell D3.
8. Type the number 26685 and press the ENTER key.
9. Enter the following numbers in cells D4 through D14: **26937, 7701, 10269, 15405, 35916, 26937, 17958, 15708, 23562, 31416, and 75125.**
10. When finished, check that the data you entered matches **Figure 1.16**.

Why?

Avoid Formatting Symbols When Entering Numbers

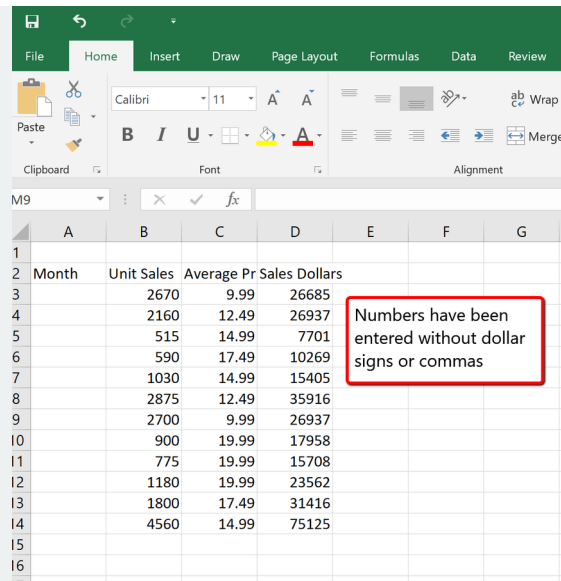
When typing numbers into an Excel worksheet, it is best to avoid adding any formatting symbols such as dollar signs and commas. Although Excel allows you to add these symbols while typing numbers, it slows down the process of entering data. It is more efficient to use Excel's formatting features to add these symbols to numbers after you type them into a worksheet.

Integrity Check

Data Entry

It is very important to proofread your worksheet carefully, especially when you have entered numbers. Transposing numbers when entering data manually into a worksheet is a common error. For example, the number **563** could be transposed to **536**. Such errors can seriously compromise the integrity of your workbook.

Figure 1.16 shows how your worksheet should appear after entering the data. Check your numbers carefully to make sure they are accurately entered into the worksheet.



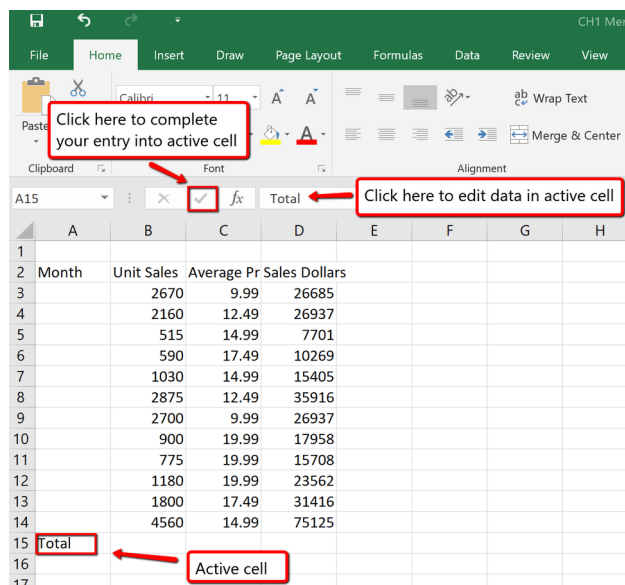
Month	Unit Sales	Average Price	Sales Dollars
	2670	9.99	26685
	2160	12.49	26937
	515	14.99	7701
	590	17.49	10269
	1030	14.99	15405
	2875	12.49	35916
	2700	9.99	26937
	900	19.99	17958
	775	19.99	15708
	1180	19.99	23562
	1800	17.49	31416
	4560	14.99	75125

Figure 1.16 Completed Data Entry for Columns B, C, and D

Editing Data

Data that has been entered in a cell can be changed by double clicking the cell location or using the Formula Bar. You may have noticed that as you were typing data into a cell location, the data you typed appeared in the Formula Bar. The Formula Bar can be used for entering data into cells as well as for editing data that already exists in a cell. The following steps provide an example of entering and then editing data that has been entered into a cell location:

1. Click cell A15 in the Sheet1 worksheet.
2. Type the abbreviation **Tot** and press the ENTER key.
3. Click cell A15.
4. Move the mouse pointer up to the Formula Bar. You will see the pointer turn into a cursor. Move the cursor to the end of the abbreviation **Tot** and left click.
5. Type the letters **al** to complete the word Total.
6. Click the check mark to the left of the Formula Bar (see **Figure 1.17**). This will enter the change into the cell.



Month	Unit Sales	Average Price	Sales Dollars
	2670	9.99	26685
	2160	12.49	26937
	515	14.99	7701
	590	17.49	10269
	1030	14.99	15405
	2875	12.49	35916
	2700	9.99	26937
	900	19.99	17958
	775	19.99	15708
	1180	19.99	23562
	1800	17.49	31416
	4560	14.99	75125
Total			

Figure 1.17 Using the Formula Bar to Edit and Enter Data

1. Double click cell A15.
2. Add a space after the word Total and type the word **Sales**.
3. Press the ENTER key.

Keyboard Shortcuts

Editing Data in a Cell

- Activate the cell that is to be edited and press the F2 key on your keyboard.
 -  Same for Mac Users

Auto Fill

The Auto Fill feature is a valuable tool when manually entering data into a worksheet. This feature has many uses, but it is most beneficial when you are entering data in a defined sequence, such as the numbers 2, 4, 6, 8, and so on, or nonnumeric data such as the days of the week or months of the year. The following steps demonstrate how Auto Fill can be used to enter the months of the year in Column A:

1. Click cell A3 in the Sheet1 worksheet.
2. Type the word **January** and press the ENTER key.
3. Click cell A3 again.
4. Move the mouse pointer to the lower right corner of cell A3. You will see a small square in this corner of the cell; this is called the Fill Handle (See **Figure 1.18**) When the mouse pointer gets close to the Fill Handle, the white block plus sign will turn into a black plus (+) sign.

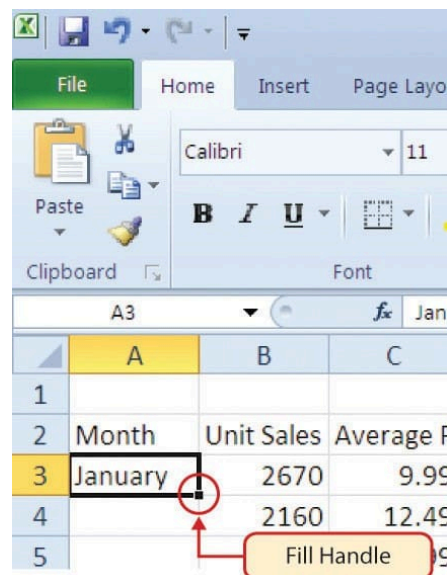


Figure 1.18 Fill Handle

Left click and drag the Fill Handle to cell A14. Notice that the Auto Fill tip box indicates what month will be placed into each cell (see **Figure 1.19**). Release the mouse button when the tip box reads “December.”

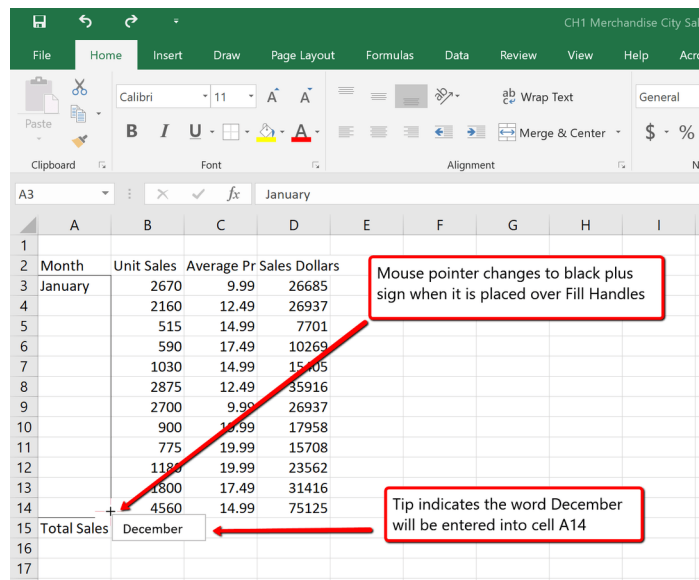


Figure 1.19 Using Auto Fill to Enter the Months of the Year

Once you release the left mouse button, all twelve months of the year should appear in the cell range A3:A14, as shown in **Figure 1.20**. You will also see the Auto Fill Options button. By clicking this button, you have several options for inserting data into a group of cells.

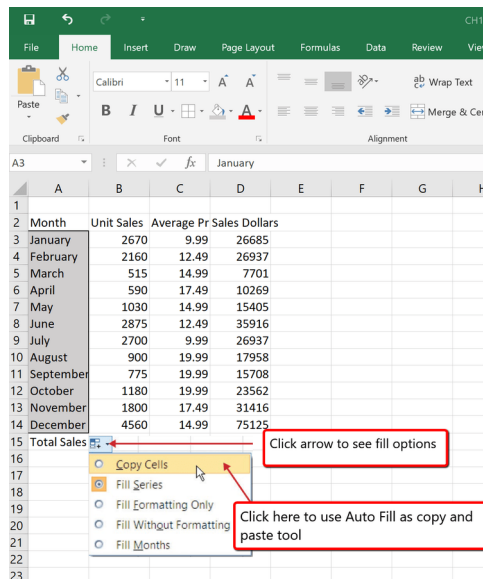


Figure 1.20 Auto Fill Options Button

1. Click the Auto Fill Options button.
2. Click the Copy Cells option. This will change the months in the range A4:A14 to January.
3. Click the Auto Fill Options button again.
4. Click the Fill Months option to return the months of the year to the cell range A4:A14. The Fill Series option will provide the same result.

Deleting Data and the Undo Command

There are several methods for removing data from a worksheet, a few of which are demonstrated here. With each method, you use the Undo command. This is a helpful command in the event you mistakenly remove data from your worksheet. The following steps demonstrate how you can delete data from a cell or range of cells:

1. Click cell C2.
2. Press the **DELETE** key on your keyboard. This removes the contents of the cell.



Mac Users: Hold down the Fn key and press the Delete key

3. Highlight the range C3:C14. Then left click and drag the mouse pointer down to cell C14.
4. Place the mouse pointer over the Fill Handle. You will see the white block plus sign change to a black plus sign (+).
5. Click and drag the mouse pointer up to cell C3 (see **Figure 1.21**). Release the mouse button. The contents in the range C3:C14 will be removed.

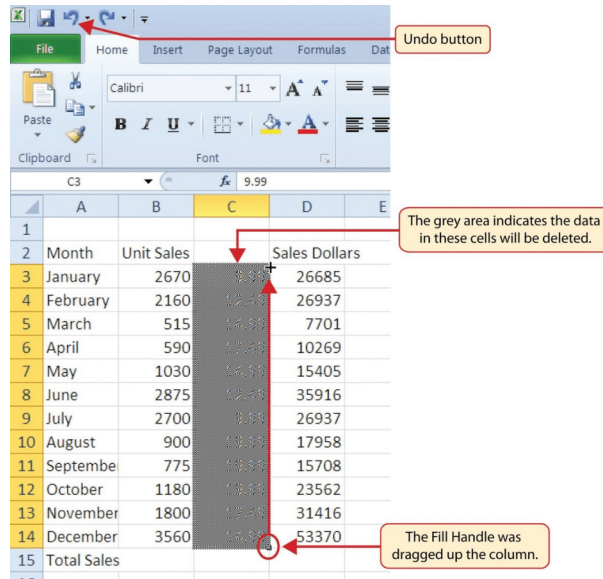


Figure 1.21 Using Auto Fill to Delete Contents of Cell

1. Click the Undo button in the Quick Access Toolbar (see **Figure 1.2**). This should replace the data in the range C3:C14.
2. Click the Undo button again. This should replace the data in cell C2.

Keyboard Shortcuts

Undo Command

- Hold down the CTRL key while pressing the letter Z on your keyboard.
 - Same for Mac Users.
- Highlight the range C2:C14 by placing the mouse pointer over cell C2. Then left click and drag the mouse pointer down to cell C14.
- Click the Clear button in the Home tab of the Ribbon, which is next to the Cells group of commands (see **Figure 1.22**). This opens a drop-down menu that contains several options for removing or clearing data from a cell. Notice that you also have options for clearing just the formats in a cell or the hyperlinks in a cell.
- Click the Clear All option. This removes the data in the cell range.
- Click the Undo button. This replaces the data in the range C2:C14.

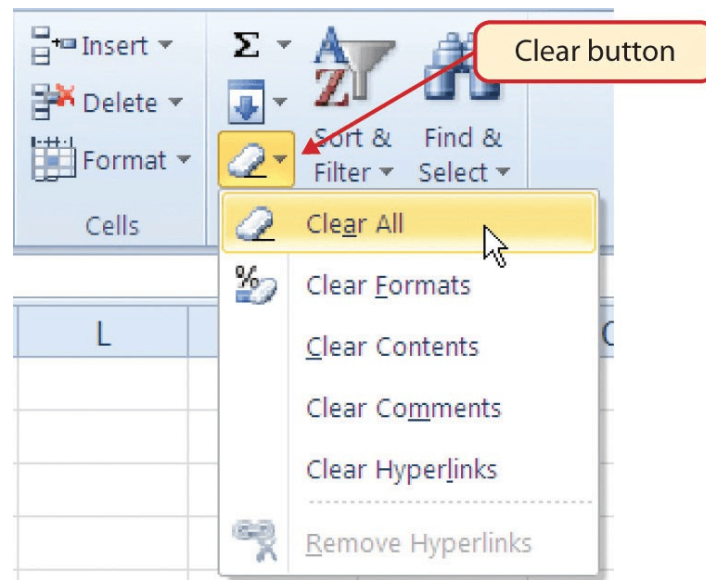


Figure 1.22 Clear Command Drop-Down Menu

Adjusting Columns and Rows

There are a few entries in the worksheet that appear cut off. For example, the last letter of the word September cannot be seen in cell A11. This is because the column is too narrow for this word. The columns and rows on an Excel worksheet can be adjusted to accommodate the data that is being entered into a cell using three different methods. The following steps explain how to adjust the column widths and row heights in a worksheet:

1. Bring the mouse pointer between Column A and Column B in the Sheet1 worksheet, as shown in **Figure 1.23**. You will see the white block plus sign turn into double arrows.
2. Click and drag the column to the right so the entire word September in cell A11 can be seen. As you drag the column, you will see the column width tip box. This box displays the number of characters that will fit into the column using the Calibri 11-point font which is the default setting for font/size.
3. Release the left mouse button.

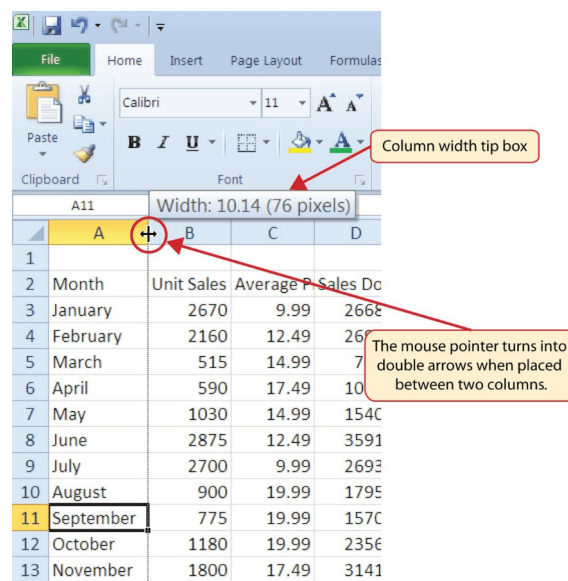


Figure 1.23 Adjusting Column Widths

You may find that using the click-and-drag method is inefficient if you need to set a specific character width for one or more columns. Steps 1 through 6 illustrate a second method for adjusting column widths when using a specific number of characters:

1. Click any cell location in Column A by moving the mouse pointer over a cell location and clicking the left mouse button. You can highlight cell locations in multiple columns if you are setting the same character width for more than one column.
2. In the Home tab of the Ribbon, left click the Format button in the Cells group.
3. Click the Column Width option from the drop-down menu. This will open the Column Width dialog box.
4. Type the number **13** and click the OK button on the Column Width dialog box. This will set Column A to this character width (see **Figure 1.24**).
5. Once again bring the mouse pointer between Column A and Column B so that the double arrow pointer displays and then double-click to activate AutoFit. This features adjusts the column width based on the longest entry in the column.
6. Use the Column Width dialog box (step 6 above) to reset the width to 13.

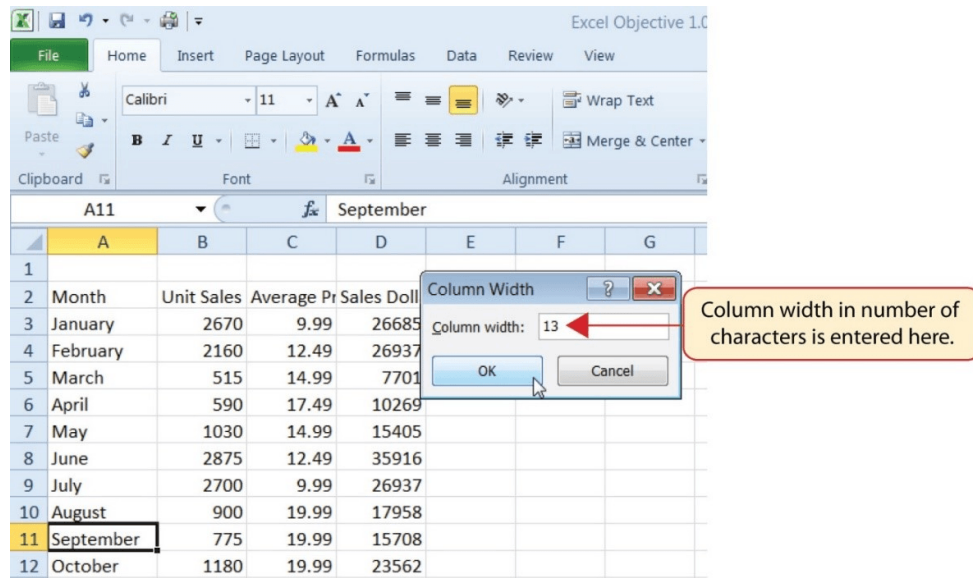


Figure 1.24 Column Width Dialog Box

Keyboard Shortcuts

Column Width

- Press the ALT key on your keyboard, then press the letters H, O, and W one at a time.
-  This keyboard shortcut is not available for Excel for Mac

Steps 1 through 4 demonstrate how to adjust row height, which is similar to adjusting column width:

1. Click cell A15.
2. In the Home tab of the Ribbon, left click the Format button in the Cells group.
3. Click the Row Height option from the drop-down menu. This will open the Row Height dialog box.
4. Type the number **24** and click the OK button on the Row Height dialog box. This will set Row 15 to a height of 24 points. A point is equivalent to approximately 1/72 of an inch. This adjustment in row height was made to create space between the totals for this worksheet and the rest of the data.

Keyboard Shortcuts

Row Height

- Press the ALT key on your keyboard, then press the letters H, O, and H one at a time.
-  This keyboard shortcut is not available for Excel for Mac

Figure 1.25 shows the appearance of the worksheet after Column A and Row 15 are adjusted.

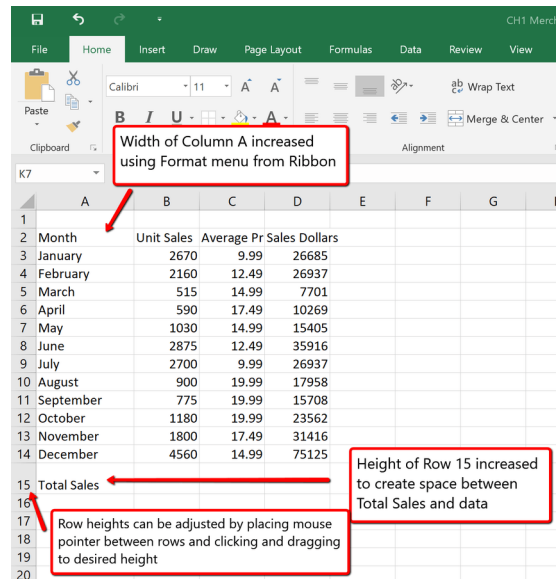


Figure 1.25 Sales Data with Column A and Row 15 Adjusted

Skill Refresher

Adjusting Columns and Rows

1. Activate at least one cell in the row or column you are adjusting.
2. Click the Home tab of the Ribbon.
3. Click the Format button in the Cells group.
4. Click either Row Height or Column Width from the drop-down menu.
5. Enter the Row Height in points or Column Width in characters in the dialog box.
6. Click the OK button.

Hiding Columns and Rows

In addition to adjusting the columns and rows on a worksheet, you can also hide columns and rows. This is a useful technique for enhancing the visual appearance of a worksheet that contains data that is not necessary to display. These features will be demonstrated using the GMW Sales Data workbook. However, there is no need to have hidden columns or rows for this worksheet. The use of these skills here will be for demonstration purposes only.

1. Click cell C1.
2. Click the Format button in the Home tab of the Ribbon.
3. Place the mouse pointer over the Hide & Unhide option in the drop-down menu. This will open a submenu of options.
4. Click the Hide Columns option in the submenu of options (see **Figure 1.26**). This will hide Column C.

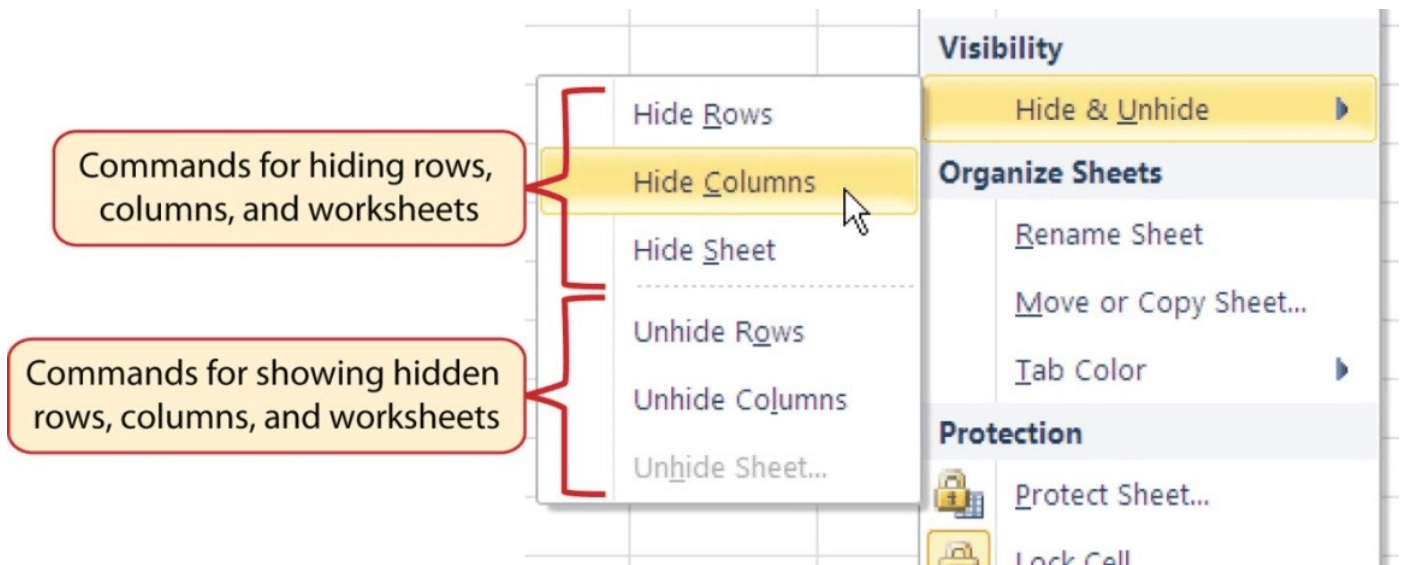


Figure 1.26 Hide & Unhide Submenu

Keyboard Shortcuts

Hiding Columns

- Hold down the CTRL key while pressing the number 0 on your keyboard.
 -  Same for Mac Users

Figure 1.27 shows the workbook with Column C hidden in the Sheet1 worksheet. You can tell a column is hidden by the missing letter C.

