

## Maricopa County / RSA District I Collaborative Protocols for Individuals with SMI

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### Opportunity to update/revise this document:

Quarterly Coordination Meetings are held between the RBHA, PNOs and RSA.

Revision Date of this document: 01/21/13

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**Coordination of Service Delivery:**

***Relationship between VR Staff and PNO Clinic Staff:***

VR and PNO staff will uphold a professional, cooperative and collaborative team relationship in order to meet the rehabilitation/employment-related needs of service recipients.

***Mutual Training Requirements:***

VR and PNO staff will participate in combined trainings regarding current rehabilitation/employment-related issues, policy and/or procedural changes, best and emerging practices in psychiatric rehabilitation and supported employment, etc., a minimum of twice a year.

The PNO Rehabilitation Specialist (with the VR Staff as available) on a quarterly basis will be responsible to initiate an employment topic, summarize the topic and record attendance. Training will be demonstrated through a cumulative 20-30 minute training presented at an all site meeting, morning meeting or team meeting.

New staff (VR or PNO Rehabilitation Specialists) will be required to participate in a Collaborative Protocol Training offered annually by RSA and the RBHA. (NOTE: New PNO Rehabilitation Specialists will be required to participate in the 2-day Rehab Core Training offered quarterly by the RBHA. New PNO Clinical Coordinators will be required to participate in the Rehab Core for CCs Training offered quarterly by the RBHA. New PNO ACT Employment Specialists will be required to participate in the 1-day Employment Specialist Training offered bi-annually by the RBHA.) It is recommended that all new PNO clinical staff participate in a site-based VR Orientation to better understand the program and the process so as to better educate recipients about VR and the Orientation meeting itself.

## Mandatory Referral to State VR Program

*From the ADHS-DBHSCovered Services Guide Revision Date: April 1, 2007 Version 6.1\**

II. B. 4. Psychoeducational Services and Ongoing Support to Maintain Employment Psychoeducational services and ongoing support to maintain employment services are designed to assist a person or group to choose, acquire, and maintain a job or other community activity (e.g., volunteer work).....the following billing limitations apply:

4. Psychoeducational services and ongoing support to maintain employment services are provided only if the services are not available through the federally funded Rehabilitation Act program administered by DES-RSA, which is required to be the primary payer for the Title XIX eligible persons. The T/RBHA must monitor the proper provision of this service.

### **Referral Protocol:**

1. Referrals for any of the services listed below **must** be coordinated between clinical teams and DES-RSA, as evidenced by the completion of a signed coordination form in the clinical record. Coordination forms should not be purged from the clinical record. Copies of the signed coordination form should be provided to the Magellan-funded employment/rehabilitation provider in all situations and to DES-RSA in situations where a VR case is open.
2. One of the following choices will be selected on the coordination form:
  - a. VR Orientation scheduled
  - b. Services are not work-related or individual has no immediate work goal (within 6 months).
  - c. Individual refuses VR Services (additional clinical documentation /justification is required for a Magellan-funded employment/rehabilitation provider to continue providing any of the services listed below.
3. A signed coordination form will enable a Magellan-funded employment /rehabilitation provider to provide any of the services listed below up to 150 days, allowing time for VR to determine eligibility and write an Individualized Plan for Employment (IPE) under current IGA outlined timeframes.
4. The clinical team (most likely the Rehabilitation Specialist) is responsible for ensuring coordination forms are completed, copies provided to employment/rehabilitation providers and /or DES-RSA, and are filed in the clinical record.

5. Any questions regarding the VR Coordination Protocols should be directed to the Magellan Health Services Director of Employment/Rehabilitation Services or the DES-RSA Statewide Behavioral Health Coordinator.

