

Section IV

ROLES and RESPONSIBILITIES

- Regional Resource Development Center-
Regional Resource Development Specialist
and Nurse Evaluator
- Quality Management Specialist

Introduction

The Department of Health contracts with several entities who play a vital role in the success of the NHTD waiver. These entities include the Quality Management Specialist (QMS), and the Regional Resource Development Center (RRDC) which employs the Regional Resource Development Specialist (RRDS) and the Nurse Evaluator. As discussed earlier in this Program Manual, these entities are located throughout New York State and work collaboratively to ensure the high quality service provision to all participants of the NHTD waiver. This section of the Program Manual is devoted to clarifying the roles and responsibilities of each entity.

Regional Resource Development Center (RRDC)

The NHTD waiver contracts with RRDCs, located in nine (9) designated regions across New York State (refer to Section XIII - RRDC Regions map).

Each RRDC administers the NHTD waiver program initiatives at the regional level under the direction of the DOH Waiver Management staff (DOH WMS). The RRDC is responsible for managing the waiver with an emphasis on ensuring participant choice, availability of waiver service providers, and cost effectiveness of waiver services within its contracted region.

Qualifications of the RRDC

The RRDC must:

- Be a non-profit organization or agency capable of supporting the work of the RRDS, Nurse Evaluator (NE), and the philosophy of the waiver;
- Be Health Insurance Portability and Accountability Act (HIPAA) and Medicaid confidentiality compliant to assure the privacy of all waiver participants;
- Have expertise working with individuals with disabilities and seniors, and be able to demonstrate commitment to integrated community-based services to these individuals, their family members and other informal supports; and
- Possess extensive knowledge of providers of community based long term services in the geographic area they serve, financial stability and organizational capacity to administer RRDC responsibilities.

Roles and Responsibilities of the RRDC

The RRDC will:

- Employ an RRDS, NE and other staff who meet the qualifications and experience specified in its contract;
- Function as an initial point-of-contact for potential applicants, their families, legal guardians, and/or authorized representatives;
- Administer the day-to-day activities of the waiver and make recommendations based on such activities to DOH for improvements to NHTD waiver policies and procedures;

- Develop and maintain waiver resources and supports in the contracted region;
- Not provide any NHTD waiver services;
- Manage the Service Plan (SP) review process, regional budgeting requirements, and other monitoring functions using a database compatible with DOH needs;
- Maintain a database to ensure efficient management of the Service Plan review process, regional budgeting requirements and other information determined by DOH;
- Maintain participant Application Packets, SPs, reports and other required documentation as specified by the NHTD waiver and in a manner consistent with State standards for e-file transfers and information sharing;
- Develop collaborative relationships with regionally based stakeholders including Local Departments of Social Services (LDSS) and other local government entities, providers, advocacy organizations and others necessary to assure a comprehensive coordinated approach to the targeted population;
- Reduce the incidence of unnecessary institutionalization through:
 - Transition: Assisting eligible individuals currently living in nursing homes to move to appropriate community-based settings.
 - Diversion: Preventing in-state and out-of-state facility placements through individual and systems advocacy and the development of needed supports for eligible individuals.
 - Repatriation: Assisting individuals who have been in out-of-state facilities return home to New York State.
- Cooperate with State and Federal audits; and
- Manage other roles and responsibilities as defined by DOH and supported by the RRDC contract with DOH.

Regional Resource Development Specialist (RRDS)

The RRDS is responsible for the development, management, administration, and monitoring of the NHTD waiver for the RRDC on a regional level. The RRDS promotes participant choice, ensures the delivery of high quality services, assists in the development of needed waiver services and oversees waiver cost-effectiveness.

The RRDS communicates regularly with DOH, collaborates with local government entities, service providers and advocacy groups to be an active member of the network of services and supports in the community.