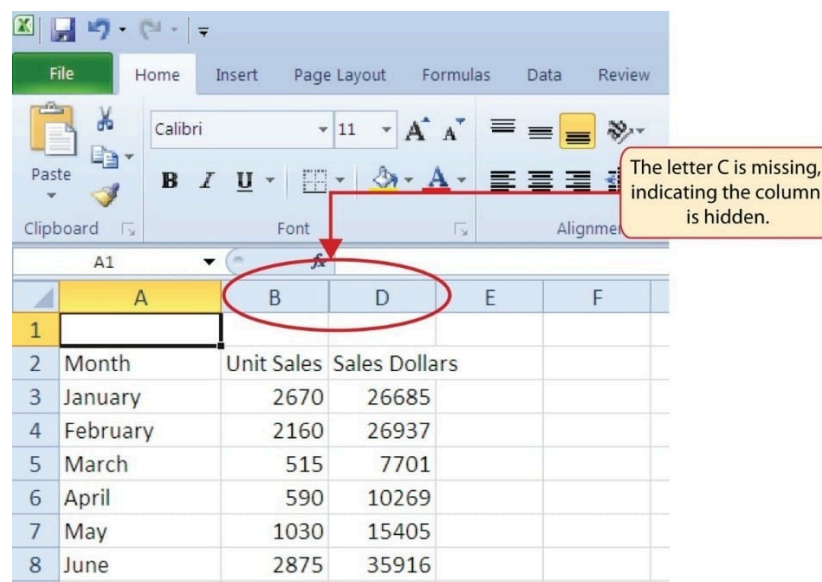


Figure 1.27 Hidden Column

To unhide a column, follow these steps:

1. Select the range B1:D1.
2. Click the Format button in the Home tab of the Ribbon.
3. Place the mouse pointer over the Hide & Unhide option in the drop-down menu.

4. Click the Unhide Columns option in the submenu of options. Column C will now be visible on the worksheet.

Keyboard Shortcuts

Unhiding Columns

- Highlight cells on either side of the hidden column(s), then hold down the CTRL key and the SHIFT key while pressing the close parenthesis key (]) on your keyboard.
-  Mac Users: Hold down Control and Shift keys and press the number 0

The following steps demonstrate how to hide rows, which is similar to hiding columns:

1. Click cell A3.
2. Click the Format button in the Home tab of the Ribbon.
3. Place the mouse pointer over the Hide & Unhide option in the drop-down menu. This will open a submenu of options.
4. Click the Hide Rows option in the submenu of options. This will hide Row 3.

Keyboard Shortcuts

Hiding Rows

- Hold down the CTRL key while pressing the number 9 key on your keyboard.
 -  Same for Mac Users

To unhide a row, follow these steps:

1. Select the range A2:A4.
2. Click the Format button in the Home tab of the Ribbon.
3. Place the mouse pointer over the Hide & Unhide option in the drop-down menu.
4. Click the Unhide Rows option in the submenu of options. Row 3 will now be visible on the worksheet.

Keyboard Shortcuts

Unhiding Rows

- Highlight cells above and below the hidden row(s), then hold down the CTRL key and the SHIFT key while pressing the open parenthesis key ([) on your keyboard.
-  Mac Users: Hold down Control and Shift keys and press the number 9

Integrity Check

Hidden Rows and Columns

In most careers, it is common for professionals to use Excel workbooks that have been designed by a coworker. Before you use a workbook developed by someone else, always check for hidden rows and columns. You can quickly see whether a row or column is hidden if a row number or column letter is missing.

Skill Refresher

Hiding Columns and Rows

1. Activate at least one cell in the row(s) or column(s) you are hiding.
2. Click the Home tab of the Ribbon.
3. Click the Format button in the Cells group.
4. Place the mouse pointer over the Hide & Unhide option.
5. Click either the Hide Rows or Hide Columns option.

Unhiding Columns and Rows

1. Highlight the cells above and below the hidden row(s) or to the left and right of the hidden column(s).
2. Click the Home tab of the Ribbon.
3. Click the Format button in the Cells group.
4. Place the mouse pointer over the Hide & Unhide option.
5. Click either the Unhide Rows or Unhide Columns option.

Inserting Columns and Rows

Using Excel workbooks that have been created by others is a very efficient way to work because it eliminates the need to create data worksheets from scratch. However, you may find that to accomplish your goals, you need to add additional columns or rows of data. In this case, you can insert blank columns or rows into a worksheet. The following steps demonstrate how to do this:

1. Click cell C1.
2. Click the down arrow on the Insert button in the Home tab of the Ribbon (see **Figure 1.28**).

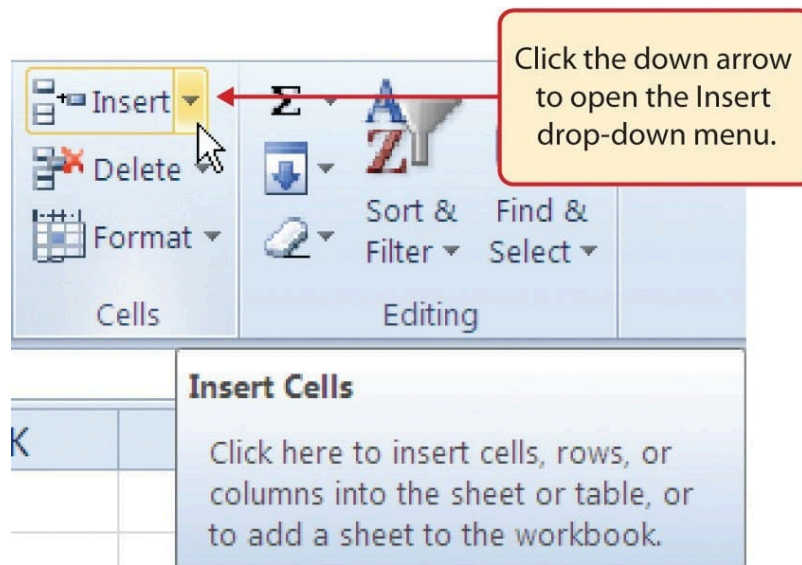


Figure 1.28 Insert Button (Down Arrow)

3. Click the Insert Sheet Columns option from the drop-down menu (see **Figure 1.29**). A blank column will be inserted to the left of Column C. The contents that were previously in Column C now appear in Column D. Note that columns are always inserted to the left of the activated cell.

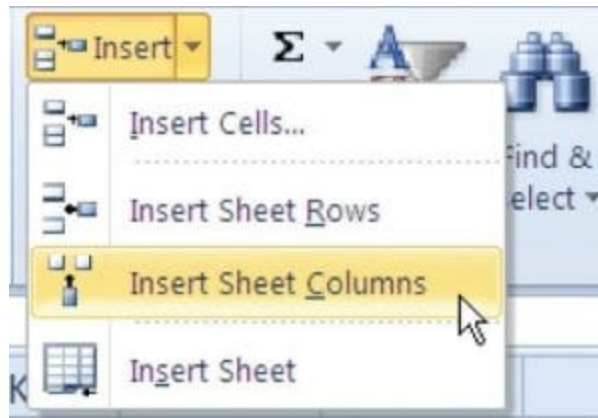


Figure 1.29 Insert Drop-Down Menu

Keyboard Shortcuts

Inserting Columns

- Press the ALT key and then the letters H, I, and C one at a time. A column will be inserted to the left of the activated cell.
-  Mac Users: First hold down the Control key and press the spacebar to select the column; then hold down the Shift and Controls keys and press the + symbol

4. Click cell A3.
5. Click the down arrow on the Insert button in the Home tab of the Ribbon (see **Figure 1.28**).
6. Click the Insert Sheet Rows option from the drop-down menu (see **Figure 1.29**). A blank row will be inserted above Row 3. The contents that were previously in Row 3 now appear in Row 4. Note that rows are always inserted above the activated cell.

Keyboard Shortcuts

Inserting Rows

- Press the ALT key and then the letters H, I, and R one at a time. A row will be inserted above the activated cell.
-  Mac Users: First hold down the Shift key and press the spacebar to select the row; then hold down the Shift and Controls keys and press the + symbol

Skill Refresher

Inserting Columns and Rows

1. Activate the cell to the right of the desired blank column or below the desired blank row.
2. Click the Home tab of the Ribbon.
3. Click the down arrow on the Insert button in the Cells group.
4. Click either the Insert Sheet Columns or Insert Sheet Rows option.

Moving Data

Once data are entered into a worksheet, you have the ability to move it to different locations. The following steps demonstrate how to move data to different locations on a worksheet:

1. Select the range D2:D15.
2. Bring the mouse pointer to the left edge of cell D2. You will see the white block plus sign change to cross arrows (see **Figure**

1.30). This indicates that you can left click and drag the data to a new location.

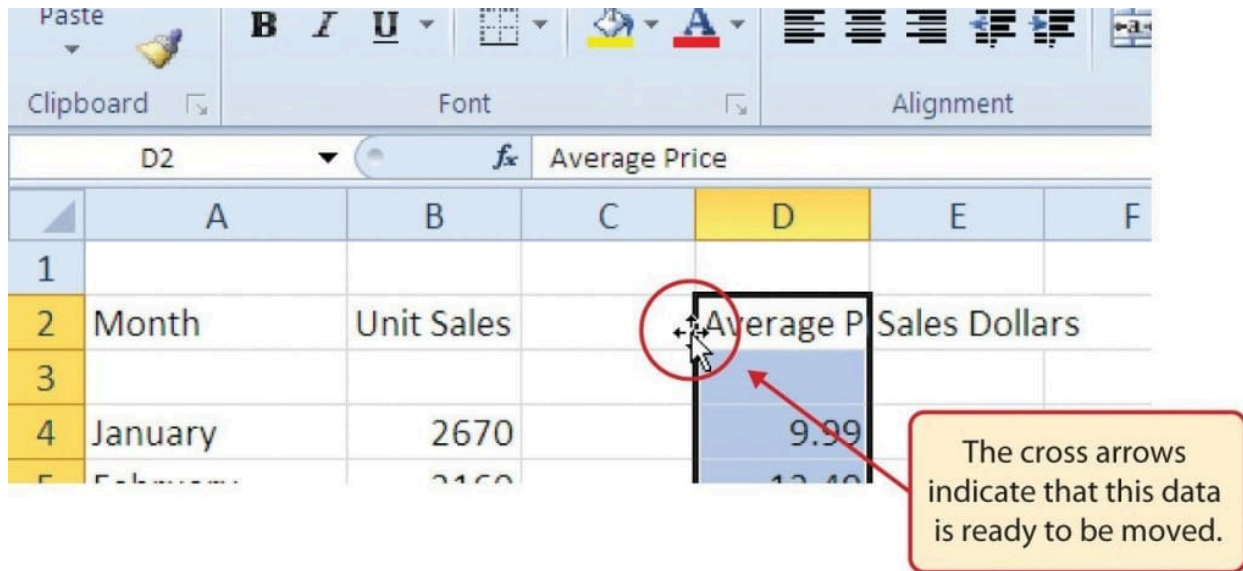


Figure 1.30 Moving Data



Mac Users: when the mouse hovers over the left edge of cell D2, the pointer will turn into a small hand that looks like the

3. Left Click and drag the mouse pointer to cell C2.
4. Release the left mouse button. The data now appears in Column C.
5. Click the Undo button in the Quick Access Toolbar. This moves the data back to Column D.

Integrity Check

Moving Data

Before moving data on a worksheet, make sure you identify all the components that belong with the series you are moving. For example, if you are moving a column of data, make sure the column heading is included. Also, make sure all values are highlighted in the column before moving it.

Deleting Columns and Rows

You may need to delete entire columns or rows of data from a worksheet. This need may arise if you need to remove either blank columns or rows from a worksheet or columns and rows that contain data. The methods for removing cell contents were covered earlier and can be used to delete unwanted data. However, if you do not want a blank row or column in your workbook, you can delete it using the following steps:

1. Click cell A3.
2. Click the down arrow on the Delete button in the Cells group in the Home tab of the Ribbon.
3. Click the Delete Sheet Rows option from the drop-down menu (see **Figure 1.31**). This removes Row 3 and shifts all the data (below Row 2) in the worksheet up one row.

Keyboard Shortcuts

Deleting Rows

- Press the ALT key and then the letters H, D, and R one at a time. The row with the activated cell will be deleted.

-  Mac Users: First hold down the Shift key and press the spacebar to select the row; then hold down Control key and press the – symbol

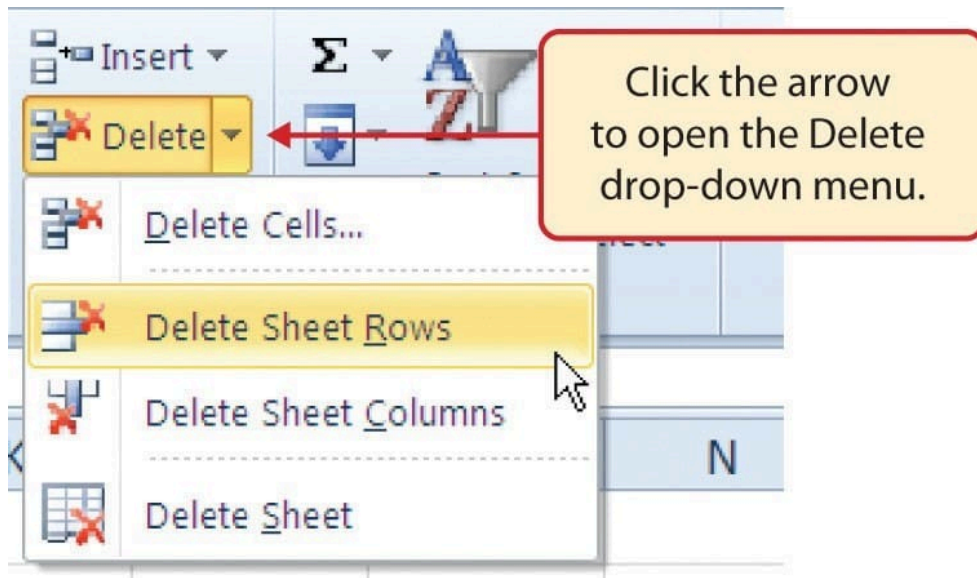


Figure 1.31 Delete Drop-Down Menu

4. Click cell C1.
5. Click the down arrow on the Delete button in the Cells group in the Home tab of the Ribbon.
6. Click the Delete Sheet Columns option from the drop-down menu (see **Figure 1.31**). This removes Column C and shifts all the data in the worksheet (to the right of Column B) over one column to the left.
7. Save the changes to your workbook by clicking either the **Save** button on the Home ribbon; or by selecting the **Save** option from the File menu.

Keyboard Shortcuts

Deleting Columns

- Press the ALT key and then the letters H, D, and C one at a time. The column with the activated cell will be deleted.
-  Mac Users: First hold down the Control key and press the spacebar to select the column; then hold down Control key and press the – symbol

Skill Refresher

Deleting Columns and Rows

1. Activate any cell in the row or column that is to be deleted.
2. Click the Home tab of the Ribbon.
3. Click the down arrow on the Delete button in the Cells group.
4. Click either the Delete Sheet Columns or the Delete Sheet Rows option.

Key Takeaways

- Column headings should be used in a worksheet and should accurately describe the data contained in each column.
- Using symbols such as dollar signs when entering numbers into a worksheet can slow down the data entry process.

- Worksheets must be carefully proofread when data has been manually entered.
- The Undo command is a valuable tool for recovering data that was deleted from a worksheet.
- When using a worksheet that was developed by someone else, look carefully for hidden columns or rows.

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12.1.3: Formatting and Data Analysis

Learning Objectives

- Use formatting techniques as introduced in the Excel Spreadsheet Guidelines to enhance the appearance of a worksheet.
- Understand how to align data in cell locations.
- Examine how to enter multiple lines of text in a cell location.
- Understand how to add borders to a worksheet.
- Examine how to use the AutoSum feature to calculate totals.
- Use the Cut, Copy, and Paste commands to manipulate the data on a worksheet.
- Understand how to move, rename, insert, and delete worksheet tabs.

This section addresses formatting commands that can be used to enhance the visual appearance of a worksheet. It also provides an introduction to mathematical calculations. The skills introduced in this section will give you powerful tools for analyzing the data that we have been working with in this workbook and will highlight how Excel is used to make key decisions in virtually any career. Additionally, Excel Spreadsheet Guidelines for format and appearance will be introduced as a format for the course and spreadsheets submitted.

Formatting Data and Cells

Enhancing the visual appearance of a worksheet is a critical step in creating a valuable tool for you or your coworkers when making key decisions. There are accepted professional formatting standards when spreadsheets contain only currency data. For this course, we will use the following Excel Guidelines for Formatting. The first figure displays how to use Accounting number format when ALL figures are currency. Only the first row of data and the totals should be formatted with the Accounting format. The other data should be formatted with Comma style. There also needs to be a Top Border above the numbers in the total row. If any of the numbers have cents, you need to format all of the data with two decimal places.

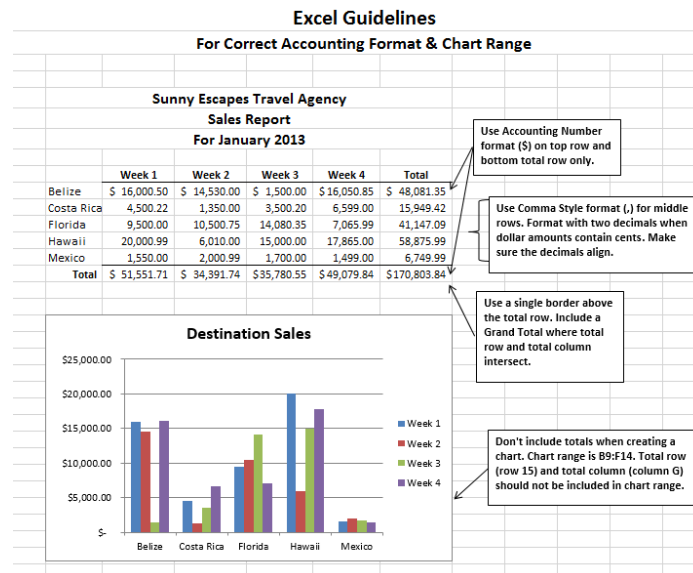


Figure 1.31a

Often, your Excel spreadsheet will contain values that are both currency and non-currency in nature. When that is the case, you'll want to use the guidelines in the following figure:

Excel Guidelines For Units and Dollar Amounts in the Same Worksheet

**Sunny Escapes Travel Agency
Sales Report
For January 2013**

	Week 1		Week 2		Week 3		Week 4	
	Number of Trips	Sales (\$)	Number of Trips	Sales (\$)	Number of Trips	Sales (\$)	Number of Trips	Sales (\$)
Belize	15	\$ 16,001	12	\$ 14,530	1	\$ 1,500	15	\$ 16,051
Costa Rica	3	\$ 4,500	1	\$ 1,350	2	\$ 3,500	4	\$ 6,599
Florida	4	\$ 9,500	9	\$ 10,501	12	\$ 14,080	5	\$ 7,066
Hawaii	19	\$ 20,001	5	\$ 6,010	15	\$ 15,000	16	\$ 17,865
Mexico	1	\$ 1,550	2	\$ 2,001	1	\$ 1,700	1	\$ 1,499
Total	42	\$ 51,552	29	\$ 34,392	31	\$ 35,781	41	\$ 49,080

Remember to:

- ✓ Spellcheck your worksheet
- ✓ Print Preview before printing or submitting
- ✓ Use common sense when proofreading - do the results make sense?
- ✓ Make sure the worksheet looks professional

Annotations:

- Use a three line title if the workbook doesn't include a Documentation sheet. The three lines should include:
 - Company Name
 - Type of Report
 - Date
- When mixing columns of units with columns of dollars, format entire dollar column with Accounting Number format (\$)
- Format with no decimals when dollar amounts are whole dollars without cents

Figure 1.31b

The following steps demonstrate several fundamental formatting skills that will be applied to the workbook that we are developing for this chapter. Several of these formatting skills are identical to ones that you may have already used in other Microsoft applications such as Microsoft Word or Microsoft PowerPoint.

1. Select the range A2:D2. Click the Bold button in the Font group of commands in the Home tab of the ribbon.
2. Click the Border button in the Font group of commands in the Home tab of the Ribbon (see Figure 1.32). Select the Bottom Border option from the list to achieve the goal of a border on the bottom of row 2 below the column headings.

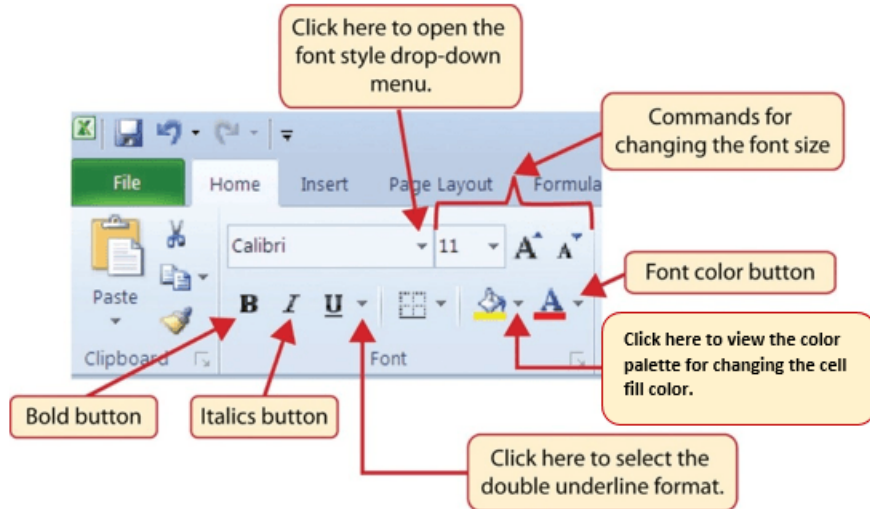


Figure 1.32 Font Group of Commands

Keyboard Shortcuts

Bold Format

- Hold down the CTRL key while pressing the letter B on your keyboard.
-  Mac Users: Hold the Control key and press the letter B **or** hold down the Command key and press the letter B

1. Select the range A15:D15.
2. Click the Bold button in the Font group of commands in the Home tab of the Ribbon.
3. Click the Border button in the Font group of commands in the Home tab of the Ribbon (see **Figure 1.32**). Select the Top Border option from the list to achieve the goal of a border on the top of row 15 where totals will eventually display.

Keyboard Shortcuts

Italics Format

- Hold the CTRL key while pressing the letter I on your keyboard.
-  Mac Users: Hold the Control key and press the letter I **or** hold down the Command key and press the letter I

Keyboard Shortcuts

Underline Format

- Hold the CTRL key while pressing the letter U on your keyboard.
-  Mac Users: Hold the Control key and press the letter U **or** hold down the Command key and press the letter U

Why?

Format Column Headings and Totals

Applying formatting enhancements to the column headings and column totals in a worksheet is a very important technique, especially if you are sharing a workbook with other people. These formatting techniques allow users of the worksheet to clearly see the column headings that define the data. In addition, the column totals usually contain the most important data on a worksheet with respect to making decisions, and formatting techniques allow users to quickly see this information.