*Excerpt from ADHS-DBHS Covered Services Guide Appendix B-1\*\*:*

Service Type, Code & Billing Unit	Services	Description	Service Provision Examples Billing Provider	Qualifications; Provider Type
<p><b>Code: H2027</b>  <b>Type: Psychoed.</b>  <b>Services (Pre Job Train. And Devel)</b>  <b>Billing Unit: 15 min.</b></p>	<p>Services which prepare a person to engage in meaningful work-related activities.</p>	<p>Billable services include:            *career/educational counseling            *job shadowing            *assistance in the use of educational resources            *training in resume preparation            *job interview skills            *study skills            *work activities            *professional decorum and dress            *time management            *assistance in finding employment  <b>Scenarios:</b>  <b>#1.</b> Staff videotapes individual in mock job interview. They then review the video together and discuss ways to improve interview skills.</p>	<p>Behavioral health technicians and behavioral health paraprofessionals with at least one year experience in providing rehabilitation services to persons with disabilities.</p> <ul style="list-style-type: none"> <li>▪ T/RBHA</li> <li>▪ BH Outpatient Clinic</li> <li>▪ Licensed Clinical Social Worker</li> <li>▪ Licensed Marriage/Family Therapist</li> <li>▪ Licensed Professional Counselor</li> <li>▪ Licensed Independent Substance Abuse Counselor</li> </ul>	<ul style="list-style-type: none"> <li>▪ Homeless Shelter</li> <li>▪ Office</li> <li>▪ Home</li> <li>▪ Urgent Care Facility</li> <li>▪ Federally Qualified Health Center</li> <li>▪ Community MH Center</li> <li>▪ State or Local Public Health Clinic</li> <li>▪ Rural Health Clinic</li> <li>▪ Other - must</li> </ul>

		<p>#2. Staff and individual develop a resume together and discuss how to address gaps in employment.</p> <p>#3. Individual uses physical exercise such as running each morning to help in cleaning his mind and prioritizing his day to manage time appropriately. Staff goes running with individual to provide them support and encouragement in continuing this activity while reviewing the day's priorities at the conclusion of their run.</p> <p>#4. Staff and individual go to the store together to purchase a day timer. They then map out daily and weekly schedule while identifying priorities.</p> <p>#5. Staff meets individual for coffee to help study for upcoming college exam.</p>	<ul style="list-style-type: none"> <li>▪ Community Service Agency</li> <li>▪ Rural Substance Abuse Transitional Center</li> <li>▪ Out-of-State, One Time Fee For Service Provider</li> </ul>	
<p><b>Code: H2025</b>  <b>Type: Ongoing Support to maintain Employment</b>  <b>Billing Unit: 15 min.</b></p>	<p>Includes support services that enable a person to complete job training or maintain employment.</p>	<p>Billable services include:</p> <ul style="list-style-type: none"> <li>*monitoring and supervision</li> <li>*assistance in performing job tasks</li> <li>*work adjustment training</li> <li>*supportive counseling</li> </ul>	<p>Behavioral health technicians and behavioral health paraprofessionals with at least one year experience in providing rehabilitation services to persons with</p>	<ul style="list-style-type: none"> <li>▪ Homeless Shelter</li> <li>▪ Office</li> <li>▪ Home</li> <li>▪ Urgent Care Facility</li> <li>▪ Federally Qualified Health Center</li> </ul>