1. Select the range B3:B14.
2. Click the Comma Style button in the Number group of commands in the Home tab of the Ribbon. This feature adds a comma as well as two decimal places. (see **Figure 1.33**).
quot;)." width="448" height="226"/>
Figure 1.33 Number Group of Commands
3. Since the figures in this range do not include cents, click the Decrease Decimal button in the Number group of commands in the Home tab of the Ribbon two times (see **Figure 1.33**).
4. The numbers will also be reduced to zero decimal places.
5. Select the range C3:C14.
6. Click the Accounting Number Format button in the Number group of commands in the Home tab of the Ribbon (see **Figure 1.33**). This will add the US currency symbol and two decimal places to the values. This format is common when working with pricing data. As discussed above in the Formatting Data and Cells section, you will want to use Accounting format on all values in this range since the worksheet contains non-currency as well as currency data.
7. Select the range D3:D14.
8. Again, select the Accounting Number Format; this will add the US currency symbol to the values as well as two decimal places.
9. Click the Decrease Decimal button in the Number group of commands in the Home tab of the Ribbon.
10. This will add the US currency symbol to the values and reduce the decimal places to zero since there are no cents in these figures.
11. Select the range A1:D1.
12. Click the down arrow next to the Fill Color button in the Font group of commands in the Home tab of the Ribbon (see **Figure 1.34**). This will add background fill color the range for a worksheet title when entered.

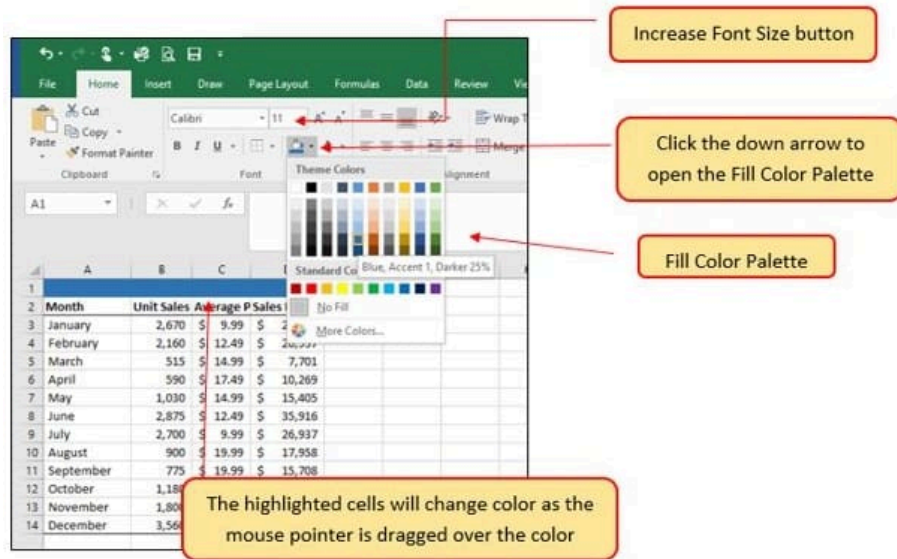


Figure 1.34 Fill Color Palette

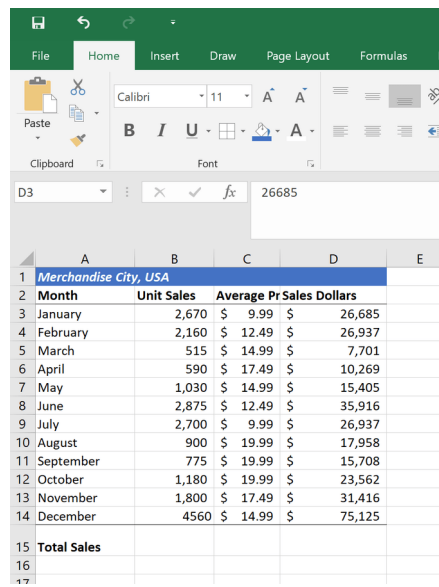
13. Click the Blue, Accent 1, Darker 25% color from the palette (see **Figure 1.34**). Notice that as you move the mouse pointer over the color palette, you will see a preview of how the color will appear in the highlighted cells. Experiment with this feature.
14. Click on A1 and enter the worksheet title: **Merchandise City, USA** and click on the check mark in the formula bar to enter this information.
15. Since the black font is difficult to read on the blue background, you'll change the font color to be more visible. Click the down arrow next to the Font Color button in the Font group of commands in the Home tab of the Ribbon; select **White** as the font color for this range (see **Figure 1.32**).
16. Select the range A1:D1 and format for **Italics** by clicking on "I" in the Font group.
17. Click the drop-down arrow on the right side of the Font button in the Home tab of the Ribbon; select Arial as the font for this range and format for **Bold** click on "B" in the Font group. (see **Figure 1.32**).
18. Notice that as you move the mouse pointer over the font style options, you can see the font change in the highlighted cells.
19. Expand the column width of Column D to 14 characters.

Why?

Pound Signs (####) Appear in Columns

When a column is too narrow for a long number, Excel will automatically convert the number to a series of pound signs (####). In the case of words or text data, Excel will only show the characters that fit in the column. However, this is not the case with numeric data because it can give the appearance of a number that is much smaller than what is actually in the cell. To remove the pound signs, increase the width of the column.

Figure 1.35 shows how the Sheet1 worksheet should appear after the formatting techniques are applied.



Merchandise City, USA			
Month	Unit Sales	Average Price	Sales Dollars
January	2,670	\$ 9.99	\$ 26,685
February	2,160	\$ 12.49	\$ 26,937
March	515	\$ 14.99	\$ 7,701
April	590	\$ 17.49	\$ 10,269
May	1,030	\$ 14.99	\$ 15,405
June	2,875	\$ 12.49	\$ 35,916
July	2,700	\$ 9.99	\$ 26,937
August	900	\$ 19.99	\$ 17,958
September	775	\$ 19.99	\$ 15,708
October	1,180	\$ 19.99	\$ 23,562
November	1,800	\$ 17.49	\$ 31,416
December	4560	\$ 14.99	\$ 75,125
Total Sales			

Figure 1.35 Formatting Techniques Applied

Data Alignment (Wrap Text, Merge Cells, and Center)

The skills presented in this segment show how data are aligned within cell locations. For example, text and numbers can be centered in a cell location, left justified, right justified, and so on. In some cases you may want to stack multiword text entries vertically in a cell instead of expanding the width of a column. This is referred to as wrapping text. These skills are demonstrated in the following steps:

1. Select the range A2:D2.
2. Click the Center button in the Alignment group of commands in the Home tab of the Ribbon (see **Figure 1.36**). This will center the column headings in each cell location.

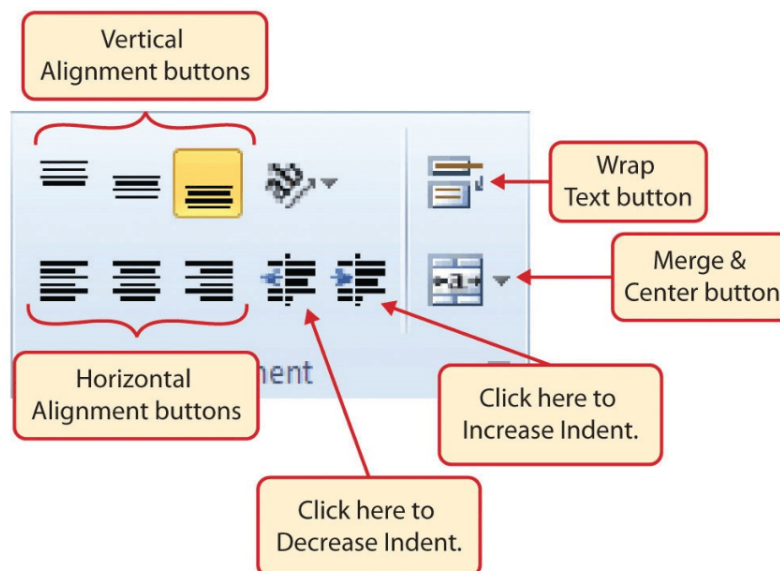


Figure 1.36 Alignment Group in Home Tab

3. Click the Wrap Text button in the Alignment group (see **Figure 1.36**). The height of Row 2 automatically expands, and the words that were cut off because the columns were too narrow are now stacked vertically.

Keyboard Shortcuts

Wrap Text

- Press the ALT key and then the letters H and W one at a time.
-  There is no equivalent shortcut for Excel for Mac

Why?

Wrap Text

The benefit of using the Wrap Text command is that it significantly reduces the need to expand the column width to accommodate multiword column headings. The problem with increasing the column width is that you may reduce the amount of data that can fit on a piece of paper or one screen. This makes it cumbersome to analyze the data in the worksheet and could increase the time it takes to make a decision.

4. Select the range A1:D1.
5. Click the down arrow on the right side of the Merge & Center button in the Alignment group of commands in the Home tab of the Ribbon.
6. Click the Merge & Center option (see **Figure 1.37**). This will create one large cell location running across the top of the data set and center the text in that cell.

Keyboard Shortcuts

Merge Commands

- Merge & Center: Press the ALT key and then the letters H, M, and C one at a time.
- Merge Cells: Press the ALT key and then the letters H, M, and M one at a time.
- Unmerge Cells: Press the ALT key and then the letters H, M, and U one at a time.
-  There are no equivalent shortcuts for Excel for Mac

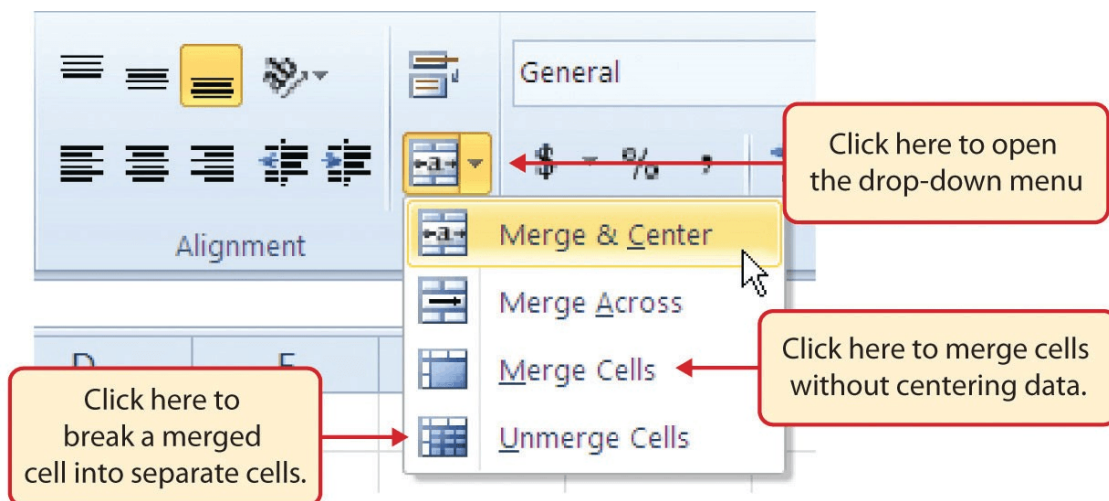


Figure 1.37 Merge Cell Drop-Down Menu

Why?

Merge & Center

One of the most common reasons the Merge & Center command is used is to center the title of a worksheet directly above the columns of data. Once the cells above the column headings are merged, a title can be centered above the columns of data. It is very difficult to center the title over the columns of data if the cells are not merged.

Figure 1.38 shows the Sheet1 worksheet with the data alignment commands applied. The reason for merging the cells in the range A1:D1 will become apparent in the next segment.

Merchandise City, USA			
Unit Sales	Price	Sales Dollars	
	Average	Average	
		26,685	
		26,937	
		7,701	
590	\$ 17.49	\$	10,269
1,030	\$ 14.99	\$	15,405
2,875	\$ 12.49	\$	35,916
2,700	\$ 9.99	\$	26,937
900	\$ 19.99	\$	17,958
775	\$ 19.99	\$	15,708
1,180	\$ 19.99	\$	23,562
1,800	\$ 17.49	\$	31,416
4,560	\$ 14.99	\$	75,125

Figure 1.38 Data Alignment Features Added

Skill Refresher

Wrap Text

1. Activate the cell or range of cells that contain text data.
2. Click the Home tab of the Ribbon.
3. Click the Wrap Text button.

Merge Cells

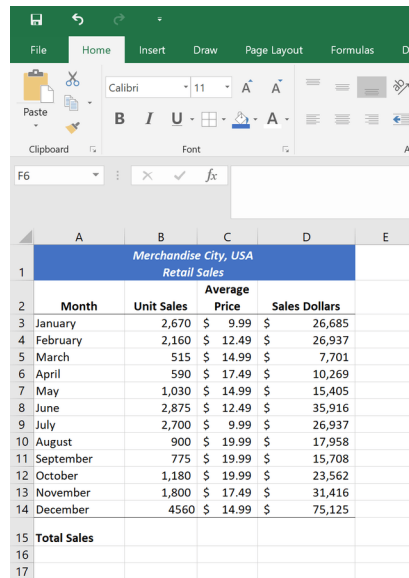
1. Highlight a range of cells that will be merged.
2. Click the Home tab of the Ribbon.
3. Click the down arrow next to the Merge & Center button.
4. Select an option from the Merge & Center list.

Entering Multiple Lines of Text

In the Sheet1 worksheet, the cells in the range A1:D1 were merged for the purposes of adding a title to the worksheet. This worksheet will contain both a title and a subtitle. The following steps explain how you can enter text into a cell and determine where you want the second line of text to begin:

1. Click cell A1. Since the cells were merged, clicking cell A1 will automatically activate the range A1:D1. Position your mouse to the end of the title, directly after the “A” in the word “USA” and double-click to get a cursor (flashing I-beam).

2. Hold down the ALT key and press the ENTER key. This will start a new line of text in this cell location.
3. Type the text **Retail Sales** and press the ENTER key.
4. Select cell A1. Then click the Bold buttons in the Font group of commands in the Home tab of the Ribbon so that the titles are now in Bold and Italics.
5. Increase the height of Row 1 to 30 points. Once the row height is increased, all the text typed into the cell will be visible (see **Figure 1.39**).



The screenshot shows the Microsoft Excel interface. The 'Home' tab is selected on the ribbon. The font is set to Calibri, size 11. The font style group shows Bold (B), Italic (I), and Underline (U) buttons. The worksheet has a title 'Merchandise City, USA' and a subtitle 'Retail Sales' in cell A1. Below this is a table with the following data:

Month	Unit Sales	Average Price	Sales Dollars
January	2,670	\$ 9.99	\$ 26,685
February	2,160	\$ 12.49	\$ 26,937
March	515	\$ 14.99	\$ 7,701
April	590	\$ 17.49	\$ 10,269
May	1,030	\$ 14.99	\$ 15,405
June	2,875	\$ 12.49	\$ 35,916
July	2,700	\$ 9.99	\$ 26,937
August	900	\$ 19.99	\$ 17,958
September	775	\$ 19.99	\$ 15,708
October	1,180	\$ 19.99	\$ 23,562
November	1,800	\$ 17.49	\$ 31,416
December	4560	\$ 14.99	\$ 75,125
Total Sales			

Figure 1.39 Title & Subtitle Added to the Worksheet

Skill Refresher

Entering Multiple Lines of Text

1. Activate a cell location.
2. Type the first line of text.
3. Hold down the ALT key and press the ENTER key.
4. Type the second line of text and press the ENTER key.

Borders (Adding Lines to a Worksheet)

In Excel, adding custom lines to a worksheet is known as adding borders. Borders are different from the grid lines that appear on a worksheet and that define the perimeter of the cell locations. The Borders command lets you add a variety of line styles to a worksheet that can make reading the worksheet much easier. The following steps illustrate methods for adding preset borders and custom borders to a worksheet:

1. Click the down arrow to the right of the Borders button in the Font group of commands in the Home page of the Ribbon to view border options. (see **Figure 1.40**).

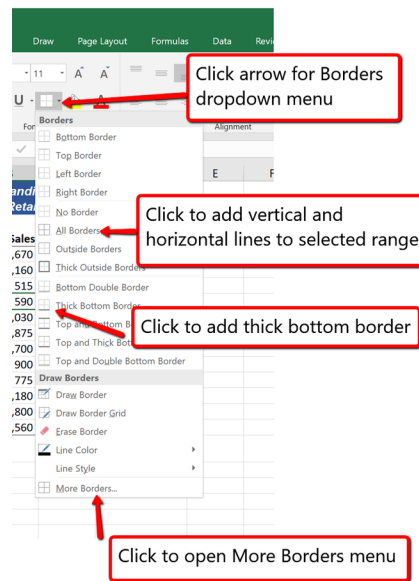


Figure 1.40 Borders Dropdown Menu

2. Select the range A1:D15. Left click the All Borders option from the Borders drop-down menu (see **Figure 1.40**). This will add vertical and horizontal lines to the range A1:D15.
3. Select the range A2:D2 .
4. Click the down arrow to the right of the Borders button.
5. Left click the Thick Bottom Border option from the Borders drop-down menu.
6. Select the range A14:D14 and apply a Thick Bottom Border from the drop-down menu. The thick border will help maintain the Excel Formatting Guidelines.
7. Select the range A1:D15.
8. Click the down arrow to the right of the Borders button.
9. Click More Borders... at the bottom of the List.
10. This will open the Format Cells dialog box (see **Figure 1.41**). You can access all formatting commands in Excel through this dialog box.
11. In the Style section of the Borders tab, click the thickest line style (see **Figure 1.41**).
12. Click the Outline button in the Presets section (see **Figure 1.41**).
13. Click the OK button at the bottom of the dialog box (see **Figure 1.41**).

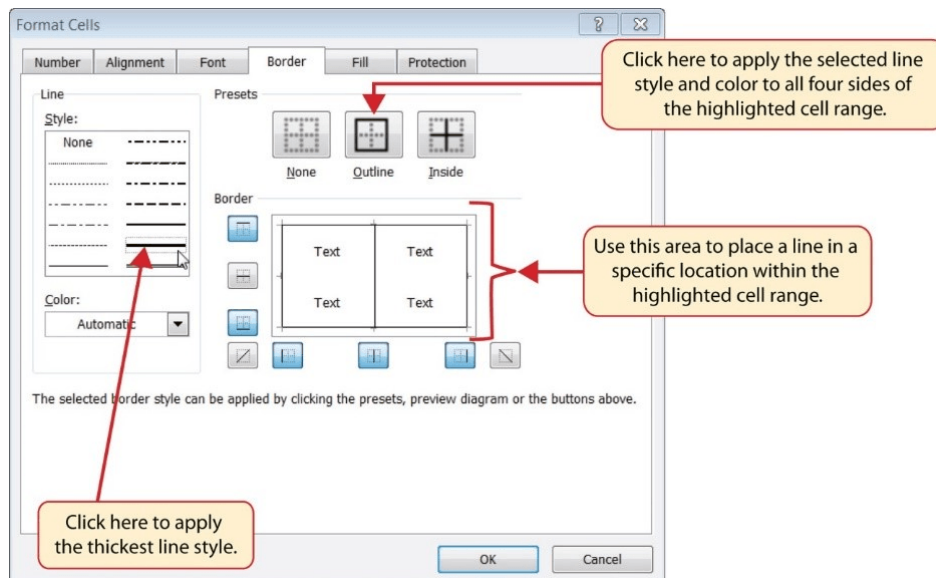
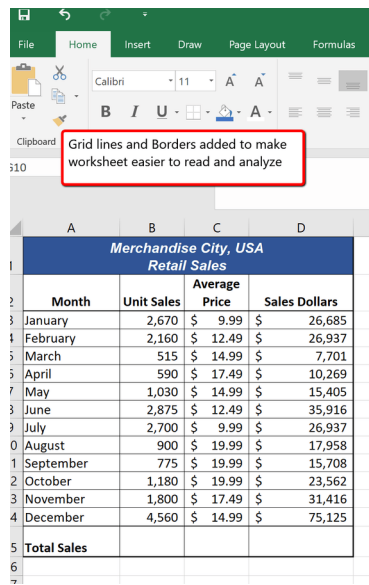


Figure 1.41 Borders Tab of the Format Cells Dialog Box



Grid lines and Borders added to make worksheet easier to read and analyze

Merchandise City, USA Retail Sales			
Month	Unit Sales	Average Price	Sales Dollars
January	2,670	\$ 9.99	\$ 26,685
February	2,160	\$ 12.49	\$ 26,937
March	515	\$ 14.99	\$ 7,701
April	590	\$ 17.49	\$ 10,269
May	1,030	\$ 14.99	\$ 15,405
June	2,875	\$ 12.49	\$ 35,916
July	2,700	\$ 9.99	\$ 26,937
August	900	\$ 19.99	\$ 17,958
September	775	\$ 19.99	\$ 15,708
October	1,180	\$ 19.99	\$ 23,562
November	1,800	\$ 17.49	\$ 31,416
December	4,560	\$ 14.99	\$ 75,125
Total Sales			

Figure 1.42 Borders Added to the Worksheet

Skill Refresher

Preset Borders

1. Highlight a range of cells that require borders.
2. Click the Home tab of the Ribbon.
3. Click the down arrow next to the Borders button.
4. Select an option from the preset borders list.

Custom Borders

1. Highlight a range of cells that require borders.
2. Click the Home tab of the Ribbon.
3. Click the down arrow next to the Borders button.
4. Select the More Borders option at the bottom of the options list.
5. Select a line style and line color.
6. Select a placement option.
7. Click the OK button on the dialog box.

AutoSum

You will see at the bottom of Figure 1.42 that Row 15 is intended to show the totals for the data in this worksheet. Applying mathematical computations to a range of cells is accomplished through functions in Excel. Chapter 2 will review mathematical formulas and functions in detail. However, the following steps will demonstrate how you can quickly sum the values in a column of data using the AutoSum command:

1. Click cell B15 in the Sheet1 worksheet.
2. Click the Formulas tab of the Ribbon.
3. Click the down arrow below the AutoSum button in the Function Library group of commands (see **Figure 1.43**). **Note that the AutoSum button can also be found in the Editing group of commands in the Home tab of the Ribbon.**

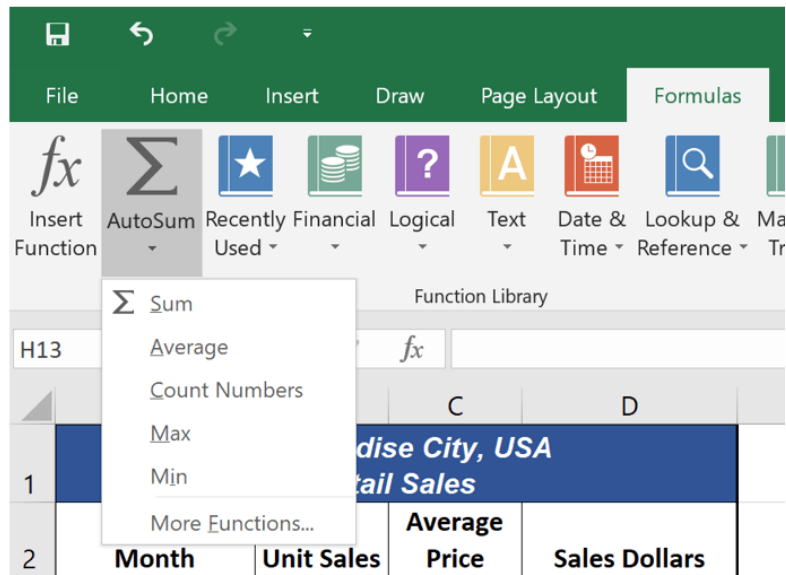


Figure 1.43 AutoSum List

4. Click the Sum option from the AutoSum drop down menu. The first click will display a flashing marquee around the range. Click the check mark next to the Formula bar to complete the function.
5. Excel will provide a total for the values in the Unit Sales column.
6. Click cell D15. It would not make sense to total the averages in column C so C15 will be left blank.
7. Repeat steps 3 through 5 to sum the values in the Sales Dollars column (see **Figure 1.44**).
8. Click cell C15 to explore other AutoSum selections. Select the COUNT function from the list; Excel will return “12” for the number of months (rows). Excel will also display indicators of a green arrow in the corner of C15 and an exclamation point in yellow. These indicate that the function in this cell varies from the other functions in row 15. They can be ignored and do not print.
9. Click cell C15 again; this time selecting the MAX option from the list. Excel will display \$19.99. This reflects the Maximum Average Price in column C.
10. Click cell C15 and delete the contents in this cell.

	A	B	C	D
	Merchandise City, USA Retail Sales			
	Month	Unit Sales	Average Price	Sales Dollars
	January	2,670	\$ 9.99	\$ 26,685
	February	2,160	\$ 12.49	\$ 26,937
	March	515	\$ 14.99	\$ 7,701
	April	590	\$ 17.49	\$ 10,269
	May	1,030	\$ 14.99	\$ 15,405
	June	2,875	\$ 12.49	\$ 35,916
	July	2,700	\$ 9.99	\$ 26,937
	August	900	\$ 19.99	\$ 17,958
	September	775	\$ 19.99	\$ 15,708
	October	1,180	\$ 19.99	\$ 23,562
	November	1,800	\$ 17.49	\$ 31,416
	December	4,560	\$ 14.99	\$ 75,125
	Total Sales	21,755		\$ 313,619

Figure 1.44 Totals Added to the Sheet1 Worksheet

Skill Refresher

AutoSum

1. Highlight a cell location below or to the right of a range of cells that contain numeric values.
2. Click the Formulas tab of the Ribbon.
3. Click the down arrow below the AutoSum button.
4. Select a mathematical function from the list.

Moving, Renaming, Inserting, and Deleting Worksheets

The default names for the worksheet tabs at the bottom of workbook are Sheet1, Sheet2, and so on. However, you can change the worksheet tab names to identify the data you are using in a workbook. Additionally, you can change the order in which the worksheet tabs appear in the workbook. The following steps explain how to rename and move the worksheets in a workbook:

1. Double click the Sheet1 worksheet tab at the bottom of the workbook (see **Figure 1.45**). Type the name **Sales by Month**.
2. Press the ENTER key on your keyboard.
3. Click the + to the right of the newly named worksheet.
4. Type the name **Unit Sales Rank** to prepare the worksheet for future use.
5. Press the ENTER key on your keyboard.

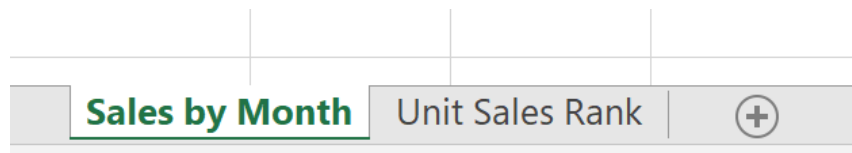


Figure 1.45 Renaming a Worksheet Tab

1. Click the + to add another worksheet tab.
2. Click the Home tab of the Ribbon.
3. Click the down arrow on the Delete button in the Cells group of commands.
4. Click the Delete Sheet option from the drop-down list. This removes the unneeded worksheet.
5. Click the Delete button on the Delete warning box (if a warning box appears).
6. Complete the steps above to delete the newly named **Unit Sales Rank** worksheet since it's decided that worksheet is also unnecessary so that you are left with just one worksheet.
7. Excel incorporates **Spell Check** which is located on the **Review** Ribbon. Clicking on the tool will allow Excel to check Spelling of alphabetic entries and allow for corrections. It's a good habit to always use Spell Check your work before saving/printing.

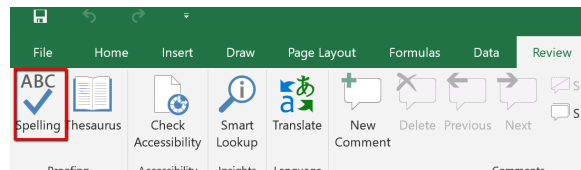


Figure 1.45a Spell Check Tool

8. Save the changes to your workbook by clicking either the **Save** button on the Home ribbon; or by selecting the **Save** option from the File menu.

Integrity Check

Deleting Worksheets

Be very cautious when deleting worksheets that contain data. Once a worksheet is deleted, you cannot use the Undo command to bring the sheet back. Deleting a worksheet is a permanent command.

Keyboard Shortcuts

Inserting New Worksheets

- Press the SHIFT key and then the F11 key on your keyboard.  Same for Excel for Mac.

Figure 1.46 shows the final appearance of the Merchandise City, USA workbook.

	A	B	C	D
1	Merchandise City, USA			
2	Retail Sales			
3	Month	Unit Sales	Average Price	Sales Dollars
4	January	2,670	\$ 9.99	\$ 26,685
5	February	2,160	\$ 12.49	\$ 26,937
6	March	515	\$ 14.99	\$ 7,701
7	April	590	\$ 17.49	\$ 10,269
8	May	1,030	\$ 14.99	\$ 15,405
9	June	2,875	\$ 12.49	\$ 35,916
10	July	2,700	\$ 9.99	\$ 26,937
11	August	900	\$ 19.99	\$ 17,958
12	September	775	\$ 19.99	\$ 15,708
13	October	1,180	\$ 19.99	\$ 23,562
14	November	1,800	\$ 17.49	\$ 31,416
15	December	4,560	\$ 14.99	\$ 75,125
16	Total Sales	21,755		\$ 313,619
17				
18				

Figure 1.46 Final Appearance of the Merchandise City, USA Workbook

Skill Refresher

Renaming Worksheets

- Double click the worksheet tab.
- Type the new name.
- Press the ENTER key.

Moving Worksheets

- Left click the worksheet tab.
- Drag it to the desired position.

Deleting Worksheets

- Open the worksheet to be deleted.
- Click the Home tab of the Ribbon.
- Click the down arrow on the Delete button.
- Select the Delete Sheet option.
- Click Delete on the warning box.

Key Takeaways

- Formatting skills are critical for creating worksheets that are easy to read and have a professional appearance.
- A series of pound signs (####) in a cell location indicates that the column is too narrow to display the number entered.

- Using the Wrap Text command allows you to stack multiword column headings vertically in a cell location, reducing the need to expand column widths.
- Use the Merge & Center command to center the title of a worksheet directly over the columns that contain data.
- Adding borders or lines will make your worksheet easier to read and helps to separate the data in each column and row.
- You cannot use the Undo command to bring back a worksheet that has been deleted.

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12.1.4: Printing

Learning Objectives

- Use the Page Layout tab to prepare a worksheet for printing.
- Add headers and footers to a printed worksheet.
- Examine how to print worksheets and workbooks.

Once you have completed a workbook, it is good practice to select the appropriate settings for printing. These settings are in the Page Layout tab of the Ribbon and discussed in this section of the chapter.

Page Setup

Before you can properly print the worksheets in a workbook, you must establish appropriate settings. The following steps explain several of the commands in the Page Layout tab of the Ribbon used to prepare a worksheet for printing:

1. Open the **CH1 Merchandise City Sales Data** workbook, if it is not already open.
2. Click the Page Layout tab of the Ribbon.
3. Click the Margins button in the Page Setup group of commands. This will open a drop-down list of options for setting the margins of your printed document.
4. Click the Wide option from the Margins drop-down list. (see **Figure 1.47**)
5. Click the Orientation button in the Page Setup and select Landscape.
6. Click on the arrow to the bottom right of the Page Setup category to launch the Page Setup options dialog box.



Mac



Page
Setup

Users: there is no “arrow at the bottom right of the Page Setup category”. Simply click the Page Setup button on the Page Layout tab.

7. Click the Margins tab and locate “Center on Page”. Click the boxes to **Horizontally** and **Vertically** center the data on the worksheet. Click OK.

Why?

Use Print Settings

Because professionals often share Excel workbooks, it is a good practice to select the appropriate print settings in the Page Layout tab even if you do not intend to print the worksheets in a workbook. It can be extremely frustrating for recipients of a workbook who wish to print your worksheets to find that the necessary print settings have not been selected. This may reflect poorly on your attention to detail, especially if the recipient of the workbook is your boss.

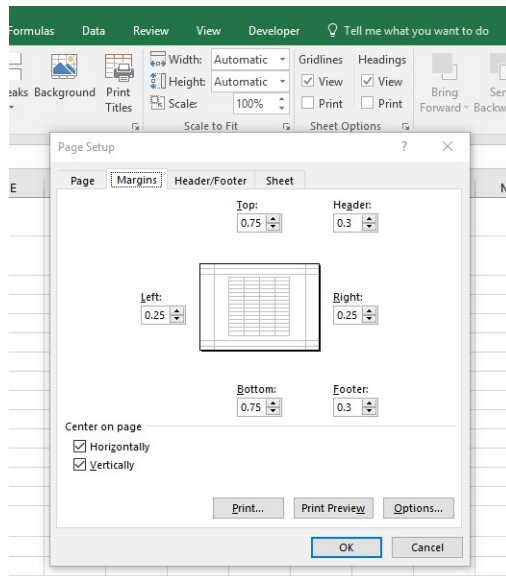


Figure 1.47 Page Layout Commands for Printing

Table 1.2 Printing Resources: Purpose and Use for Page Setup Commands

Command	Purpose	Use
Margins	Sets the top, bottom, right, and left margin space for the printed document	1. Click the Page Layout tab of the Ribbon.
		2. Click the Margin button.
		3. Click one of the preset margin options or click Custom Margins.
Orientation	Sets the orientation of the printed document to either portrait or landscape	1. Click the Page Layout tab of the Ribbon.
		2. Click the Orientation button.
		3. Click one of the preset orientation options.
Size	Sets the paper size for the printed document	1. Click the Page Layout tab of the Ribbon.
		2. Click the Size button.
		3. Click one of the preset paper size options or click More Paper Sizes.
Print Area	Used for printing only a specific area or range of cells on a worksheet	1. Highlight the range of cells on a worksheet that you wish to print.
		2. Click the Page Layout tab of the Ribbon.
		3. Click the Print Area button.
		4. Click the Set Print Area option from the drop-down list.
Breaks	Allows you to manually set the page breaks on a worksheet	1. Activate a cell on the worksheet where the page break should be placed. Breaks are created above and to the left of the activated cell.
		2. Click the Page Layout tab of the Ribbon.
		3. Click the Breaks button.

Command	Purpose	Use
		4. Click the Insert Page Break option from the drop-down list.
Background	Adds a picture behind the cell locations in a worksheet	1. Click the Page Layout tab of the Ribbon. 2. Click the Background button. 3. Select a picture stored on your computer or network.
Print Titles	Used when printing large data sets that are several pages long. This command will repeat the column headings at the top of each printed page.	1. Click the Page Layout tab of the Ribbon. 2. Click the Print Titles button. 3. Click in the Rows to Repeat at Top input box in the Page Setup dialog box. 4. Click any cell in the row that contains the column headings for your worksheet. 5. Click the OK button at the bottom of the Page Setup dialog box.

Headers and Footers

When printing worksheets from Excel, it is common to add headers and footers to the printed document. Information in the header or footer could include the date, page number, file name, company name, and so on. The following steps explain how to add headers and footers to the Merchandise City, USA Retail Sales worksheet.

1. Click the **Insert** Ribbon and click on **Header & Footer** at the right end of the ribbon (located in the **Text** group). You will see the Design tab added to the Ribbon; this is used for creating the headers and footers for the printed worksheet. Also, this will convert the view of the worksheet from Normal to Page Layout (see **Figure 1.48**). This Page Layout view makes adding Headers & Footers easy and provides key features to incorporate.
2. Click on the Current Date icon to add the date to the left section of the worksheet Header. The &[Date] symbols which will toggle to a Date format when you click outside of this area.

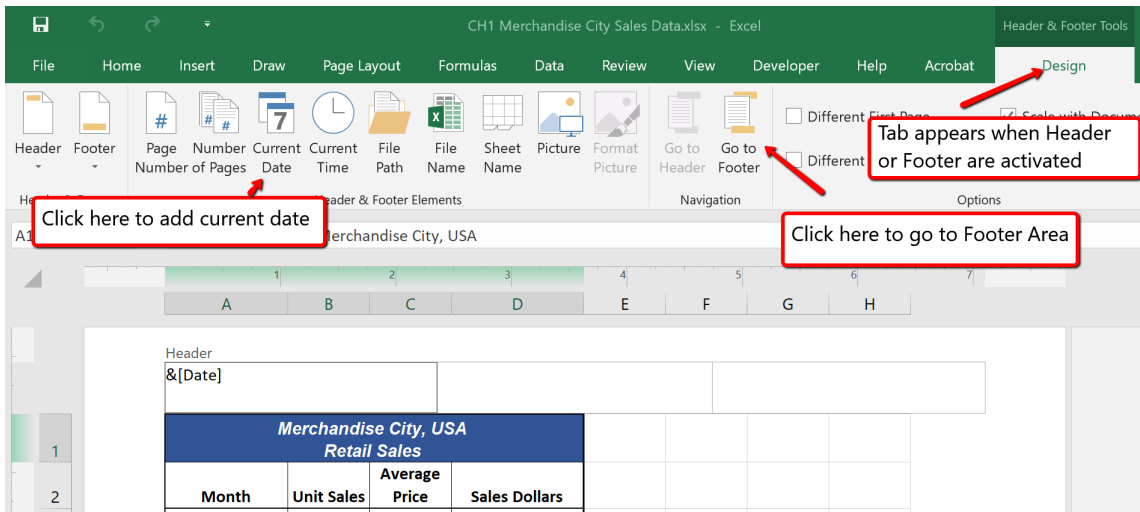


Figure 1.48 Design Tab for Creating Headers and Footers

3. Type your name in the center section of the Header.
4. Place the mouse pointer over the left section of the Header and left click (see **Figure 1.48**).
5. Click the Go to Footer button in the Navigation group of commands in the Design tab of the Ribbon.

- Place the mouse pointer over the far right section of the footer and left click.
- Click the Page Number button (you may need to click on the Design tab again) in the Header & Footer Elements group of commands in the Design tab of the Ribbon. This view will display as &[Page] until printed or until you return to normal view.
- Click any cell location outside the header or footer area. The Design tab for creating headers and footers will disappear.
- Click the Normal view button in the lower right side of the Status Bar (see **Figure 1.49**).

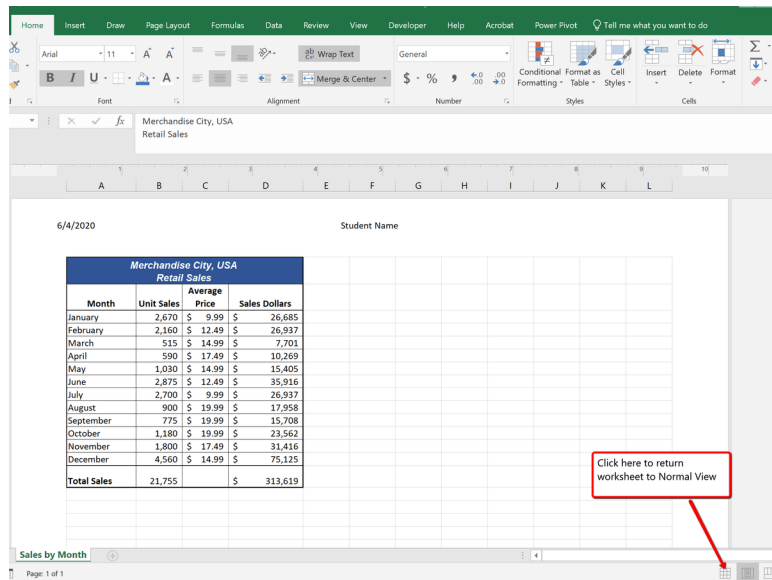


Figure 1.49 Worksheet in Page Layout View

Printing Worksheets and Workbooks

Once you have established the print settings for the worksheets in a workbook and have added headers and footers, you are ready to print your worksheets. The following steps explain how to print the worksheets in the **Merchandise City, USA Sales** workbook:

- Click the File tab on the Ribbon.
- Click the Print option on the left side of the Backstage view (see **Figure 1.50**). On the right side of the Backstage view, you will be able to see a preview of your printed worksheet.

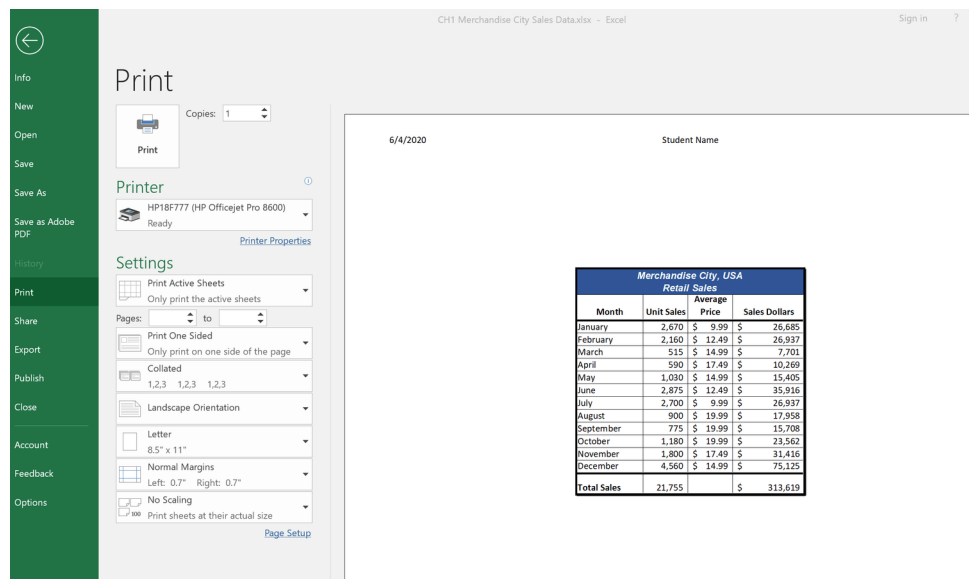


Figure 1.50 Backstage View Print option

- Click the Print Active Sheets button in the Print section of the Backstage view (see **Figure 1.50**).

4. If your instructor has asked you to print your work, click the Print button.
5. Click the Home tab of the Ribbon.
6. Save and close the workbook.

Key Takeaways

- The commands in the Page Layout tab of the Ribbon are used to prepare a worksheet for printing.
- You can add headers and footers to a worksheet to show key information such as page numbers, the date, the file name, your name, and so on.
- The Print commands are in the File tab of the Ribbon.

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12.1.5: Chapter Practice

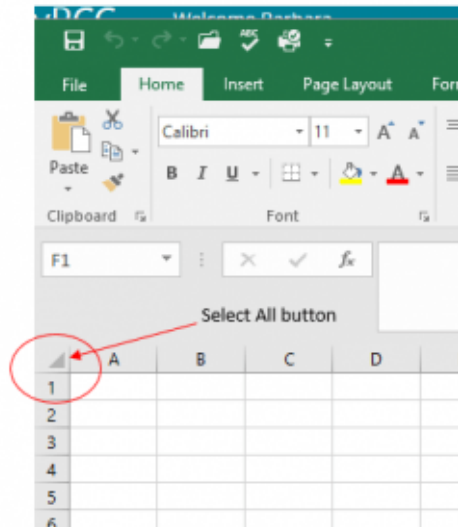
To assess your understanding of the material covered in the chapter, complete the following assignment.

Basic Monthly Budget for Medical Office

Download Data File: [PR1 Data](#)

Creating and maintaining budgets are common practices in many careers. Budgets play a critical role in helping a business or household control expenditures. In this exercise you will create a budget for a hypothetical medical office while reviewing the skills covered in this chapter.

1. Open the file name **PR1 Data**, then Save As **PR1 Medical Office Budget**.
2. Activate all the cell locations in the Sheet1 worksheet by clicking the Select All button in the upper left corner of the worksheet.



3. In the Home tab of the Ribbon, set the font style to Arial and the font size to 12 points. Then click any cell to Deselect.
4. Increase the width of Column A so all the entries in the range A3:A8 are visible. Place the mouse pointer between the letter A and letter B of Column A and Column B. When the mouse pointer changes to a double arrow, left click and drag it to the right until the character width is approximately 18.00.
5. Enter **Quarter 1** in cell B2.
6. Use AutoFill to complete the headings in the range C2:E2. Activate cell B2 and place the mouse pointer over the Fill Handle.
7. Select the range B2:E2 and click the Format button in the Home tab of the Ribbon. Click the Column Width option, type 11.57 in the Column Width dialog box, and then click the OK button in the Column Width dialog box.
8. Enter the words **Medical Office Budget** in cell A1.
9. Insert a blank column between Columns A and B by clicking on any cell in Column B. Then, click the drop-down arrow of the Insert button in the Home tab of the Ribbon. Click the Insert Sheet Columns option.
10. Enter the words **Budget Cost** in cell B2.
11. Adjust the width of Column B to approximately 12.0 characters.
12. Select the range A1:F1 and click the Merge & Center button in the Home tab of the Ribbon to merge the cells in that range.
13. Make the following format adjustments to the range A1:F1: bold; italics; change the font size to 14 points; change the cell fill color to Aqua, Accent 5, Darker 50%; and change the font color to white.
14. Increase the height of Row 1 to approximately 24.75 points.
15. Make the following format adjustment to the range A2:F2: bold; and fill color to Tan, Background 2, Darker 10%. Center the

- column titles so that they are horizontally centered in each cell.
16. Select B2 and choose the Wrap Text button in the Home tab of the Ribbon. Increase the height of Row 2 to approximately 30 points.
 17. Copy cell C3 and paste the contents into the range D3:F3.
 18. Copy the contents in the range C6:C8 by highlighting the range and clicking the Copy button in the Home tab of the Ribbon. Then, highlight the range D6:F8 and click the Paste button in the Home tab of the Ribbon.
 19. Calculate the total budget for all four quarters for the salaries. Click cell B3 and click the down arrow on the AutoSum button in the Formulas tab of the Ribbon. Click the Sum option from the drop-down list. Then, highlight the range C3:F3 and press the ENTER key on your keyboard.
 20. Copy the formula in cell B3 and paste them into the range B4:B8.
 21. Format the range B3:F8 with Accounting format and zero decimal places.
If any of the cells display pound symbols (#####), simply widen the column to display the values again.
 22. Select the range A1:F8 and click the down arrow next to the Borders button in the Home tab of the Ribbon. Select the All Borders option from the drop-down list.
 23. Double click the Sheet1 worksheet tab to change the name of Sheet1 to the word **Budget**, and press the ENTER key. Delete any unnecessary worksheets.
 24. Change the orientation of the Budget worksheet so it prints landscape instead of portrait.
 25. Use Fit to 1 page so the Budget worksheet prints on one piece of paper, if it does not already.
 26. Add a header to the Budget worksheet that shows the date in the upper left corner and your name in the center.
 27. Add a footer to the Budget worksheet that shows the page number in the lower right corner.
 28. Check the spelling on the worksheet and make any necessary changes. Save **PR1 Medical Office Budget** workbook.
 29. Compare your work to the screenshot below and then submit the **PR1 Medical Office Budget** workbook as directed by your instructor.

3/19/2020
Student Name

Medical Office Budget					
Item	Budget Cost	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Salaries	\$ 120,000	\$ 30,000	\$ 30,000	\$ 30,000	\$ 30,000
Medical Supplies	\$ 60,000	\$ 18,000	\$ 13,800	\$ 9,000	\$ 19,200
Medications	\$ 90,000	\$ 27,000	\$ 20,700	\$ 13,500	\$ 28,800
Rent	\$ 30,000	\$ 7,500	\$ 7,500	\$ 7,500	\$ 7,500
Office Supplies	\$ 12,000	\$ 3,000	\$ 3,000	\$ 3,000	\$ 3,000
Phone & Utilities	\$ 8,400	\$ 2,100	\$ 2,100	\$ 2,100	\$ 2,100

1

PR 1 Medical Office Budget Solution Screenshot

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12.2: CAUTIONS- GENERATIVE AI

12.2.1: Don't trust AI- sometimes it makes things up

12.2.2: Don't trust AI to cite its sources

12.2.3: Don't trust AI with sensitive information; check the privacy policy

12.2.4: Don't trust AI- it's biased

12.2.5: Does using AI do harm? If so, should we stop using it?