		<p><b>Scenarios:</b></p> <p><b>#1.</b> Individual is employed at KOHL'S as a floor manager. Staff visits the individual on their lunch break to say "Hi" and check in on how the job is going.</p> <p><b>#2.</b> Staff accompanies individual to her new employee orientation to assist with completing necessary paperwork ensuring individual has sound understanding of her new job policies and procedures.</p> <p><b>#3.</b> Individual is employed as a server at a restaurant. Staff eats at the restaurant to discreetly observe the individual's interactions with customers and personal presentation. Staff then meets with individual the next day to share some feedback on what was observed and strategies for continued improvement.</p>	<p>disabilities.</p> <ul style="list-style-type: none"> <li>▪ T/RBHA</li> <li>▪ BH Outpatient Clinic</li> <li>▪ Licensed Clinical Social Worker</li> <li>▪ Licensed Marriage/Family Therapist</li> <li>▪ Licensed Professional Counselor</li> <li>▪ Licensed Independent Substance Abuse Counselor</li> <li>▪ Community Service Agency</li> <li>▪ Rural Substance Abuse Transitional Center</li> </ul> <p>Out-of-State, One Time Fee For Service Provider</p>	<ul style="list-style-type: none"> <li>▪ Community MH Center</li> <li>▪ State or Local Public Health Clinic</li> <li>▪ Rural Health Clinic</li> <li>▪ Other - must specify where</li> </ul>
<p><b>Code: H2026</b>  <b>Type: Ongoing Support to Maintain Employment (Per Diem)</b>  <b>Billing Unit: Per Diem</b></p>	<p>Includes support services that enable a person to complete job training or maintain employment on a <i>per</i></p>	<p>See <u>H2025</u> for service provision examples</p>	<p>Behavioral health technicians and behavioral health paraprofessionals with at least one year experience in providing rehabilitation</p>	<ul style="list-style-type: none"> <li>▪ Homeless Shelter</li> <li>▪ Office</li> <li>▪ Home</li> <li>▪ Urgent Care Facility</li> <li>▪ Federally Qualified</li> </ul>

	<i>diem basis</i>		services to persons with disabilities. <ul style="list-style-type: none"> <li>▪ T/RBHA</li> <li>▪ BH Outpatient Clinic</li> <li>▪ Licensed Clinical Social Worker</li> <li>▪ Licensed Marriage/Family Therapist</li> <li>▪ Licensed Professional Counselor</li> <li>▪ Licensed Independent Substance Abuse Counselor</li> <li>▪ Community Service Agency</li> <li>▪ Rural Substance Abuse Transitional Center</li> </ul> Out-of-State, One Time Fee For Service Provider	<ul style="list-style-type: none"> <li>▪ Health Center</li> <li>▪ Community MH Center</li> <li>▪ State or Local Public Health Clinic</li> <li>▪ Rural Health Clinic</li> <li>▪ Other - must specify where</li> </ul>

***VR Referral/Orientation Process:***

VR staff will conduct at least one monthly group orientation meeting at each PNO clinic. Regular orientations held at the VR offices will also be made available to service recipients from the PNOs. Service Recipients may participate in the monthly orientation offered at the clinic or orientations held at the VR offices. If the recipient cannot attend the group orientation, or a group setting is not appropriate for the recipient, an individual 1:1 orientation

will be scheduled. The VR Referral Feedback Form will be initiated by the VR Counselor at the orientation and be utilized to show the direction of the individual after a consensus has been reached on the next step after orientation is completed.

PNO clinics will ensure space is available for the VR orientation. Transportation should be arranged by PNO staff for TXIX/NTXIX recipients as needed. VR staff will be responsible for conducting the orientation, but PNO Rehabilitation Specialists should be present to address any pre-vocational needs that arise, or to meet with recipients not choosing to pursue VR services at the time.

VR staff will meet with interested recipients following the orientation in order to address any individual needs or questions regarding VR services. Recipients will be referred to an appropriate RSA/VR office for follow-up regarding VR services. PNO identified staff will schedule follow-up meetings with any recipients who are not choosing to pursue VR, to conduct a readiness assessment and assist the person with identifying alternate rehabilitation or meaningful community activity options.

The PNO will provide a complete referral packet to VR within 7 business days of the VR orientation and the VR Counselor will make initial contact to schedule an intake meeting with the recipient within 7 business days of receipt of the referral packet. If there is difficulty reaching the recipient to schedule this intake (e.g., phone calls, emails, letters), the VR Counselor will notify the PNO clinical team within 15 business days for assistance with engaging the recipient.