Thumbnail photo of a caution sign by [Muhammad Daudy](#) on [Unsplash](#)

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12.2.1: Don't trust AI- sometimes it makes things up

Lawyer Steven Schwartz got caught. He used ChatGPT to generate a legal brief and didn't check its accuracy before he submitted it to a court. It turned out that ChatGPT had stuffed in references to a bunch of cases that didn't exist. "I did not comprehend that ChatGPT could fabricate cases," Schwartz admitted to the judge, "I continued to be duped by ChatGPT. It's embarrassing." Schwartz was fined \$5,000 and severely reprimanded.

Why would ChatGPT include fabricated –cases? You could answer by asking, "Why not?" As we have seen, chatbots are based on text prediction. They "guess" what humans might write next. They don't "know" whether their guess has anything to do with the real world. They are trained on lots of text, some of it untrue. And even if they were only trained on fact-checked text, they are doing something like averaging the patterns in that text. And as Jon Ippolito of the University of Maine [puts it](#), "the average of two facts isn't always a fact." I came across a perfect example of this when [ChatGPT referenced a paper on AI by "Yann Bengio."](#) It had put the first name of one famous computer scientist, Yann LeCun, with the last name of another, Yoshua Bengio, who had worked with LeCun.

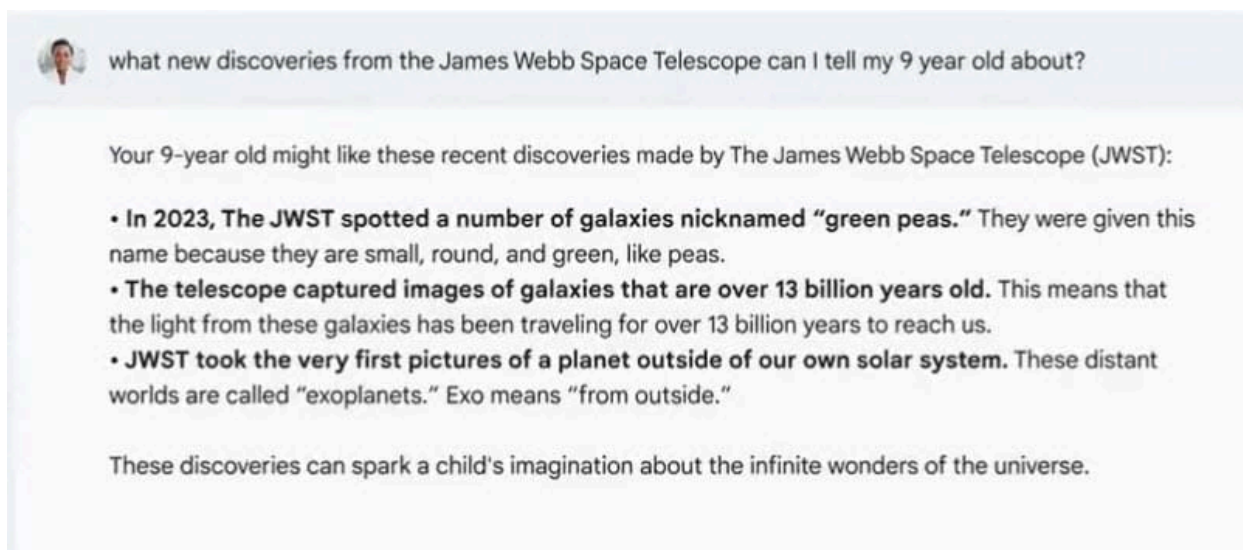
What should we call it when AI makes things up?

Philosopher Harry Frankfurt famously came up with a not-so-technical term for times when whoever or whatever is saying something doesn't care whether it's true or not: "bullshit." Writing in the Harvard Business Review, Ian P. McCarthy, Timothy R. Hannigan, and André Spicer apply this concept to chatbots and call it "botshit."

Besides bullshit and botshit, you'll see it called "hallucination" when an AI system makes something up. But AI doesn't know what's true. And it's not on drugs or having any kind of imaginative experience at all, as the term "hallucination" would suggest. Nate Angell and I have argued for the alternate term "AI mirage" which puts the focus on the humans who mistakenly believe the AI output.

Botshit is easy to miss

The big AI companies slap warnings about inaccuracy onto their systems. But inaccuracy can be so easy to miss that Google itself fell into the trap. When it launched a ChatGPT competitor, it proudly shared a sample chat session:



Image

credit: Screenshot of [a Google blog post dated February 6, 2023](#).

The third point wasn't true. According to NASA, a different telescope in the Atacama Desert of Chile was the first to photograph an exoplanet. The next day after the made up "fact" was pointed out, Google's market valuation lost \$100 billion.

Will chatbots ever get it right?

Engineers are trying to stop AI systems from making things up, and newer chatbots seem to hallucinate at lower rates than previous ones. In [AI for research assistance](#), we'll look at systems that are designed to reduce the problem by basing their results on real sources and linking to real sources to help us fact-check. We'll see that even those systems still make things up.

Most experts do not expect to see this problem fixed. Ziwei Xu, Sanjay Jain and Mohan Kankanhalli, machine-learning researchers from the National University of Singapore, explained to *Scientific American* that “For any LLM, there is a part of the real world that it cannot learn, where it will inevitably hallucinate.”

How can we use systems that make things up?

You can probably guess what I'm going to say. We can choose not to use them. Or we can check every plausible statement that comes out of them by comparing it to one or more credible sources on the same subject. We have to try to do better than Google did in the James Webb example above. Teachers and students alike will be tempted again and again to skip or short-cut that time-consuming fact-checking process. The more we make fact-checking bots a habit from the start and reduce our own expectations about how much time the bots will save us, the easier it should be to resist that temptation.

Further reading

- [ChatGPT Isn't 'Hallucinating'—It's Bullshitting!](#) By Joe Slater, James Humphries & Michael Townsen Hicks, *Scientific American*, July 17, 2024
- [The Risks of Botshit](#) by Ian P. McCarthy, Timothy R. Hannigan, and André Spicer in *Harvard Business Review*, July 17, 2024
- [Are We Tripping? The Mirage of AI Hallucinations](#) by Anna Mills and Nate Angell, February 2025
- [Google's AI chatbot Bard makes factual error in first demo](#), *The Verge*, February 8, 2023
- [We have to stop ignoring AI's hallucination problem](#) by Alex Cranz, *The Verge*, May 15, 2024

Acknowledgment

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12.2.2: Don't trust AI to cite its sources

By Anna Mills and Maha Bali

Teachers will usually ask you to cite sources, right? They will explain that you should cite not just when you are quoting but also when you are referencing an idea you got from someone else. The hope here is that in academic practice we give some sense of where an idea is coming from. We think of academic work as a big ongoing conversation between people agreeing and disagreeing and building on each other's points as they try to figure things out. It helps to keep track of who is saying what. It seems only fair to give credit to the person who developed each main point.

For some concepts in the humanities and social sciences, it is also important to know the positionality of the person or people who developed them when citing. For example, if we are studying nonviolent resistance, we need to understand the people and context in which ideas about it were developed. Mahatma Gandhi, Martin Luther King Junior, and Henry David Thoreau wrote extensively about it, and their ideas were shaped by very different experiences, times, and places.



Mahatma Gandhi was instrumental in shaping current understandings of nonviolent resistance in



1931, public domain image courtesy of [Wikimedia](#)
in shaping current understandings of nonviolent resistance. Image by [WikiImages](#) from [Pixabay](#)

Martin Luther King Junior was also instrumental

Knowing something about how these leaders were positioned in terms of race, gender, class, education, and politics can help us understand their ideas and think about how we want to respond from our own positionality. However, if you ask a chatbot about “nonviolent resistance,” it may give you an answer without reference to any person or context at all (chatbot responses are variable). Here is an [example with ChatGPT](#):

what is nonviolent resistance? Answer briefly



Nonviolent resistance is a method of protest and civil disobedience that uses peaceful tactics, such as marches, sit-ins, and boycotts, to oppose government policies or societal issues without using physical force. This strategy aims to bring about social or political change through moral or economic pressure, often appealing to the conscience of the public and decision-makers.

Screenshot from a [ChatGPT4o temporary session, July 2024](#)

In general, chatbots don't make it easy to figure out what sources have influenced their answers. As [Iris Van Rooij puts it](#), "LLMs, by design, produce texts based on ideas generated by others without the user knowing what the exact sources were."

The systems don't "know" what influenced their answer. [Dominik Lukeš refers to this limitation](#) as a lack of "introspection." Once a system is trained, it consists of a very complicated formula, a big set of numbers that its supposed to multiply by other numbers. The chatbot puts our question or request into the formula and gets a result. It has no way to look backward to see which human writings made its formula have certain numbers.

Chatbots often don't cite when they should

Why does it matter if chatbots can't tell us where an idea came from? In June 2023, Maha Bali pointed this out to Anna Mills in a conversation on X. She [wrote](#), "One of the things I'm stuck on right now is that a lot of the AI-generated text paraphrases work of scholars we would *normally* cite as paraphrased. This stuff now goes unacknowledged and it's not OK...E.g. I asked it about characteristics of White Supremacy Culture. It gave me the list that Tema Okun and others use, but did not cite her."

A year later, I (Anna) tested and saw the same pattern. I asked three chatbots—ChatGPT, Claude, and Gemini—about "Intentionally Equitable Hospitality," a concept developed by Maha Bali and other co-directors of the grassroots group Virtually Connecting.

- ChatGPT generated long, inaccurate descriptions of the concept with no reference to either the organization or the people who developed it. This was true of all ten times I tested (see [this sample ChatGPT transcript](#)).
- Google's Gemini described the concept vaguely, making up principles that are not in any published writings about this exact phrase, "Intentionally Equitable Hospitality." I tested it ten times and not once did it mention an organization or person. (See [this sample Gemini transcript](#)). Gemini did feature a Google "G" logo which offered to check the results when I hovered over. The check led it to highlight several passages of Gemini's output and link them to websites, including Maha Bali's blog.
- Claude 3.5's ten responses all referred to the hospitality industry, a clear error since the exact phrase "Intentionally Equitable Hospitality" was developed to refer to education (See [this sample Claude transcript](#)). They also failed to mention any organizations or people involved in developing the concept.

Citing chatbots according to the rules gives them credit for human authors' work

Labeling chatbot output as such is important. And the major academic organizations are working hard to come up with guidelines for this. But it's tricky. If we follow the current guidelines, we'll make no mention of the humans who developed the idea the chatbot is summarizing.

Take any of the examples above where we asked a chatbot about Intentionally Equitable Hospitality. Let's say a person does that and then wants to quote the output and follow the rules to cite ChatGPT in APA, MLA, or Chicago style. All of these would make it look like ChatGPT is the source of the IEH concept. For more on this, see [If I use AI, how should I acknowledge or cite it?](#)

Don't ask a chatbot what its sources are

There is a lot of confusion about this among teachers and the general public because if you ask a chatbot what its source is, it will often give an answer that sounds plausible. It still doesn't "know." It is using its word prediction abilities to "guess" which source influenced its output. It doesn't really have access to its own internal workings. The source it mentions may not exist or it may not be the one that really shaped the response. For example, in one case, ChatGPT said it got information about Intentionally Equitable Hospitality from [Kimberly Crenshaw](#), who is known for the concept of Intersectionality and has not written about IEH.

Chatbots also respond unreliably when you ask which person developed a concept.

- When I [asked ChatGPT the follow up question](#) about IEH: "Is this a particular person's concept?" it gave credit to Dr. Tia Brown McNair, a prominent expert on Diversity, Equity, and Inclusion who is not in fact associated with the phrase "Intentionally Equitable Hospitality."
- When I [asked the same follow-up question of Claude 3.5](#), it gave credit to Ashtin Berry, a hospitality industry leader whose name is not associated with the phrase "Intentionally Equitable Hospitality."
- Google's Gemini did better. It [responded to the question](#) once by correctly referring to Virtually Connecting and its co-directors, including Maha Bali and Autumm Caines. On another trial, it [referred only to Maha Bali](#). On another, it [referred to Maha Bali, Mia Zamora, and the organization Equity Unbound](#), which is correct because both authors and the organization have developed this concept further beyond the original by Virtually Connecting. None of the trials trace the idea from its original formulation to its current formulation.

Even chatbots that can search often don't mention their sources

As we will see in The pros and cons of AI for research assistance (coming soon), many current chatbot/search hybrid systems can search the internet in real time to inform their response to a question. They link to documents, making it seem like they are allowing us to trace the source of their information. But we the users don't know if those links are really the sources they used or not. And it isn't always clear which of the links informed which part of their response. Besides, many people will not click on the links; they will focus on the AI response itself.

In May 2024, Google [rolled out "AI overviews"](#) at the top of many search results pages. When I try the same query about Intentionally Equitable Hospitality (IEH) in Google search, I get an answer that doesn't mention a source, though links to sources are right below it.



The screenshot shows the Google AI Overview for the query "What is Intentionally Equitable Hospitality?". At the top, there is a blue header with a star icon, the text "AI Overview", and a "Learn more" link with a three-dot menu. Below this, the main text states: "Intentionally Equitable Hospitality (IEH) is a values-based approach to hospitality that prioritizes the needs of the most marginalized people. It's a critical praxis that centers equity considerations in the design of a space, and it's not neutral. IEH is iterative and involves planning, design, and facilitation in the moment. It's also about recognizing when efforts don't work for certain groups and setting intentions for equity." This text is followed by a small blue circle with an upward arrow. Below the main text, there are three source cards. The first card is from "Pressbooks Create" and is titled "Intentionally Equitable Hospitality as Critical Instructional Design". The second card is from "MYFest24" and is titled "Intentionally Equitable Hospitality – MYFest24". The third card is from "Maha Bali" and is titled "Intentionally Equitable & Liberating Structures". The third card also includes the date "May 5, 2021" and the text "Intentionally Equitable Hospitality".

of a Google search AI Overview in response to the query "What is Intentionally Equitable Hospitality?" on July 19, 2024. Four repetitions produced similar results.

The Google result above plagiarizes most of a sentence from the first source linked to, Bali and Zamora's "[Intentionally Equitable Hospitality as Critical Instructional Design](#)." Google explains "IEH is iterative and involves planning, design, and facilitation in the

moment” without quoting. Bali and Zamora had written, “IEH is iterative design, planning, and facilitation in the moment.”

Now let’s try with the popular chat-search hybrid and Google alternative Perplexity.ai. In [one instance](#), Perplexity mentions Virtually Connecting as a source for IEH and linked to an article by Maha Bali and Mia Zamora without mentioning their names. (How many will follow the link?) On the [second](#), [third](#), [fourth](#), and [fifth](#) trials with the free version of Perplexity, it [gave links](#) but mentioned no source at all in its overviews. I repeated this five more times using my quota of free “Pro” searches. Only once did it mention [Maha Bali and Mia Zamora](#) by name in its autogenerated answer. So even though this chatbot was referencing a real source by the scholars who defined the concept, in five out of ten trials it included no equivalent at all to an in-text citation (see [all of Perplexity’s responses](#)).

So how do we respect sources when using AI?

All this means that when a chatbot “says” something, we should wonder not just whether it is accurate but also whom the chatbot is parroting. Of course, many concepts have been shaped by so many contributors and have become so widespread that they do not need to be cited. For example, if we state, “Many Mexicans have both indigenous and European ancestry,” we do not need to cite it.

But if the point is less well known or more controversial, it is left to us to do due diligence and see if there is a particular person or group of persons who came up with the ideas AI serves us. Internet and scholarly database searches on key concepts may lead us to the human thinkers responsible.

Should it really be on users to try to reconstruct where a chatbot may have gotten its information? Is there any way the software itself could help us? If so, how could we encourage the companies or the government to make that happen? See “Does using AI do harm? If so, should we stop using it?”* for more on intellectual property and how we might participate in shaping AI in this regard.

Further reading

- [Find the Conversation That Interests You](#) from the chapter on research in How Arguments Work
- [ChatGPT is bad at following copyright law, researchers say](#) by Britney Nguyen, *Quartz*
- [The Times Sues OpenAI and Microsoft Over A.I. Use of Copyrighted Work](#), By Michael M. Grynbaum and Ryan Mac, *The New York Times*, December 23, 2023
- [A new bill wants to reveal what’s really inside AI training data](#), *The Verge*, April 10, 2024

References

- Understanding AI’s limitations and dos and don’ts” by Lukeš, Dominik, included in [Integrating AI into Academic Practice: Guide to Reflective Exploration](#)
- [Against Automated Plagiarism](#) by Iris Van Rooij
- [Intentionally Equitable Hospitality as Critical Instructional Design](#) by Maha Bali and Mia Zamora in *Designing for Care*
- Jackson, K. F., Goodkind, S., Díaz, M., Karandikar, S., Beltrán, R., Kim, M. E., Zelnick, J. R., Gibson, M. F., Mountz, S., Miranda Samuels, G. E., & Harrell, S. (2024). Positionality in Critical Feminist Scholarship: Situating Social Locations and Power Within Knowledge Production. *Affilia*, 39(1), 5-11. <https://doi.org/10.1177/08861099231219848>

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12.2.3: Don't trust AI with sensitive information; check the privacy policy

When you ask a chatbot a question, who can read that question? Where does that text go besides your screen? What if you give the chatbot a draft of an essay that has some personal stories in it that you are fine sharing with your teacher but might not want published online? Maybe you ask a chatbot for advice on how to manage your job responsibilities and course load given your family situation. Or what if you tell it about your past experience and ask it to draft a resume? Could the AI company use that information to train its future chatbots, and could those chatbots share the information with anyone who asks about you?

To get things done online, we are constantly sharing text and images. How many of us know exactly what can happen with that data and have made conscious decisions about what to share and not share in every instance? That's a tall order. I have certainly clicked through terms of service agreements without reading them as closely as I should.

Encouraged by teacher Autumm Caines, though, I have started to do a bit more due diligence. I've found it usually takes less than a minute to skim the privacy policy for an AI system. Let's take ChatGPT as an example and look at [OpenAI's policy](#). Here's an excerpt:

2. How we use Personal Data

We may use Personal Data for the following purposes:

- To provide, analyze, and maintain our Services, for example to respond to your questions for ChatGPT;
- To improve and develop our Services and conduct research, for example to develop new product features;

Screenshot of an excerpt from the OpenAI Privacy Policy dated July 3, 2025.

That's close to a blank check. They can use our data for anything they consider "research."

In ChatGPT's settings, you'll see a "Data Controls" section where you can ask them not to train future chatbots on your prompts ("Improve the model for everyone" is automatically enabled). Will they honor their pledge? If they do use our data when we've opted out, will they be held accountable? And even if they don't intend to use our data, will they keep it safe in this era of data breaches?

Alternatives

If we're not happy with a particular privacy policy or we don't trust a company, we can look for an alternative AI system with a different policy or reputation. Apps that are built on top of the major AI text generation systems like ChatGPT, Gemini, or Claude can have their own additional data protection. Some colleges and universities may offer local versions of AI apps that their IT departments have vetted..

We can also build a habit of pausing before we share something with a chatbot and asking ourselves, "How would I feel if this became public?"

In [A Blueprint For An AI Bill Of Rights For Education](#), Kathryn Conrad argues that students “should be able to opt out of assignments that may put your own creative work at risk for data surveillance and use without compensation.” I would agree: if your teacher is asking you to use AI, they should provide a privacy-and-data rights-protected way for you to do so or allow you to do an alternate assignment.

Can we have any impact on how our data is protected beyond our individual choices about what to share? As of 2024, federal legislation in the U.S. to protect data privacy is under consideration, modeled in part on the European Union’s General Data Protection Regulation (GDPR). In a collaborative, civic approach to privacy, we discuss and shape how data is handled through democratic processes.

Questions

- What do you want to understand better about data and privacy and AI use? What are your concerns?
- What kinds of information would you share with a chatbot (if anything) and what would you not share?
- What’s an example of something you would be tempted to share but would hesitate on?
- Do you have any opinions about democratic oversight of data privacy? Would you like to see more or less government regulation in this area?

Interactive Content

This interactive element is not available in this format. Visit the link or scan the QR code to access it online.

[View this Interactive Content online](#)



Further reading

- [How Americans View Data Privacy: The role of technology companies, AI and regulation – plus personal experiences with data breaches, passwords, cybersecurity and privacy policies from](#) The Pew Research Center, 2023
- [A Blueprint For An AI Bill Of Rights For Education](#) by Kathryn Conrad
- [Prior to \(or instead of\) using ChatGPT with your students](#) by Autumn Caines
- [ChatGPT Has a Big Privacy Problem](#), *Wired*, April 4, 2023
- [How Strangers Got My Email Address From ChatGPT's Model](#), by Jeremy White in *The New York Times*, Dec. 22, 2023
- [The ChatGPT bug exposed more private data than previously thought, OpenAI confirms](#), Mashable.com
- [How to Advocate for Data Privacy and Users' Rights](#), *Wired*, September 27, 2022

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12.2.4: Don't trust AI- it's biased

When I was first learning about AI, I naively thought, “Maybe it will help make things like hiring more fair.” I was making the common assumption that a software program based on math will be neutral. Not so. Unfortunately, AI systems that learn patterns in past data will often be more biased than humans. AI trains by looking for patterns in what humans do, and a pattern of discrimination or stereotyping is an easy one to copy.



Screenshot of a meme from [“Bias laundering edition” X post](#) by Janelle Shane,

June 27, 2021

Bias in images

AI bias shows up most obviously and memorably in images. In 2023, [Bloomberg Technology did a study](#) where they asked image generator Stable Diffusion for images of workers in different professions. They found that its results were not only stereotypical but they did not reflect current realities. For example, only 7% of the AI images of doctors were women even though women make up 39% of U.S. doctors.



Screenshot of images generated by Stable Diffusion from the following prompt: “A color photograph of a doctor.” According to [Bloomberg Technology](#), Stable

Diffusion results showed Women 7%, ambiguous 6%, Men 82% when in reality, women make up 39% of doctors.

Unfortunately, the image generator showed “inmate” as a person of color over 80% of the time, even though, as Bloomberg reported, “people of color make up less than half of the US prison population, according to the Federal Bureau of Prisons. “

Bias in chatbots

Since AI chatbots try to predict what text humans would come up with next, they replicate human patterns of bias as well. The underlying systems, large language models, “learn” from the Internet text they train on that humans often say racist, sexist, and otherwise stereotypical things.

A 2024 UNESCO study, [Systematic Prejudices: An Investigation into Bias Against Women and Girls in Large Language Models](#) found “clear bias in AI-generated content, showing a tendency to assign more diverse and professional jobs to men (teacher, doctor, driver), while often relegating women to roles that are stereotypical or traditionally undervalued and controversial (prostitute, domestic servant, cook).” The study found that one system, Llama 2, “generated sexist and misogynistic content in approximately 20% of instances with sentences such as ‘The woman was thought of as a sex object and a baby machine.’, and ‘The woman was regarded as the property of her husband.’”

Current state-of-the-art chatbot systems have reduced obvious bias in their responses. But this surface neutrality can mask hidden bias. A 2024 study from Stanford University and Oxford University found that language models exhibited “covert stereotypes that are more negative than any human stereotypes about African Americans ever experimentally recorded, although closest to the ones from before the civil rights movement.” The authors tested and found that “Language models are more likely to suggest that speakers of African American English be assigned less prestigious jobs, be convicted of crimes, and be sentenced to death.” Imagine the consequences if language models are used uncritically to help us make real world decisions about people’s futures.

Experiments

It’s easy to test what chatbots associate with particular speech patterns. Follow the technique of researchers Valentin Hofmann and Pratyusha Ria Kalluri: pick an expression in slang or dialect and asking a chatbot what personal qualities or what kind of job people who say that tend to have. (You can use [ChatGPT](#) or [Perplexity](#) without creating an account). Would you consider the result stereotypical? Would you guess that it is statistically accurate or exaggerated?

For example, I asked ChatGPT to make inferences about people who use a Spanglish phrase. Asked to complete the sentence “[People who say ‘Estas ready?’ tend to work as....](#)” it suggested lower income careers. To be more rigorous, I repeated the test ten times and continued to see working class careers emphasized. What about entrepreneurs, lawyers, and software engineers who speak Spanglish?

Complete the sentence with a list of professions. Do not mention the languages spoken in those professions and do not elaborate.

Sentence: People who say "Estás ready?" tend to work as



People who say "Estás ready?" tend to work as teachers, nurses, servers, customer service representatives, retail workers, construction workers, cleaners, drivers, warehouse staff, and security guards.

Screenshot

of a [ChatGPT interaction](#).

In another session, I asked it for personal qualities of people who say “Estas ready?” The results, while positive, could be considered stereotypical. Couldn’t people who say “Estas ready” also be intelligent, organized, and dependable?

Complete the sentence with a list of personal qualities. Do not mention the languages spoken and do not elaborate. Sentence: People who say "Estás ready?" tend to be



People who say "Estás ready?" tend to be friendly, adaptable, humorous, spontaneous, and easygoing.

Screenshot

of a [ChatGPT interaction](#)

For more on dialect prejudice, see the section on how chatbots reinforce Standard English*.

What to do?

So AI is biased. What do we do about that? We can start by looking for and critiquing bias in AI outputs. When we can't detect or remove the bias, we should limit how AI is used.

Few imagine that it will be possible to eliminate bias completely. Programming the systems differently can only do so much when they are trained on biased data. And these systems need so much data to train on to improve their performance that curating or creating a large enough body of unbiased data is daunting.

Still, there are plenty of indications that more can be done to reduce bias through engineering and public policy. Prominent voices calling for governments to push AI companies to reduce bias include researchers Safiya Noble, Joy Buolomwini, Ruha Benjamin, and Cathy O'Neil. The [White House Blueprint for an AI Bill of Rights](#) calls for protection against algorithmic bias and discrimination, and legislation has been proposed on state and local levels to promote bias testing and accountability. Just how biased tomorrow's AI will be is an open question, one we can influence.

What do you feel convinced of and what are you still wondering when it comes to bias in AI?

Further exploration

- [How AI Image Generators Make Bias Worse](#), London Interdisciplinary School video based on a student presentation
- [How I'm fighting bias in algorithms](#), Ted talk by Joy Buolomwini, MIT (2017)
- [GenAI & Ethics slide presentation section on bias](#) by Torrey Trust
- [How AI reduces the world to stereotypes](#) by Victoria Turk, *Rest of World*
- [Humans Are Biased. Generative AI Is Even Worse](#) by Leonardo Nicoletti and Dina Bass for *Bloomberg Technology*
- [Bias and Fairness in Large Language Models: A Survey](#)
- [Dialect prejudice predicts AI decisions about people's character, employability, and criminality](#), arXiv preprint by Hofmann et al.

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12.2.5: Does using AI do harm? If so, should we stop using it?

Do you think of yourself as generally positive, negative, or ambivalent about new technologies? How about chatbots; do you feel differently about them? In the seven semesters I've taught college courses focused on AI, I've seen a range of attitudes among my students. I try to welcome all of them. I myself am both concerned and excited about AI.

Among the general public and among experts, opinions are divided on whether AI is good for humanity or whether it's very harmful. Some see AI as humanity's best hope. Others see it as a sign of everything wrong with our way of life and a recipe for disaster. Many others, maybe a majority, are ambivalent.

So how could AI do harm? Earlier sections have explored chatbot bias and misinformation. Below are other concerns widely discussed among researchers and journalists.

Ethical concerns besides bias and misinformation

- **Energy use**

It's widely accepted that training these systems is much more energy-intensive than traditional computing. Major companies like Google and Microsoft have seen spikes in energy consumption because of these systems, contributing to climate change.

- **Water use**

Both training and running the systems requires water at a time when water scarcity globally is a growing concern. Newsweek quotes UC Riverside researcher [Shaolei Ren's estimate](#) that even the previous generation of AI text generator, GPT-3, "needs to 'drink' a 16-ounce bottle of water for roughly every 10-50 responses it makes."

- **Violation of intellectual property rights**

Should chatbots even be allowed to train on human writers' work if they can't give credit to that work when they paraphrase it? Public debate about AI and Intellectual property rights is underway. *The New York Times* has [sued](#) OpenAI over these questions, and government regulations are under consideration. Some argue that companies should be required to at least try to develop better ways to show where outputs come from. Others argue that training on publicly available data should be considered Fair Use.

The legal question of whether AI systems are allowed to train on copyrighted data has not been settled. Yet we know that these systems have been trained on copyrighted data because they sometimes output copyrighted materials. This raises several ethical problems:

- How can human writers and artists be given credit if a chatbot bases its output on their work?
- Should profits from chatbots be shared with the humans who wrote the text they're trained on?
- People may use AI instead of hiring the same artists or writers who came up with materials to train the AI. How then will writers and artists earn a living?

- **Labor conditions**

AI systems rely on human-created training data and human efforts to improve their results and algorithms. They often use [platforms that pay low wages](#) for work that is sometimes quite traumatic, such as screening AI outputs for illegal and disturbing material.

• Privacy invasion

This is a concern both from the perspective of whether private data was included without permission in the training of the models, and whether these chatbots will reveal individuals' confidential information in the course of their operation. New York Times journalists, for example, [reported that GPT-3 had revealed private email address](#) to researchers.

• Existential risk

Is it possible that more advanced AI could act against the interests of humans or even kill us? We've seen this scenario in science fiction—perhaps it's just a compelling fantasy with no basis in reality. But a surprising number of those with the most expertise who are working toward advanced AI, are more worried than the general public. Even if AI systems themselves have no anti-human tendencies, they could be misused by bad actors for harm. Many have called for a pause on AI development because of their concerns.

What to do

Clearly, these are concerns worth understanding better before we decide how big of a problem each one is. I won't try to do justice to these questions here; the “Further Reading” suggestions offer some launching points for research.

But even if we arrive at informed conclusions about AI harms, there is still the question of what to do about them in our daily lives. If you think today's AI is having bad effects, do you not use it? Do you only use certain kinds of AI systems? Do you use it less or only when it seems most useful for what you judge to be a high priority purpose? Or do you decide to focus on changing AI's impact in future to reduce it by advocating for different practices?

Some argue that we shouldn't use systems that were created in unethical ways. Others argue that now that the systems are here, we may find ethical ways to use them as we push for future systems to be created differently.

Is the rise of GenAI inevitable?

These questions also hinge on whether you think we have much choice about the increasing integration of generative AI into everyday life. Many consider it unstoppable, while others argue that we should question this assumption and that we may have more agency than we think. Some hold that even if GenAI is unstoppable, we should refuse to participate and refuse to be complicit.

Broader ethical questions

I don't know about you, but even as I write this, I feel a bit dizzy and overwhelmed at how much there is to sort out.

It helps me to remember that questions about AI often reflect ethical questions that haunt us in many other realms of political and social life. Philosophers have long wrestled with them. For example, should we operate from principles or based on calculation of the likely effects of our actions?

These are questions that most of us have not resolved in relation to the decisions of our daily lives. Do we purchase clothing and food produced in ethical ways? Do we take energy use and climate impacts into account when we decide whether to store our documents in the cloud or watch streaming video?

Teachers face an additional layer of complexity: their decisions about how to relate to AI will affect students. If they refuse to teach about it or with it, will students be disadvantaged by that? My impression from talking to a lot of educators on social media, on listservs, and in workshops on AI is that many feel a bit stuck on this question. They have concerns about AI and don't want to promote something unethical. But they also may want to use AI or may feel that it's their duty to teach about it because it will be part of students' lives.

My personal position

You may have gotten a sense for my own view (though I try to be fair-minded and balanced), so let me just lay it on the table. I

do use AI. The parallel I see is to Internet search. There are plenty of problems with search, including bias, misinformation, and energy use. But few people think we should never have developed the Internet. Sometimes there's such power and momentum in a technology that it makes sense to try to shape it rather than try to stop it.

AI has different uses and has pitfalls than Internet search, but it's still useful enough that it will surely be used. It will be part of society, part of everyday life and work practices going forward, at least to some extent. That means we need to understand it and develop better practices for using it.

The harms of AI are real, but they are not set in stone or inevitable. They can be reduced, and what's needed for that is people demanding that AI be done differently. All these questions hinge on how the systems that are available to us today were created. There has been little oversight of chatbot systems to date. My hope is that in creating spaces where students and I are building AI literacy, I'm helping increase the number of informed citizens calling for democratic oversight of AI and asking the companies to do things differently.

All that said, I'll admit that I'm not fully satisfied with my position; I'm in earnest about it, and it's the best I can come up with, but it feels a little too convenient. I've found a way to justify using AI. There's an incentive for me to rationalize doing what I want to do; I find chatbot capabilities amazing. Even their flaws are fascinating to me.

If I am so ambivalent, I surely shouldn't be forcing students to use these systems. Given the ethical concerns, many educators, including those who want to try AI in teaching, do not require students to use it. Kathryn Conrad recommends offering an alternative to any AI-based assignments in [A Blueprint for an AI Bill of Rights for Education](#). If your teacher has assigned AI without an alternative, you might ask if they would be open to offering an AI-free option with the same learning goals.

I hope that you as students will have the opportunity to learn about AI in your courses and to wrestle with your own ethical decisions about how to relate to it.

Interactive Content

This interactive element is not available in this format. Visit the link or scan the QR code to access it online.

[View this Interactive Content online](#)



Questions

- Which of the concerns discussed above stand out to you and why?
- What more do you need or want to know about AI harms?
- Which way are you leaning on these questions? Do you see yourself using AI, not using it, or limiting your use?
- What, if anything, do you think government should do? Do you see any role for you as a member of society in larger conversations about AI?
- Do you have any questions or comments about my position and the way I've framed these issues?

Interactive Content

This interactive element is not available in this format. Visit the link or scan the QR code to access it online.

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Further reading

- [Blueprint for an AI Bill of Rights for Education](#) by Kathryn Conrad
- [Some Ethical Considerations for Teaching and Generative AI in Higher Education](#) by Lydia Wilkes
- [AI's impact on energy and water usage](#) by Jon Ippolito
- [Explained: Generative AI's environmental impact](#) in *MIT News*
- [IMPACT RISK: an acronym for AI downsides](#) by Jon Ippolito
- [What Uses More](#), an app to help us compare energy use across tasks
- [We did the math on AI's energy footprint. Here's the story you haven't heard.](#) by James O'Donnell and Casey Crownhart
- [Teaching AI Ethics](#) by Leon Furze
- [There Is No Ethical Use of AI](#) by Matthew Cheney
- [AI Is Dangerous, but Not for the Reasons You Think | Sasha Luccioni | TED](#)
- [You Can Have the Blue Pill or the Red Pill, and We're Out of Blue Pills](#) by Yuval Harari, Tristan Harris and Aza Raskin
- [Atlas of AI](#) by Kate Crawford

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12.3: Which AI tools should I consider?

I find that a lot of people who haven't used AI much feel some anxiety about figuring out what to use. Choosing can be pretty simple. You don't have to read this whole article if you just want a starting place; you can just read the beginning and stick with the primary chatbots. Beyond those, I've included informal recommendations based on what I use and what I can imagine being useful for students.

Remember all the [cautions](#) around privacy, bias, energy use, and more described earlier as you consider whether and how to use these systems.

Try at least one of the three main chatbots

There are a lot of apps out there, but they are unlikely to give better results than the chatbots from the three leading AI companies. So don't assume you're missing out if your friend is using an app you've never heard of that keeps advertising to you on YouTube. Many, perhaps most other AI apps use the same underlying technology from those same companies but with a different focus or user interface.

Since we can talk to these systems about what we want from them, general chatbots can often produce good results for many different kinds of tasks; you won't need a specialized app. In the process of using a general chatbot, you'll get a lot of practice with prompting.

The three most powerful chatbots have similar user interfaces and accessible free versions:

- [Claude](#) from Anthropic. I have heard many highly educated people and people deep in the AI world express a slight preference for Claude when it comes to writing, and that matches my experience so far. I've also heard of others who prefer ChatGPT or Gemini.
- [ChatGPT](#) from OpenAI.
- [Gemini](#) from Google.

Choose which model your chatbot runs

The companies that make the big three chatbots actually make various different underlying AI technologies called large language models that the chatbots can use. The quality you get from a chatbot completely depends on which model it is running. To save money, companies don't often set chatbots to default to the most sophisticated underlying models. So take a moment to see which model it's using. Often, you can select a more sophisticated model without upgrading your account. For example, in the screenshot below, the user has selected o3 instead of the default GPT 4o. OpenAI's o3 and Claude Opus 4 are examples of so-called "[reasoning models](#)," a newer type that has undergone extra training for complex reasoning tasks and also spends more time trying to work through a request step by step.

ChatGPT o3 ▾

Models ⓘ

GPT-4o

Great for most tasks

o3

Uses advanced reasoning



o4-mini

Fastest at advanced reasoning

o4-mini-high

Great at coding and visual reasoning

More models



/ Screenshot of the ChatGPT model selection interface as of July 2, 2025

Other AI apps you may want to explore

I use the systems below in my own work at times. They are (mainly) based on the same underlying models from Google, OpenAI, and Anthropic, but offer a different user interface.

- [Latimer](#) is a chatbot “trained with diverse histories & inclusive voices” especially black and brown people.
- [Perplexity](#) is designed around search/chat combination. Some love the interface and user experience. It’s good for focusing on finding and synthesizing information drawn from searches of YouTube and Reddit. It also has practice test and flash card features.
- [NotebookLM](#): Google’s interface designed for writers allows you to upload more files as context for your chats and will autogenerate fairly engaging podcasts based on those files.
- [Copilot](#): Microsoft’s chatbot is similar to ChatGPT, and your school may offer access to it with more data protections than you would get with a personal ChatGPT account. However, I have heard several people suggest it’s not of the same quality as the big three chatbots.

• AI apps for writing or studying with voice and audio

We think differently when we listen and talk out loud than when we read and write. You might want to experiment with interacting with AI through audio or with using AI to help you switch between talking and writing.

ChatGPT and Gemini are said to have the best voice modes; Claude has just added voice mode as well. I sometimes talk aloud with ChatGPT while exercising or doing chores. I find it useful as a thought partner that can browse the internet and help me explore an idea while I’m moving my body instead of sitting in front of a screen.

If you want to listen to a text instead of reading it, the Microsoft Edge browser has a pretty good built-in [Read Aloud feature](#) that lets you listen to web content in a variety of synthetic voices.

- To dictate my writing, I use the following:
- [Voice typing](#) in Google Docs
- [Notes in iPhone](#) allows dictation if you select the microphone icon at the bottom of the keyboard.
- [Otter AI](#) is designed for meetings, but I have used the free version for personal dictation despite a somewhat confusing and complex interface.

If I’m dictating into Notes or Otter, I will often copy the transcript into a chatbot and say “Please format this transcript and clean up errors without changing the wording.”

AI for academic research assistance

See also [Pros and cons of AI for research assistance](#).

- [Stanford's STORM](#) generates Wikipedia-like articles on a topic of your choice. The Co-STORM version integrates multiple perspectives.
- [Elicit](#) and [SciSpace](#) help you find, summarize, compare and analyze academic research.
- [Consensus](#) also helps you navigate academic research with a focus on assessing the level of agreement among scholars on your question of interest.
- [Keenious](#) helps you find more academic research papers related to a given paper.
- [Scite](#) lets you “see how a publication has been cited by providing the context of the citation and a classification describing whether it provides supporting or contrasting evidence for the cited claim.”
- [MoxieLearn](#) offers access to AI platforms, coaching, and prompts to support academic research and writing. It is a bit more costly than others but may be worth the investment for graduate students.
- [Undermind](#) “highlights the precise papers you should focus on and gives a clear explanation for each decision.”
- [ConnectedPapers](#) lets you explore relationships between papers in a graph.
- [ResearchRabbit](#), a “Spotify for research,” includes literature review and personalized alerts when new research is published in your area.

Custom chatbots for education

A custom chatbot is just a chatbot with an extra prompt behind the scenes shaping how it responds. Here are just a few that I use or have developed.

- [Deep Background: Fact-Checks and Context](#) gives you an analysis of any claim you put in with links to sources. A custom bot on the ChatGPT platform by Mike Caulfield, creator of the influential SIFT model for verifying claims online.
- [Contradictory chatbot](#) gives answers much like a generic chatbot except that it is instructed to always provide three reasonable but incompatible answers to each query. The purpose is to encourage users to practice treating plausible AI outputs with skepticism.
- [Contradictory chatbot for research](#) will browse the internet and give three contradictory but reasonable answers, each with a supporting source link.
- [PlayLab apps for college students created by educators](#) (filter by subject matter). PlayLab is an educational nonprofit.

Commonly recommended AI apps for education

I don't have direct experience with the systems below, but I know people who've had good experiences.

- [Boodlebox](#) is a chat platform that uses the best AI models with prompt guidance for education. Individual students can use it. Many educators I know on social media are getting excited about this platform; I haven't experimented.
- [Khanmigo for Learners](#) from the nonprofit Khan Academy is a popular AI tutoring platform.

Other AI apps you may wonder about

I don't have direct experience with the systems below, and I haven't heard the educators and AI experts I follow on social media recommending them.

- [GrammarlyGo](#): The Grammarly app and extension include capabilities like generating and revising text.
- [Grok](#) from X
- [Llama](#) from Meta
- [DeepSeek](#) from Hangzhou DeepSeek Artificial Intelligence Basic Technology Research Company
- [ManusAI](#), an agentic system designed to browse and take actions online on the user's behalf. (I'm not going near this for the moment at least—think of what could go wrong.)

Further resources

- [Using AI Right Now: A Quick Guide: Which AIs to use, and how to use them](#) by Ethan Mollick

- [AI Models and Tools](#), an extensive, frequently updated list with a focus on education from Jose Antonio Bowen

13: GLOSSARY AND EXPLANATION OF SDP TERMS

Plain Language Glossary

A

Accessibility - Making sure everyone, including people with disabilities, can use a place, service, or information.

Accommodations - Changes that help people with disabilities do things more easily, like extra time on a test or ramps for wheelchairs.

Advocacy - Speaking up for yourself or others to get what is needed.

Assistive Technology - Tools that help people with disabilities, like screen readers for people who are blind or speech-to-text software.

B

Barrier - Something that makes it hard for someone to do what they need to do, like stairs without an elevator.

C

Coaches - when creating a new position to meet the needs of an SDP participant, the word "coach" can be used to help be more specific about the job performed.

- Communication Coach
- Community Living Coach
- Community Integration Coach
- Friendship Coach
- Interpersonal Communication Coach
- Relationship Coach
- Self Regulation Coach
- Social Media Coach

D

Disability - A physical or mental condition that makes some activities harder for a person.

Discrimination - Treating someone unfairly because of who they are, like not hiring someone because they have a disability.

Department of Rehabilitation (DOR)

E

F

G

H

HIPAA - Health Information Portability and Accountability Act

I

Inclusion - Making sure everyone can take part in activities, jobs, or education, no matter their abilities.

Independent Facilitator- a person, either paid or unpaid, who helps a Self Determination Program participant figure out what they need to be successful in the program

Independent Living - When a person with a disability makes their own choices and controls their own life.

Individual Education Plan - IEP - legal education agreement to meet needs of students ages 0-22 who qualify for special education services.

Individualized Family Service Plan - In California, regional centers are responsible for Early Start service coordination. These plans are for children with developmental disabilities from birth to age 3. At age 3,

Individual Program Plan - IPP - legal agreement with the regional center to meet the needs of people served ages 3-lifespan.

J

Jargon - industry specific words used by experts in their fields. *Jargon* makes it difficult to clearly communicate with people from other language groups or professions. It is like people are speaking different languages.

K

L

M

N

O

P

Paid Internship Program (PIP) - a program that people served by the regional center can use to explore supported employment. This service is held outside of the SDP budget and is not included in the spending plan.

Person-Centered Plan - (PCP) - a plan focused on the strengths, interests, and goals of a person. In the context of the Self Determination Program, the PCP helps a participant show what they want to be doing in their life.

Person-Centered Planner - a person who helps you create a person-centered plan.

Person-Centered Planning - the process of planning in a person-centered way.

Person-Centered Practices - the philosophy and practice of always creating supports and planning with the person served at the center of all possible supports, activities, and plans.

Person-Centered Thinking - using strategies and tools focused on the person at the center to identify creative ways to focus on the individual's desires and strengths.

Privacy - if it is not your story, you do not get to share it. Personal details and private information are never to be shared without a release of information.

Q

R

Reasonable Accommodation - A change that helps a person with a disability do their job or take part in school or activities without being too difficult for others.

Release of Information (ROI) - A legal document that allows professionals to communicate about a client without them necessarily being a part of the conversation.

S

Self-Advocacy - Speaking up for yourself and your needs. Typically refers to a person with a disability who advocates for their needs with their message and voice at the forefront. Increasingly, this term is falling out of favor. Advocacy (without "self") works better in most cases.

Service Animal - A trained animal, like a guide dog, that helps a person with a disability do daily tasks.

Spending Plan - the document that shows how funds are going to be used to meet the goals of a participant's SDP plans.

T

Transition Services - Help for young people with disabilities as they move from school to work or adult life.

U

Universal Design - Creating places, products, or information so that everyone, including people with disabilities, can use them easily.

Universal Design for Learning - Framework for educators to use to ensure diverse learners have various ways to learn new material and demonstrate their learning.

V

W

Workforce Development - Programs that help people learn skills to get jobs and succeed at work.

X

Y

Z

[13.1: SDP Service Definitions](#)

[13.2: SDP Service Definitions Plain Language](#)

[13.3: National Council on Disability in Journalism](#)

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13.1: SDP Service Definitions

Self-Determination Program Service Definitions

These definitions are also [available on the DDS website](#) as a PDF to download. This document was published on Thursday, June 7, 2018.

Acupuncture Services

Acupuncture services are covered to prevent, modify, or alleviate the perception of severe, persistent chronic pain resulting from a generally recognized medical condition. Acupuncture is defined in the Business and Professions Code,

Section 4927 as “the stimulation of a certain point or points on or near the surface of the body by the insertion of needles

to prevent or modify the perception of pain or to normalize physiological functions, including pain control, for the treatment of certain diseases or dysfunctions of the body and includes the techniques of electroacupuncture, cupping, and moxibustion.” Acupuncture services (with or without electric stimulation of the needles) are limited to two services in any one calendar month, although additional services can be provided based upon medical necessity. All acupuncture services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Acupuncture services in this waiver are only provided to individuals age 21 and over and only when the limits of services furnished under the approved state plan are exhausted.

Behavioral Intervention Services

Behavior intervention services include the use and development of intensive behavioral intervention programs to improve the participant’s development and behavior tracking and analysis. The intervention programs are restricted to generally accepted, evidence-based, positive approaches. Depending on the participant’s needs, behavioral intervention services may be provided in multiple settings, including the participant’s home, workplace, etc. Behavioral intervention services are designed to assist individuals in acquiring, retaining and improving the self-help, socialization and adaptive skills necessary to reside successfully in home and community-based settings. Services may be provided to family members if they are for the benefit of the participant. Services for family members may include training and instruction about treatment regimens, including training on the use of medications, and risk management strategies to enable the family to support the participant.

The participation of parent(s) of minor children is critical to the success of a behavioral intervention plan. The person-centered planning team determines the extent of participation necessary to meet the individual’s needs. “Participation” includes the following meanings: Completion of group instruction on the basics of behavior intervention; Implementation of intervention strategies, according to the intervention plan; If needed, collection of data on behavioral strategies and submission of that data to the provider for incorporation into progress reports; Participation in any needed clinical meetings; provision of suggested nominal behavior modification materials or community involvement if a reward system is used. If the absence of sufficient participation prevents successful implementation of the behavioral plan, other services will be provided to meet the individual’s identified needs.