**Note:** Per the IGA, eligibility determination will be within 30 days of receipt of a signed VR application signature form and the service recipient will receive a letter confirming the eligibility decision.

***Release of Information/HIPAA***

For purposes of the IGA and in compliance with 45-CFR, Parts 160 and 164<sup>1</sup>, the Arizona Department of Economic Security/ Rehabilitation Services Administration (ADES/RSA) shall be a HIPAA Business Associate for the organized healthcare arrangement comprising the Arizona

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<sup>1</sup>Covered entities may disclose protected health information to persons that meet the rule's definition of business associate, or hire such persons to obtain or create protected health information for them, only if covered entities obtain specified satisfactory assurances from the business associate that it will appropriately handle the information; the regulation specifies the elements of such satisfactory assurances; covered entities have responsibilities when such specified satisfactory assurances are violated by the business associate... A covered entity may disclose protected health information to a business associate, as necessary to permit the



Department of Health Services (ADHS) Division of Behavioral Health Services (DBHS) and the Tribal/Regional Behavioral Health Authorities (T/RBHA) and its contracted networks and providers for purposes of sharing mutual client information as authorized by the Agreement. **ADES/RSA, as the Business Associate of the T/RBHAs, will not need a signed authorization for release of information from the client before obtaining a referral packet from the T/RBHA.** ADES/RSA will conform to all requirements inherent in that designation. Protected health information to be disclosed will be the minimal necessary as needed for the purposes of the IGA. ADES and ADHS shall comply with the provision of Arizona Administrative Code R6-4-405<sup>2</sup>, as it pertains to sharing client information with other agencies, individuals, or employers.

***Information Sharing Process Between VR and PNO clinics:***

The PNO Rehabilitation Specialist (or designated staff) and the VR staff will ensure that all pertinent information regarding a service recipient's participation in the VR program is shared promptly and documented/filed in the recipient chart(s), including:

- VR Eligibility Determination
- Change in TXIX/NTXIX status
- VR Individualized Plan for Employment (IPE)
- VR Case Closure Information
- Recipient obtainment of employment
- Recipient loss of employment
- Recipient need for Extended Supported Employment (ESE)
- Loss of contact with recipient
- Recipient graduation or withdrawal from training program/school

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business associate to perform functions and activities for or on behalf of the covered entity, or to provide the services specified in the business associate definition to or for the covered entity. (45-CFR, Section 164.504e)

<sup>2</sup> Sharing client information in direct administration of VR program: VR Counselor may release client information of which we are either primary or secondary source (without separate written authorization) to other individuals or agencies in the direct administration of a client's rehabilitation program as long as only necessary information is shared and that in the counselor's judgment, recipient can and will handle information in confidential manner. Consent for this release is given by client when he signs an application for services (Arizona Administrative Code R6-4-405)

- Any change that may impact the recipient's ability to continue participation in the VR program (e.g., medication changes, hospitalization, incarceration, relocation, alcohol and/or drug related issues, etc.)
- Meaningful Community Activity Worksheet (MCAW) or other similar assessment
- Psychosocial Rehabilitation Readiness Determination Profile (PRRDP) or other similar assessment
- PNO Individual Service Plan (ISP)
- PNO/RSA Coordination Form
- Progress Notes/Monthly Progress Reports from Community Rehabilitation/Employment Providers
- Email between clinical team and VR Counselor\*

\* Email between VR and the PNO clinical team regarding pertinent information that is not reflected in any of the above documentation should be printed out and filed in the recipient chart. Email should be professional in nature. Email must follow documentation procedures necessary to meet data validation and compliance procedures.

***VR Input on Mutual Service Recipient Individual Service Plans (ISP):***

The PNO designated staff is responsible for notifying the VR Counselor at least 5 business days prior to ISPs being updated and request VR input. The VR Counselor is responsible for providing input on the ISPs of service recipients with open VR cases (Status 10 and above) for the purposes of service coordination.