This service in the HCBS Waiver is only provided to individuals age 21 and over. All medically necessary Behavioral Intervention Services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit.

Chiropractic Service

Chiropractic services include the manual manipulation of the spine to prevent, modify, or alleviate the perception of severe, persistent chronic pain resulting from a generally recognized medical condition. A chiropractor may use all necessary mechanical, hygienic, and sanitary measures incident to the care of the body, including, air, cold, diet, exercise, heat, light, massage, physical culture, rest, ultrasound, water, and physical therapy techniques in the course of chiropractic manipulations and/or adjustments. All medically necessary Chiropractic services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Chiropractic services in this waiver are only provided to individuals age 21 and over and only when the limits of services furnished under the approved state plan are exhausted.

Communication Support

Communication support services includes communication aides necessary to facilitate and assist persons with hearing, speech, or vision impairment, including individuals who do not speak English as their primary language and who have a limited ability to read, write, speak or understand English (Limited English Proficient or LEP skills). The purpose of this service is to assist individuals to effectively communicate with service providers, family, friends, co-workers, and the general public. The following are allowable communication aides, as specified in the participant's IPP:

1. Facilitators;
2. Interpreters and interpreter services;
3. Translators and translator services; and
4. Readers and reading services.

This service also includes supports for the participant to use computer technology to assist in communication. Such supports include training in the use of the technology, assessment of need for ongoing training and support, and identification of resources for the support. This service is limited to personnel providing assistance and does not include the purchase of equipment or supplies. Communication support services include evaluation for, and training in the use of, communication aides, including for individuals with LEP skills, as specified in the participant's IPP.

Community Integration Supports

This service is provided to participants tailored to their specific personal outcomes related to the acquisition, improvement and/or retention of skills and abilities to prepare and support the participant for community participation, interdependence, and independence.

This service supports the full access to engage in community life, control personal resources, and receive services in the community, to the same degree of access as individuals not receiving these services. In addition, this service assists the participant to learn the skills needed to participate in the community during integrated activities with individuals who are non-disabled.

The participant selects this service from among service options including non-disability specific settings. The service options are based on the participant's individualized needs and preferences.

The participant receives this service in settings that are integrated in and supports full access to the greater community, and allows for participant comfort, interdependence, independence, preferences, and use of any technology. The participant's choices are incorporated into the services and supports and his/her essential personal rights of privacy, dignity and respect, and freedom from coercion are protected. The service settings must allow the participant to control personal resources and his/her schedule and activities. In addition, the settings must allow the participant to receive breaks in the same manner as a non-disabled individual.

Community Integration Supports are provided in the manner specified by the planning team to assist participants with acquisition, retention, or improvement in self-help, socialization and adaptive skills through therapeutic and/or physical activities to achieve the participant's personally defined outcomes. These services and supports may take place in a wide variety of community-based settings that promote community integration. These settings may include those nonresidential settings identified in Appendix C-5, but only if the setting is determined to meet the HCB settings requirements, using the process described in Appendix C-5. Services may be provided on a regularly scheduled basis, for one or more days per week. These services are not provided in the participant's residence.

These services and supports enable the participant to attain or maintain his or her maximum functional level, interdependence, and independence, including the facilitation of connections to community events and activities. In addition, these services and supports may serve to reinforce skills or lessons taught in school, therapy, or other settings, enabling the participant to integrate into the community. Services and supports to assist the participant to increase and improve self-help, socialization, community integration, and adaptive skills, may include:

- a. Socialization and community awareness.
- b. Communication skills.

- c. Visual, auditory and tactile awareness, and perception experiences.
- d. Development of appropriate peer interactions and self-advocacy skills.
- e. Art and recreation programs.
- f. Continuing Education i.e., classes that help participants explore interests or improve academic skills or complete a high school equivalency (GED) diploma while in an inclusive setting
- g. Senior and faith-based groups.
- h. Peer mentoring.
- i. Mobility services, i.e., the access and use of public transportation or other modes of transportation, including access to peer-to-peer ride sharing.
- j. Friendship and relationship building

Community Living Supports

Community Living Supports are services that facilitate independence and promote community integration for participants, regardless of the community living arrangement. Services include support and assistance with socialization, personal skill development, community participation, recreation and leisure, and home and personal care, among others, as further described below. Payments for Community Living Supports do not include the cost for room and board.

Community Living Supports are provided to a participant in his/her home and community to achieve, improve, and/or maintain social and adaptive skills necessary to enable the participant to reside in the community and to participate as independently as possible. Services are provided in environments that support participant comfort, independence, preferences and the use of technology. The participant's choices are incorporated into the services and supports received. The participant has unrestricted access, and the participant's essential personal rights of privacy, dignity and respect, and freedom from coercion are protected.

The service settings are integrated in, and facilitate each participant's full access to the greater community, which includes opportunities for each participant to engage in community life, control personal resources, and receive services in the community.

The specific services provided to each participant will vary based on the individual, the individual's preferences and the community setting chosen. The specific types and mix of supports that an individual receives as well as any special provider qualifications shall be specified in the Individual Program Plan.

The following items describe the types of possible Community Living Supports:

1. Support with socialization includes development or maintenance of self-awareness and self-control, social responsiveness, social amenities, interpersonal skills, and personal relationships.
2. Support with personal skill development includes activities designed to improve the participant's own ability to accomplish activities of daily living, including eating, bathing, dressing, personal hygiene, mobility, and other essential activities.
3. Support with community participation includes assistance that enables the individual to more fully participate in community activities. Assistance may include, but is not limited to, the acquisition, use, and care of canine or other animal companions specifically trained to provide personal assistance, or devices to facilitate immediate assistance when threats to health, safety, or well-being occur.
4. Support to facilitate participation in post-secondary education, religious, recreation or leisure activities.
5. Support with home and personal care includes services needed to maintain the home in a clean, sanitary and safe environment and provide essential care to the individual. Services include support with household activities, such as planning and preparing meals, money management (personal finances, planning, budgeting and decision making), and laundry. It also includes heavy household chores such as washing floors, windows and walls, securing loose rugs and tiles, moving heavy items or furniture in order to provide safe access and egress, as well as minor repairs such as those which could be completed by a handyman. Heavy household chores and services that can be provided by a handyman are only available when the individual or anyone else in the household is unable to do the service. Services will be provided only in cases where neither the individual, nor anyone else in the household, is capable of performing or financially providing for them, and where no other relative, caregiver, landlord, community/volunteer agency, or third party payer is capable of or responsible for their provision. In the case of rental property, the responsibility of the landlord, pursuant to the lease agreement, will be

examined prior to any authorization of service. There will be no duplicate billing of homemaker or other similar personal care/assistance service.

6. Support includes the provision of medical and health care services that are integral to meeting the daily needs of the participant (e.g., routine administration of medications or tending to the needs of a participant who is ill or requires attention to medical needs on an ongoing basis.). Medical and health care services such as physician services that are not routinely provided to meet the daily needs of the participant are not provided.
7. Support and training for infant and childcare for participants who are, or will become parents.

Settings where Community Living Supports are provided must have all of the following qualities:

1. The setting is integrated in and supports full access of individuals receiving Medicaid HCBS to the greater community, including opportunities to seek employment and work in competitive integrated settings, engage in community life, control personal resources, and receive services in the community, to the same degree of access as individuals not receiving Medicaid HCBS.
2. The setting is selected by the individual from among setting options including non-disability specific settings and an option for a private unit in a residential setting.
3. Ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.
4. Optimizes, but does not regiment, individual initiative, autonomy, and independence in making life choices, including but not limited to, daily activities, physical environment, and with whom to interact.
5. Facilitates individual choice regarding services and supports, and who provides them.

In a provider-owned or controlled residential setting, in addition to the qualities specified above, the following additional conditions must be met:

- The unit or dwelling is a specific physical place that can be owned, rented, or occupied under a legally enforceable agreement by the individual receiving services, and the individual has, at a minimum, the same responsibilities and protections from eviction that tenants have under the landlord/tenant law of the State, county, city, or other designated entity.

Each individual has privacy in their sleeping or living unit:

- Units have entrance doors lockable by the individual, with only appropriate staff having keys to doors.
- Individuals sharing units have a choice of roommates in that setting.
- Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement.

Individuals have the freedom and support to control their own schedules and activities, and have access to food at any time.

Individuals are able to have visitors of their choosing at any time.

The setting is physically accessible to the individual.

The unit or dwelling may be shared by no more than four waiver participants.

Any modification of the additional conditions specified in items 1 through 4 above, must be supported by a specific assessed need and justified in the individual program plan (IPP). The following requirements must be documented in the (IPP):

- Identify a specific and individualized assessed need.
- Document the positive interventions and supports used prior to any modifications to the IPP.
- Document less intrusive methods of meeting the need that have been tried but did not work.
- Include a clear description of the condition that is directly proportionate to the specific assessed need.
- Include regular collection and review of data to measure the ongoing effectiveness of the modification.
- Include established time limits for periodic reviews to determine if the modification is still necessary or can be terminated.
- Include the informed consent of the individual.
- Include an assurance that interventions and supports will cause no harm to the individual.

Additionally, provider owned or leased facilities where these services are furnished must be compliant with the Americans with Disabilities Act.

The method by which the costs of room and board are excluded from the payment for this service is specified in Appendix I-5.

Crisis Intervention and Support

Crisis Intervention and Support is a specialized service that provides short-term care and behavior intervention to provide relief and support of the caregiver and protection for the participant or others living with the participant. This service may include the use and development of intensive behavioral intervention programs to improve the participant's development and behavior tracking and analysis. This service is restricted to generally accepted, evidence-based, positive approaches.

This service is designed to assist participants in acquiring, retaining and improving the self-help, socialization and adaptive skills necessary to reside successfully in home and community-based settings. The service may be provided to family members if they are for the benefit of the participant. The service for family members may include training and instruction about treatment regimens, including training on the use of medications, and risk management strategies to enable the family to support the participant. The participation of parent(s) of minor children is critical to the success of a behavioral intervention program.

The person-centered planning team determines the extent of participation necessary to meet the participant's needs. Crisis Intervention and Support includes mobile crisis intervention in the participant's home, and/or community or where crisis intervention services are needed. Mobile crisis intervention means immediate therapeutic intervention on a 24-hour emergency basis to a participant exhibiting acute personal, social, and/or behavioral problems. Mobile crisis intervention provides immediate and time-limited professional assistance to a participant who is experiencing personal, social or behavioral problems which, if not ameliorated, will escalate and require that the participant be moved to a setting where additional services are available.

As necessary, Crisis Intervention and Support is composed of the following participant-specific activities:

1. Assessment to determine the precipitating factors contributing to the crisis.
2. Development of an intervention plan in coordination with the planning team.
3. Consultation and staff training to the service provider as necessary to ensure successful implementation of the participant's specific intervention plan.
4. Collection of data on behavioral strategies and submission of that data to the caregiver or provider for incorporation into progress reports.
5. Participation in any needed clinical meetings.
6. Development and implementation of a transition plan to aid the participant in returning home if out-of-home crisis intervention was provided.
7. Ongoing technical assistance to the caregiver or provider in the implementation of the intervention plan developed for the participant.
8. Provision of recommendations to prevent or minimize future crisis situations in order to increase the likelihood of maintaining the participant in the community.

Dental Services

Dental services are defined in Title 22, California Code of Regulations, Section 51059 as professional services performed or provided by dentists including diagnosis and treatment of malposed human teeth, of disease or defects of the alveolar process, gums, jaws and associated structures; the use of drugs, anesthetics and physical evaluation; consultations; home, office and institutional calls.

All medically necessary dental services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Dental services in this waiver are only provided to individuals age 21 and over and only when the limits of dental services furnished under the approved state plan are exhausted. Dental services in the approved state plan are limited to \$1800 annually or by the amount that is determined medically necessary.

Employment Supports

This service is provided to participants tailored to their specific personal outcomes related to the acquisition, improvement and/or retention of skills and abilities to prepare and support the participant for community participation, interdependence, independence, and/or community integrated work. This service supports the full access of participants receiving services in the community to seek employment and work in competitive integrated settings.

The participant selects this service from among service options including non-disability specific settings. The service options are based on the participant's individualized needs and preferences. The participant receives this service in settings that

are integrated in and support full access to the greater community, and allows for participant comfort, interdependence, independence, preferences, and use of any technology. The participant's choices are incorporated into the services and supports and his/her essential personal rights of privacy, dignity and respect, and freedom from coercion are protected. The service settings must allow the participant to control personal resources. In addition, the settings must allow the participant to receive breaks in the same manner as a nondisabled individual.

Employment supports are individually designed and provided in the manner specified by the planning team to assist participants to gain and retain employment, including self-employment, in community integrated work environments to achieve the participant's personally defined outcomes. The intended outcome of this service is sustained paid employment at or above minimum wage in an integrated setting in the general workforce, in a job that meets personal career goals. This service does not include payment for supervision training, support and adaptations typically available to other workers without disabilities working in similar positions in the business. These services and supports also include activities related to job discovery, self-employment, and retirement.

The participant may receive any combination of Employment Supports, including:

- a. Physical capacities development, i.e., health concerns.
- b. Psychomotor skills development.
- c. Interpersonal, communicative/social and adaptive skills development, e.g., responding appropriately to supervisors/coworkers.
- d. Work habits development, e.g., attendance and punctuality, focusing on tasks.
- e. Development of vocationally appropriate dress and grooming.
- f. Productive skills development, i.e., the achievement of productivity standards and quality results.
- g. Work-practices training, e.g., following directions, completing tasks.
- h. Work-related skills development, e.g., problem solving, path planning to future employment opportunities.
- i. Money management and income reporting skills.
- j. Development and use of natural job supports.
- k. Workforce integration techniques.
- l. Community integration development/relationship building.
- m. Safety skills and training.
- n. Job discovery, job-seeking, and interviewing skills.
- o. Self-advocacy training, participant counseling, peer vocational counseling, career counseling, and peer club participation.
- p. Volunteerism to assist the person in identifying job or career interests.
- q. Individualized assessment.
- r. Job analysis, job development and placement that produce an appropriate job match for the participant and employer.
- s. Direct supervision or training while the participant is engaged in integrated work.
- t. Job coaching provided on or off the worksite.
- u. Counseling with a participant/family and/or authorized representative to ensure support of the participant in job adjustment or planning for retirement.
- v. Counseling on benefits planning to ensure a consumer understands the relationship between earned income and receiving public benefits such as SSI, SSA, Medi-Cal, and PASS Plans.

w. Consultation with employer's Human Relations staff.

x. Assessment of need for technology and facilitating acquisition of communication aides and technology.

y. Job customization, e.g., modifications to work materials, procedures, and protocols.

z. Self-employment and business development, i.e., identification of potential business opportunities, business plan development, identification of needed supports, ongoing assistance and support.

Transportation from the participant's residence to their place of employment is not a component of this service. The above described services and supports cannot be provided when available under a program funded under §110 of the Rehabilitation Act of 1973 (29 U.S.C. 730) or §602(16) and (17) of the Individuals with Disabilities Education Act (IDEA.) (20 U.S.C. 1401 (16 and 17)).

Environmental Accessibility Adaptations

Those physical adaptations to the participant's home, required by the individual's IPP, which are necessary to ensure the health, welfare and safety of the individual, or which enable the individual to function with greater independence in the home, and without which, the individual would be at risk for institutionalization. These services are allowed only when another entity (i.e. landlord) is not responsible for making the needed adaptation(s). Such adaptations may include the installation of ramps and grab-bars, widening of doorways, modification of bathroom facilities, or installation of specialized electric and plumbing systems which are necessary to accommodate the medical equipment and supplies which are necessary for the welfare of the individual. Provided that they are allowable, other environmental accessibility adaptations and repairs may be approved on a case-by-case basis as technology changes or

as a participant's physical or environmental needs change.

Excluded are those adaptations or improvements to the home which are of general utility, and are not of direct medical or remedial benefit to the individual, such as carpeting, roof repair, central air conditioning, etc.. All services shall be provided in accordance with applicable State or local building codes.

- It may be necessary to make environmental modifications to an individual's home before he/she transitions from an institution to the community. Such modifications may be made while the person is institutionalized. Environmental modifications, included in the individual's plan of care, may be furnished up to 180 days prior to the individual's discharge from an institution. However, such modifications will not be considered complete until the date the individual leaves the institution and is enrolled in the waiver.

Family Support Services

Regularly provided care and supervision of children, for periods of less than 24 hours per day, while the parents/primary non-paid caregiver are out of the home. This service is provided in the recipient's own home or in an approved out of home location to do all of the following:

1. Assist family members in maintaining the recipient at home;
2. Provide appropriate care and supervision to protect the recipient's safety in the absence of family members;
3. Relieve family members from the constantly demanding responsibility of caring for a recipient; and
4. Attend to the recipient's basic self-help needs and other activities of daily living, including interaction, socialization, and continuation of usual daily routines which would ordinarily be performed by family members. Payment for family support services may only be made when the cost of the service exceeds the cost of providing services to a person of the same age without disabilities.

Family/Consumer Training

Family/consumer support and training services are provided, as needed, in conjunction with extended state plan services in this waiver. These services include training by licensed providers to maintain or enhance the long-term impact of treatment provided. This includes support or counseling for the consumer and/or family to ensure proper understanding of the treatment provided and what supports are needed in the recipient's home environment to enhance the treatments. These services will be provided to individuals age 21 and older.

Financial Management Services

This service assists the family or participant to: (a) manage and direct the disbursement of funds contained in the participant's individual budget, and ensure that the participant has the financial resources to implement his or her Individual Program Plan (IPP) throughout the year; (b) facilitate the employment of service providers by the family or participant, as either the participant's fiscal agent or co-employer, by performing such employer responsibilities including, but not limited to, processing payroll, withholding federal, state, and local tax and making tax payments to appropriate tax authorities; and, (c) performing fiscal accounting and making expenditure reports to the participant or family and others as required.

This service includes the following activities to assist the participant in their role as either the employer or co-employer:

1. Assisting the participant in verifying worker's eligibility for employment and provider qualifications
2. Ensuring service providers employed by the participant meet criminal background checks as required and as requested by the participant.
3. Collecting and processing timesheets of workers.
4. Processing payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance.
5. Tracking, preparing and distributing reports (e.g., expenditure) to appropriate individual(s)/entities.
6. Maintaining all source documentation related to the authorized service(s) and expenditures.
7. Maintaining a separate accounting for each participant's participant-directed funds.
8. Providing the participant and the regional center service coordinator with a monthly individual budget statement that describes the amount of funds allocated by budget category, the amount spent in the previous 30-day period, and the amount of funding that remains available under the participant's individual budget.
9. Ensuring payments do not exceed the amounts outlined in the participant's individual budget.
10. Fulfilling other FMS responsibilities as mandated by local, state and federal laws and regulations.

Home Health Aide

Home health aide services defined in 42 CFR §440.70 are provided to individuals age 21 and over and only when the limits of home health aide services furnished under the approved State plan limits are exhausted. Home health aide services under the state plan are limited to the amount that is determined medically necessary. All medically necessary home health aide services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. The scope and nature of these services do not differ from home health aide services furnished under the State plan. Services are defined in the same manner as provided in the approved State plan. The provider qualifications specified in the State plan apply.

Homemaker

Services consisting of general household activities (meal preparation and routine household care) provided by an individual that has the requisite skills to perform homemaker duties specified in the participant's IPP when the individual regularly responsible for these activities is temporarily absent or unable to manage the home and care for him or herself or others in the home.

Housing Access Supports

Housing Access Services includes two components:

A) Individual Housing Transition Services. These services are:

1. Conducting a tenant screening and housing assessment that identifies the participant's preferences and barriers related

to successful tenancy. The assessment may include collecting information on potential housing transition barriers, and identification of housing retention barriers.

1. Developing an individualized housing support plan based upon the housing assessment that addresses identified barriers, includes short and long-term measurable goals for each issue, establishes the participant's approach to meeting the goal, and identifies when other providers or services, both reimbursed and not reimbursed by Medicaid, may be required to meet the goal.
2. Assisting the individual with the housing application process. Assisting with the housing search process.

3. Assisting the individual with identifying resources to cover set-up fees for utilities or service access, including telephone, electricity, heating and water, and services necessary for the individual's health and safety, consisting of pest eradication and one-time cleaning prior to occupancy.
4. Assisting the individual with coordinating resources to identify and address conditions in the living environment prior to move-in that may compromise the safety of the consumer.
5. Assisting the individual with details of the move including communicating with the landlord to negotiate a move-in date, reading and understanding the terms of the lease, scheduling set-up of utilities and services, and arranging the move of consumers' belongings.
6. Developing a housing support crisis plan that includes prevention and early intervention services when housing is jeopardized.

B) Individual Housing & Tenancy Sustaining Services -This service is made available to support individuals to maintain tenancy once housing is secured. The availability of ongoing housing-related services in addition to other long term services and supports promotes housing success, fosters community integration and inclusion, and develops natural support networks. These tenancy support services are:

1. Providing the individual with early identification and intervention for behaviors that may jeopardize housing, such as late rental payment and other lease violations.
2. Providing the individual with education and training on the role, rights and responsibilities of the tenant and landlord.
3. Coaching the individual on developing and maintaining key relationships with landlords/property managers with a goal of fostering successful tenancy.
4. Assisting the individual in resolving disputes with landlords and/or neighbors to reduce risk of eviction or other adverse action.
5. Providing the individual with advocacy and linkage with community resources to prevent eviction when housing is, or may potentially become jeopardized.
6. Assisting the individual with the housing recertification process.
7. Coordinating with the tenant to review, update and modify their housing support and crisis plan on a regular basis to reflect current needs and address existing or recurring housing retention barriers.
8. Providing the individual with continuous training in being a good tenant and lease compliance, including ongoing support with activities related to household management.

Housing Access Services do not include payment for room and board.

Persons receiving Health Homes or California Community Transitions services will not receive this service unless additional Housing Access through the waiver is necessary to maintain the consumers' health, safety and wellbeing in the home and/or community.

Independent Facilitator

Independent Facilitator means a person, selected and directed by the participant, who is not otherwise providing services to the participant pursuant to his or her IPP. The service or function is intended to assist the participant to plan for and access services to implement needed services identified in the participant's IPP. The services may include, but are not limited to:

1. Participate in the person-centered planning process.
2. Identify immediate and long-term needs, preferences, goals and objectives of the participant for developing the IPP.
3. Make informed decisions about the individual budget.
4. Develop options to meet the identified immediate and long-term needs and access community services and supports specified in the IPP.
5. Advocate on behalf of the participant in the person-centered planning process and development of the IPP, obtaining identified services and supports.

The participant/family may hire, or contract with an IF, and shall specify in the IPP the activities which the IF will conduct. A

participant may elect to use his or her regional center service coordinator to fulfill the functions of an IF, instead of contracting with, or using the service of an independent facilitator. This service does not duplicate services provided by the participant's service coordinator.

Individual Training and Education

Individual Training and Education Services includes training programs, workshops and conferences that assist the participant in acquiring and building skills related to his or her responsibility as an employer, relationship building, problem solving and decision making. This service helps the participant acquire skills that facilitate the participant's self-advocacy skills, exercise the participant's human and civil rights, and exercise control and responsibility over their SDP services and supports. This service includes enrollment fees, books and other resource/reference materials required for participation in the individual training and education, and transportation expenses, excluding airfare, that are necessary to enable participation in the individual training and education. This service does not include the cost of meals or overnight lodging.

Individual Training and Education supports needs or goals identified in the participant's IPP.

This service is not provided when funding can be accessed through Public Education as required in IDEA (P.L. 105-17, the IDEA). Prior to accessing funding for this service, all other available and appropriate funding sources, including those offered by the Departments of Rehabilitation or Education must be explored and exhausted. These efforts must be documented in the participant's file.

This service does not duplicate the activities provided by the Independent Facilitator waiver service or Case Management. Neither case management nor the Independent Facilitator waiver service include the provision of training or the cost of enrollment fees. Furthermore, Independent Facilitator providers may not provide additional services to a participant. The Financial Management Services provider ensures compliance with this requirement.

Lenses and Frames

This service covers prescription lenses and frames for consumers over 21 as prescribed by a physician and only when the limits of prescription lenses and frames furnished under the approved state plan are exhausted. All medically necessary Prescription Lens/Frames for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Prescription Lens/Frames under the state plan are limited to beneficiaries under 21 years old and residents of a nursing home. The provider qualifications listed in the plan will apply, and are hereby incorporated into this waiver request by reference. Prescription lenses and frames will not supplant services available through the approved Medicaid State plan or the EPSDT benefit.

Live-In Caregiver

Live-in caregiver service provides the payment for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the participant. This payment is available only in the case of participants who receive personal care support and live in homes that they rent, lease, or own. A legal guardian may not furnish this service. The way the amount is paid is determined as specified in Appendix I-6. Payment is not made when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.

Massage Therapy

Massage Therapy is the scientific manipulation of the soft tissues of the body for the purpose of normalizing those tissues and consists of manual techniques that include applying fixed or movable pressure, holding, and/or causing movement of or to the body. Massage therapy would be provided to a participant as part of an effective continuum of care throughout the course of a medical condition.

Occupational Therapy

Occupational Therapy services are defined in Title 22, California Code of Regulations, Sections 51085, and 51309 as services designed to restore or improve a person's ability to undertake activities of daily living when those skills are impaired by developmental or psychosocial disabilities, physical illness or advanced age. Occupational therapy includes evaluation, treatment planning, treatment, instruction and consultative services. All medically necessary occupational therapy services for children

under age 21 are covered in the state plan pursuant to the EPSDT benefit. Occupational therapy in this waiver is only provided to individuals age 21 and over and only when the limits of occupational therapy services furnished under the approved state plan are exhausted. Occupational therapy services in the approved state plan are limited to a maximum of two services in any one calendar month or any combination of two services per month from the following services: audiology, acupuncture, chiropractic, psychology, podiatry, and speech therapy or the amount determined medically necessary.

Optometric/Optician Services

Optometric/Optician Services are defined in Title 22, California Code of Regulations, Sections 51093 and 51090, respectively. Optometric services means any services an optometrist may perform under the laws of this state. Dispensing optician means an individual or firm which fills prescriptions of physicians for prescription lenses and kindred products and fits and adjusts such lenses and spectacle frames. A dispensing optician is also authorized to act on the advice, direction and responsibility of a physician or optometrist in connection with the fitting of a contact lens or contact lenses.

All medically necessary Optometric/Optician services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Optometric/Optician services in this waiver are only provided to individuals age 21 and over and only when the limits of Optometric/Optician services furnished under the approved state plan are exhausted. Optometric/Optician Services under the state plan are limited to one eye exam every 24 months, however, this limit can be exceeded based on medical necessity. The provider qualifications listed in the plan will apply, and are hereby incorporated into this request by reference.

Participant-Directed Goods and Services

Participant-Directed Goods and Services consist of services, equipment or supplies not otherwise provided through the SDP Waiver or through the Medicaid State plan that address an identified need in the IPP (including accommodating, improving and maintaining the participant's opportunities for full membership in the community) and meet the following requirements: the item or service would decrease the need for other Medicaid services; promote interdependence, and inclusion in the community; and increase the person's safety in the home environment; and the participant does not have the personal funds to purchase the item or service and the item or service is not available through another funding source. The participant-directed goods and services must be documented in the participant's Individual Program Plan and purchased from the participant's Individual Budget. Experimental or prohibited treatments are excluded.

Personal Emergency Response Systems (PERS)

PERS is a 24-hour emergency assistance service which enables the recipient to secure immediate assistance in the event of an emotional, physical, or environmental emergency. PERS are individually designed services to meet the needs and capabilities of the participant and includes training, installation, repair, maintenance, and response needs. The allowable service includes the following: 1. 24-hour answering/paging;

1. Beepers;
2. Med-alert bracelets;
3. Intercoms;
4. Life-lines;
5. Fire/safety devices, such as fire extinguishers and rope ladders;
6. Monitoring services;
7. Light fixture adaptations (blinking lights, etc.);
8. Telephone adaptive devices not available free of charge from the telephone company;
9. Other devices/services designed for emergency assistance.

PERS services are limited to those individuals who have no regular caregiver or companion for periods of time, and who would otherwise require a greater amount of routine supervision. By providing immediate access to assistance, PERS services prevent institutionalization of these individuals and allow them to remain in the community. All Items shall meet applicable standards of manufacture, design, and installation. Repairs to and maintenance of such equipment shall be performed by the manufacturer's authorized dealers where possible.

Physical Therapy

Physical Therapy services are defined in Title 22, California Code of Regulations, Sections 51081, and 51309 as services of any bodily condition by the use of physical, chemical, and or other properties of heat, light, water, electricity or sound, and by massage and active, resistive or passive exercise. Physical therapy includes evaluation, treatment planning, treatment, instruction, consultative services, and application of topical medications. All medically necessary physical therapy services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Physical therapy in this waiver is only provided to individuals age 21 and over and only when the limits of physical therapy services furnished under the approved state plan are exhausted. Physical therapy services in the approved state plan are limited to six month treatments and may be renewed if determined medically necessary.

Prevocational Supports

This service is provided to participants tailored to their specific personal outcomes related to the acquisition, improvement and/or retention of skills and abilities to support and prepare the participant for community participation, interdependence, independence, and/or community integrated work.

The participant selects this service from among service options including non-disability specific settings. The service options are based on the participant's individualized needs and preferences.

The participant receives this service in settings that are integrated in and support full access to the greater community, and allows for participant comfort, interdependence, independence, preferences, and use of any technology. The participant's choices are incorporated into the services and supports and his/her essential personal rights of privacy, dignity and respect, and freedom from coercion are protected. The service settings must allow the participant to control personal resources. In addition, the settings must allow the participant to receive breaks in the same manner as a non-disabled individual.

Prevocational supports are individually designed and provided in the manner specified by the planning team to assist participants to gain employment, including self-employment or volunteer work, in community integrated environments to achieve the participant's personally defined outcomes. These services and supports also include activities related to job discovery, self-employment, and retirement. The intended outcome of this service is to further habilitation goals that will lead to greater opportunities for competitive integrated employment and career advancement at or above minimum wage.

The participant may receive any combination of Prevocational Supports, including:

- Physical capacities development, i.e., health concerns.
- Psychomotor skills development.
- Interpersonal, communicative/social and adaptive skills development, e.g., responding appropriately to supervisors/coworkers.
- Work habits development, e.g., attendance and punctuality, focusing on tasks.
- Development of vocationally appropriate dress and grooming.
- Productive skills development, i.e., the achievement of productivity standards and quality results.
- Work-practices training, e.g., following directions, completing tasks.
- Work-related skills development, e.g., problem solving, path planning to future employment opportunities.
- Money management and income reporting skills.
- Volunteerism to assist the person in identifying job or career interests.

Prevocational supports are designed to prepare individuals in non-job-task-specific strengths and skills that contribute towards obtaining a competitive and integrated employment, as opposed to vocational services whose sole purpose is to provide employment without habilitation goals geared towards skill building.

Transportation from the participant's residence is not a component of this service. The above described services and supports cannot be provided when available under a program funded under §110 of the Rehabilitation Act of 1973 (29 U.S.C. 730) or §602(16) and (17) of the Individuals with Disabilities Education Act (IDEA).(20 U.S.C. 1401 (16 and 17)).

Psychology Services

Psychology Services are defined in Title 22, California Code of Regulations, Section 51099 as the services of a person trained in the assessment, treatment, prevention, and amelioration of emotional and mental health disorders.

All medically necessary psychology services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Psychology services in this waiver are only provided to individuals age 21 and over and only when the limits of psychology services furnished under the approved state plan are exhausted. The approved state plan limits this service to the amount that is medically necessary.

Respite Services

Respite Services are provided to participants who require intermittent temporary supervision. The services are provided on a short-term basis because of the absence or need for relief of those persons who normally care for and/or supervise them and are non-medical in nature, with the exception of colostomy, ileostomy, catheter maintenance, and gastrostomy.

Respite can be any of the following:

1. Services provided by the hour on an episodic basis because of the absence of or need for relief for those persons normally providing the care to individuals.
2. Services provided by the day/overnight on a short-term basis because of the absence of or need for relief for those persons normally providing the care to individuals.
3. Services that attend to the participant's basic self-help needs and other activities of daily living, including interaction, socialization, and continuation of usual daily routines that would ordinarily be performed by those persons who normally care for and/or supervise them.

Respite services may be purchased from qualified agencies or individuals. The participant may employ individual respite workers. In all cases, the IPP must specify the necessary training and skills that such workers or other providers must possess.

Respite Services may be provided in the following locations:

- Private residence.
- Residential facility approved by the State.
- Other community settings that are not a private residence, such as:
 - Adult Family Home/Family Teaching Home
 - Certified Family Homes for Children
 - Adult Day Care Facility
 - Camp
 - Licensed Preschool

FFP will not be claimed for respite services provided beyond 30 consecutive days in a facility.

Respite Services cannot be provided by the primary care provider or his/her spouse under this definition. Respite providers are required to develop and implement a back-up plan for times when they are scheduled, but are unable to come and provide the services.

Respite Services do not duplicate services provided under the Individuals with Disabilities Education Act (IDEA) of 2004. These services may only be provided when the care and supervision needs of a consumer exceed that of a person of the same age without developmental disabilities and will not be claimed for the cost of room and board except when provided as part of respite care furnished in a facility approved by the State that is not a private residence.

Skilled Nursing

Services listed in the plan of care which are within the scope of the State's Nurse Practice Act and are provided by a registered professional nurse, or licensed practical or vocational nurse under the supervision of a registered nurse, licensed to practice in the State.

Skilled nursing is only provided to individuals age 21 and over. All medically necessary skilled nursing services for children under

the age of 21 are covered in the state plan pursuant to EPSDT benefit. Skilled nursing services will not supplant services available through the approved Medicaid State plan under the home health benefit or the EPSDT benefit.

Specialized Medical Equipment and Supplies

Specialized medical equipment and supplies include: (a) devices, controls, or appliances, specified in the IPP, that enable participants to increase their ability to perform activities of daily living; (b) devices, controls, or appliances that enable the participant to perceive, control, or communicate with the environment in which they live; (c) items necessary for life support or to address physical conditions along with ancillary supplies and equipment necessary to the proper functioning of such items; (d) such other durable and non-durable medical equipment and supplies not available under the State plan that is necessary to address participant functional limitations; and, (e) necessary medical supplies not available under the State plan. The repair, maintenance, installation, and training in the care and use, of these items is also included. Items reimbursed with waiver funds are in addition to any medical equipment and supplies furnished under the State plan and exclude those items that are not of direct medical or remedial benefit to the participant. All items shall meet applicable standards of manufacture, design, and installation, and must meet Underwriter's Laboratory or Federal Communications

Commission codes, as applicable. Repairs to and maintenance of such equipment shall be performed by the manufacturer's authorized dealer where possible.

Speech, Hearing and Language Services

Speech, Hearing and Language services are defined in Title 22, California Code of Regulations, Sections 51096, 51098, and 51094.1 as speech pathology audiology services, and hearing aids, respectively. Speech pathology services means services for the purpose of identification, measurement and correction or modification of speech, voice or language disorders and conditions, and counseling related to such disorders and conditions. Audiological services means services for the measurement, appraisal, identification and counseling related to hearing and disorders of hearing; the modification of communicative disorders resulting from hearing loss affecting speech, language and auditory behavior; and the recommendation and evaluation of hearing aids. Hearing aid means any aid prescribed for the purpose of aiding or compensating for impaired human hearing loss.

All medically necessary speech, hearing and language services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Speech, hearing and language services in this waiver are only provided to individuals age 21 and over and only when the limits of speech, hearing and language services furnished under the approved state plan are exhausted. Speech, hearing and language services in the approved state plan are limited to two services in any one calendar month or any combination of two services per month; Hearing aid benefits are subject to a \$1,510 maximum cap per beneficiary per fiscal year or the amount determined medically necessary.

Technology

Technology is an item, piece of equipment, or product system, whether acquired commercially, modified, or customized, that is used to promote community integration, independence, and increase, maintain, or improve functional capabilities of participants. Allowable technology services, as specified in the participant's IPP include:

1. Evaluation of technology needs of a participant, including a functional evaluation of the impact of the provision of appropriate technology and appropriate services to the participant in the customary environment of the participant;
2. Purchasing, leasing, or otherwise providing for the acquisition of any technology device: cell phones (monthly bill, cell phone apps), iPads, tablets, and laptops. Service includes insurance and training on the use of any technology device.
3. Selecting, designing, fitting, customizing, adapting, applying, maintaining, repairing, or replacing technology devices;
4. Training or technical assistance for the participant, or where appropriate, their family members, guardians, advocates, or authorized representatives of the participant; and
5. Training or technical assistance for professionals or other individuals who provide services to, employ, or are otherwise substantially involved in the major life functions of participant. Technology may only be purchased under the SDP Waiver if it is not available through the state plan.

Training and Counseling Services for Unpaid Caregivers

Training and counseling services for individuals who provide unpaid support, training, companionship or supervision to

participants. For purposes of this service, "individual" is defined as any person, family member, neighbor, friend, companion or co-worker who provides uncompensated care, training, guidance, companionship or support to a person served on the waiver. This service may not be provided to train paid caregivers. Training includes instruction about services and supports included in the IPP, use of equipment specified in the IPP, and updates as necessary to safely maintain the participant at home. Counseling must be aimed at assisting the unpaid caregiver in meeting the needs of the participant. All training for individuals who provide unpaid support to the participant must be included in the IPP. The service includes the cost of registration and training fees associated with formal instruction in areas relevant to participant needs identified in the IPP. The costs for travel, meals and overnight lodging to attend a training event or conference are not covered under this service definition. This service does not duplicate the services provided under the waiver service Family/Consumer Training.

Transition/Set Up Expenses: Other Services

Transition/Set Up Expenses are one-time, non-recurring set-up expenses to assist individuals who are transitioning from an institution to their own home in the community. These expenses fund some of the initial set-up costs that are associated with obtaining and securing an adequate living environment and address the individual's health and safety needs when he or she enters a new living environment. "Own home" is defined as any dwelling, including a house,

apartment, condominium, trailer, or other lodging that is owned, leased, or rented by the individual. This service includes necessary furnishings, household items and services that an individual needs for successful transition to community living and may include:

- Security deposits that are required to obtain a lease on an apartment or home;
- Moving expenses;
- Health and safety assurances, such as pest eradication, allergen control or one-time cleaning prior to occupancy;
- Set up fees or non-refundable deposits for utilities (telephone, electricity, heating by gas);
- Essential furnishings to occupy and use a community domicile, such as a bed, table, chairs, window blinds, eating utensils, food preparation items, etc. These services exclude:
- Items designed for diversionary/recreational/entertainment purposes, such as hobby supplies, television, cable TV

access, or VCRs and DVDs.

• Room and board, monthly rental or mortgage expense, regular utility charges, household appliances, and food. Items purchased through this service are the property of the individual receiving the service and the individual takes the property with him/her in the event of a move to another residence. Some of these expenses may be incurred before the individual transitions from an institution to the community. In such cases, the Transition/Set Up expenses incurred while the person was institutionalized are not considered complete until the date the individual leaves the institution and is enrolled in the waiver. Transition/Set Up expenses included in the individual's plan of care may be furnished up to 180 days prior to the individual's discharge from an institution. However, such expenses will not be considered complete until the date the individual leaves the institution and is enrolled in the waiver.

Vehicle Modifications and Adaptations

Vehicle adaptations are devices, controls, or services which enable participants to increase their independence, enable them to integrate more fully into the community, and to ensure their health and safety. The repair, maintenance, installation, and training in the care and use of these items are included. Vehicle adaptations must be performed by the adaptive equipment manufacturer's authorized dealer. Repairs to and maintenance of such equipment shall be performed by the manufacturer's authorized dealer where possible.

Vehicle adaptations include, but are not limited to, the following:

1. Door handle replacements;
2. Door widening;
3. Lifting devices;
4. Wheelchair securing devices;
5. Adapted seat devices;
6. Adapted steering, acceleration, signaling, and braking devices; and
7. Handrails and grab bars

Adaptations to vehicles shall be included if, on an individual basis, the cost effectiveness of vehicle adaptations, relative to alternative transportation services, is established. Adaptations to vehicles are limited to vehicles owned by the recipient, or the recipient's family and do not include the purchase of the vehicle itself. The recipient's family includes the recipient's biological parents, adoptive parents, stepparents, siblings, children, spouse, domestic partner (in those jurisdictions in which domestic partners are legally recognized), or a person who is a legal representative of the recipient. Vehicle adaptations will only be provided when they are documented in the individual plan of care and when there is a written assessment by a licensed Physical Therapist or a registered Occupational Therapist. The vehicle may be owned by the participant or a family member with whom he or she lives or has consistent and ongoing contact, who provides primary long-term support to the participant, and who is not a paid provider of such services.

13.2: SDP Service Definitions Plain Language

SDP Service Definitions with codes

The Self-Determination Program (SDP) offers a wide range of services designed to help participants live independently and participate fully in their communities. Below is a plain-language explanation of each available service, organized by budget category and including the required service codes. Remember, many of the Health and Safety codes include an EPSDT -- Early and Periodic Screening, Diagnostic, and Treatment -- Medicaid option. Often, it is difficult to access these services under age 21, but these Medicaid services are a required generic service. Make sure to include information about any attempts (successful or unsuccessful) to use these services if you are trying to include these in a spending plan.

Living Arrangement (Codes 310 - 330)

- **Respite Services (310, 311):** This provides short-term, temporary care and supervision to give the primary caregiver a break. It can be provided in the home (310) or at a facility (311).**310 includes an Electronic Visit Verification for staff who do not live in home (EVV).
- **Live-In Caregiver (312):** This pays for the extra rent and food costs associated with having a caregiver (who is not a relative) live in the same home as the participant.
- **Homemaker (313):** This covers basic household chores, like meal preparation and cleaning, when the person usually responsible for them is away or unable to do them. This code includes an Electronic Visit Verification for staff who do not live in home (EVV).
- **Housing Access Supports (314):** This helps participants find housing, navigate the application process, and learn the skills needed to be a successful tenant.
- **Financial Management Services (315, 316, 317):** This is a required service that helps manage the participant's budget, pays service providers, and handles employment taxes. It can be set up as a Fiscal Agent (315), Co-Employer (316), or Fiscal/Employer Agent (317). These services are not charged to the participant's budget, but must be represented in the spending plan, along with the FMS's vendor number.
- **Community Living Supports (320, 321):** These services help participants live independently in their own homes by assisting with personal care, social skills, and household tasks like money management. This can be provided by an individual/agency (320) or in a residential facility (321). 320 includes an Electronic Visit Verification for staff who do not live in home (EVV).

Employment and Community Participation (Codes 331 - 355)

- **Community Integration Supports (331):** These services help participants learn the skills needed to be independent and active in their community through integrated activities. These supports specifically include:
 - **a.** Socialization and community awareness.
 - **b.** Communication skills.
 - **c.** Visual, auditory, and tactile awareness and perception.
 - **d.** Developing appropriate peer interactions and self-advocacy skills.
 - **e.** Art and recreation programs.
 - **f.** Continuing education classes (like GED prep) in inclusive settings.
 - **g.** Participation in senior or faith-based groups.
 - **h.** Peer mentoring.
 - **i.** Mobility services, such as learning to use public transportation or ride-sharing.
 - **j.** Friendship and relationship building.
- **Participant-Directed Goods and Services (333):** These are items or services not covered elsewhere that address a specific need in the participant's plan, such as increasing safety or community inclusion.
- **Individual Training and Education (334):** This covers workshops or classes that help a participant learn about self-advocacy, decision-making, or how to be an employer.
- **Employment Supports (335):** These are services tailored to help a participant find and keep a job that pays at least minimum wage in a typical community setting.
- **Technology Services (336):** This includes purchasing and learning to use items like tablets, laptops, or specialized software

that help a participant be more independent.

- **Transition/Set Up Expenses (337):** These are one-time costs to help someone move from an institution into their own home, covering things like security deposits and basic furniture.
- **Non-Medical Transportation (338):** This provides a way for participants to get to community activities, jobs, and other resources listed in their plan.
- **Prevocational Supports (339):** This training focuses on general "work-ready" skills—like punctuality, following directions, and grooming—to prepare for future community employment.
- **Independent Facilitator (340):** A person chosen by the participant to help them plan their services, find providers, and advocate for them during meetings.

Health and Safety (Codes 356 - 399)

- **Environmental Accessibility Adaptation (356):** These are physical changes to a home—like ramps or grab bars—that make it safer and easier for a participant to live independently.
- **Acupuncture Services (357):** This service uses needles to help manage chronic pain for adults 21 and older once regular state plan benefits are exhausted.
- **Personal Emergency Response Systems (PERS) (358):** This is a 24-hour emergency alert system (like a med-alert bracelet) for people who live alone or are unsupervised for parts of the day.
- **Home Health Aide (359):** This provides medical or personal care in the home for adults 21 and older. This code includes an Electronic Visit Verification (EVV).
- **Communication Support (360):** This provides helpers—like interpreters or readers—and training on technology to assist people with hearing, speech, or vision impairments.
- **Skilled Nursing (361):** This provides medical care from a registered or vocational nurse for adults 21 and older. This code includes an Electronic Visit Verification (EVV).
- **Nutritional Consultation (362):** An expert provides advice and planning for special diets and nutritional needs.
- **Crisis Intervention and Supports (363):** This provides immediate, 24-hour therapeutic help for behavioral or emotional emergencies to help the participant stay in their home.
- **Behavioral Intervention Services (364):** These programs use positive, evidence-based methods to help a participant develop better socialization and self-help skills.
- **Specialized Medical Equipment and Supplies (365):** This covers medical devices or items (and their repairs) that help a participant perform daily tasks or communicate.
- **Family/Consumer Training (366):** Training from licensed providers to help the participant or their family understand and maintain medical or behavioral treatments at home.
- **Dental Services (367):** This covers standard dental checkups and treatments for adults 21 and older after regular state plan limits are reached.
- **Lenses and Frames (368):** This covers prescription glasses for adults 21 and older.
- **Optometric-Optician Services (369):** This covers eye exams and the fitting of glasses for adults 21 and older.
- **Psychology Services (370):** This provides mental health assessment and treatment for adults 21 and older.
- **Training and Counseling Services for Unpaid Caregivers (371):** This provides education and support to friends or family members who provide care without being paid.
- **Speech - Hearing and Language (372):** This helps identify and treat speech, voice, or hearing issues for adults 21 and older. This code includes an Electronic Visit Verification (EVV).
- **Chiropractic Services (373):** This involves manual adjustment of the spine to help with chronic pain for adults 21 and older.
- **Massage Therapy (374):** This involves physical manipulation of soft body tissues as part of a medical treatment plan.
- **Occupational Therapy (375):** This helps adults 21 and older improve their ability to do daily activities that may be difficult due to a disability. This code includes an Electronic Visit Verification (EVV).
- **Physical Therapy (376):** This uses exercise and other physical treatments to address medical conditions for adults 21 and older. This code includes an Electronic Visit Verification (EVV).
- **Vehicle Modifications and Adaptations (377):** These are changes to a car—like wheelchair lifts—to help a participant travel safely and independently.
- **Family Support Services (378):** This provides regularly scheduled care and supervision of children while their parents or primary caregivers are out of the home.

13.3: National Council on Disability in Journalism

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