***Supported Employment/Extended Supported Employment (SE/ESE) Coordination:***

Each VR service recipient will be provided with information about Extended Supported Employment (ESE) services. If the service recipient and the VR Counselor identify a need for ESE services, the VR Counselor will work with the RBHA and/or any identified long-term support services to ensure these services will be available following case closure with VR. RSA/VR staff will complete the coordination of the Extended Supported Employment Form (Part I) and obtain a signature from the RBHA Rehabilitation Coordinator to ensure funding for Extended Supported Employment (ESE) prior to implementing an Individualized Plan for Employment (IPE). The RBHA Rehabilitation Coordinator will provide the VR Counselor with the (signed) original copy.

After the member gains employment, VR will provide contracted Supported Employment services (job coaching) for the length of time necessary for a recipient to be stable on the job. Once a member has been working in a job, is considered to be stable on the job, but needs and chooses ongoing support to maintain the employment, a Status 22 meeting is scheduled by the VR Counselor. The Status 22 meeting needs to occur to transfer the funding source from RSA/VR to the RBHA, after which ESE services start. At a minimum, the recipient, VR Counselor, Job Coach and a Provider (Vocational Staff) must be present, but the member may also invite anyone else they so desire to be present. At the Status 22 meeting, Part II of the VR Coordination of Extended Supported Employment Form is to be completed by the VR Counselor and signed by all parties. If the member chooses not to accept the ongoing support to maintain the employment, no Status 22 meeting is necessary. A copy of the Extended Supported Employment Form will be forwarded to the RBHA Rehabilitation Coordinator.

***Co-location of VR Counselors in the PNO clinics:***

VR staff will be present at their assigned clinic(s) to the degree that fulfills the vocational needs of the service recipients. VR staff will provide their assigned PNO clinic with a monthly work schedule for that clinic. PNOs will provide VR staff with work space that includes a private area for 1:1 meetings with recipients, a phone, and internet access.

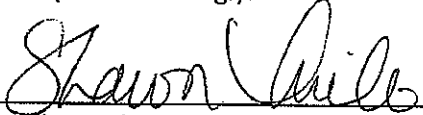


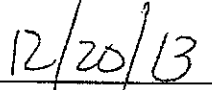
***Dispute Resolution:***

If a PNO clinical team member has a concern regarding a VR Counselor, or a VR staff person has a concern regarding a PNO clinical team member, the following steps will be taken to achieve resolution.

Steps for Dispute Resolution

1. Dialogue between the two involved parties should occur prior to progressing to the next resolution level. Staff may consult with supervisory staff for guidance, but the dispute/concern should first be addressed between the two people directly involved.
2. Meeting will occur with the two involved parties and their direct supervisors.
3. Meeting will occur with the two involved parties, their direct supervisors, and the PNO Clinical Director or Site Administrator<sup>3</sup> and the VR Assistant District Manager.
4. Meeting will occur with the designated PNO administrative representative (Clinical Administrator/VP Clinical Services/Regional Director/ etc.), the designated PNO clinic representative (Clinical Director or Site Administrator), VR District Manager and VR Supervisor, RBHA Employment & Rehabilitation Director, VR Statewide BHS Coordinator and DBHS Housing and Employment Administrator.

The RBHA Employment & Rehabilitation Director or the VR Statewide BHS Coordinator may be consulted at any point in the dispute resolution process and respond accordingly.

 <hr style="border: 0.5px solid black;"/> Magellan Authorized Signature	 <hr style="border: 0.5px solid black;"/> Date
 <hr style="border: 0.5px solid black;"/> DES/RSA Authorized Signature	 <hr style="border: 0.5px solid black;"/> Date

<sup>3</sup> If the concern/dispute is clinical in nature, the Clinical Director should attend, if the concern/dispute is administrative in nature, the Site Administrator should attend.