Skills

The RRDS will have:

- Demonstrated expertise working with individuals with disabilities and seniors and extensive familiarity with the operation of 1915 (c) waivers and community-based services;
- Knowledge, skills, and/or abilities to assess, identify and address gaps in services;
- Excellent screening and interviewing skills;
- Excellent communication and presentation skills;
- Ability to develop and maintain collaborative relationships with regionally based stakeholders, including LDSS, other local government entities, providers, advocacy organizations and others necessary to assure a comprehensive coordinated approach to services for individuals with disabilities and seniors;
- Working knowledge of community-based resources for individuals with disabilities and/or seniors;
- Excellent problem-solving and investigating skills;
- Working knowledge of Medicaid, Medicare and/or other third party payers;
- Skill in coordinating activities, evaluating data and establishing priorities; and
- Meet all additional qualifications outlined in the RRDC contract.

Roles and Responsibilities of the RRDS

It is the responsibility of the RRDS to assist DOH in ensuring that waiver participants in New York State, who are individuals with disabilities and seniors, are able to live as independently as possible in the community. The RRDS works closely with DOH to provide data and input as needed regarding the administration of the NHTD waiver in their region.

The RRDS has the right to meet with the participant at any time or place and has the right to access all records regarding a participant's or a provider's activities related to the waiver.

RRDS responsibilities include:

1. Information, Resource and Referral

- Work closely with DOH to disseminate public information regarding the waiver's ability to meet the needs of individuals with disabilities and seniors;
- Respond to calls from individuals with disabilities and seniors, family members, advocates, professionals and others requesting information regarding waiver

services;

- Provide resource information and education regarding the community-based needs of individuals with disabilities and seniors;
- Interview all prospective participants who have indicated interest in returning to the community;
- Meet with prospective waiver participants to explain the waiver philosophy and services and make a preliminary non-financial determination of appropriateness for the waiver;
- Make referrals to available resources in the community if an individual is determined not eligible for the waiver;
- Track referrals and intakes; and
- Maintain an informational database vital to the analysis of the effectiveness of the NHTD waiver.

2. Development of Community Resources

- Assess and identify regional waiver and non-waiver service capacity to meet the demands for waiver participation in the contracted area and report to DOH;
- Provide data to DOH regarding regional needs, outcomes, quality assurance and improvement and cost savings as part of quarterly reports and at other times upon request;
- Develop and implement a comprehensive outreach campaign to recruit waiver service providers;
- Promote the quality and availability of services sufficient to allow waiver participants the real opportunity of choosing providers;
- Develop strong linkages with inpatient rehabilitation units and long term care facilities to identify potential participants and to facilitate community re-entry from these institutions;
- Develop linkages with community-based health care providers to promote quality and availability of services;
- Develop and maintain relationships with existing local and state entities, including Point of Entry, advocacy groups and providers of community-based services for people with disabilities and seniors and their families;
- Maintain an open, collaborative relationship with LDSSs to understand historical information regarding the individual's prior use community based services and, coordinate and utilize Medicaid State Plan and waiver services, as well as other services that impact the health and welfare of the individual in the community (e.g. Adult Protective Services);

- Serve as a liaison between the NHTD waiver and the community by joining the Regional Task Force focusing on individuals with disabilities and seniors, or develop one if one does not exist; and
- Recommend to DOH any waiver service providers that should be surveyed and/or audited.

3. Manage Provider Enrollment and Training

- Interview potential waiver service providers using the RRDS Provider Interview form (refer to Appendix B – form B.8);
- Make provider enrollment recommendations to DOH based on factors such as the provider’s understanding of the waiver philosophy, the provider’s staff qualifications, the provider’s established policies and procedures, participant choice and control, and the provider’s ability to deliver high quality, services (refer to Section VI –Waiver Services; and
- Provide training to potential waiver service providers regarding the philosophy, policies and procedures of the waiver; participant needs; development and implementation of comprehensive waiver SPs, and standard documentation and reporting requirements

NOTE: NHTD has developed standardized trainings using the ‘Training of Trainer’ model for the following: Overview of NHTD waiver program; Service Coordination 101; ILST 101; and HCSS 101.

4. Interview and Preliminary Assessment of Potential Waiver Participants

- Meet with all prospective waiver participants to complete an Intake interview Initial Applicant Interview and Acknowledgement (refer to Appendix B – form B.3), explain the waiver’s philosophy, goals and available services and determine if the individual is a probable candidate for the waiver;
- Offer individuals the choice of participation in the NHTD waiver and, when the individual chooses the waiver, offer him/her a choice of Service Coordination providers. Obtain signed Application for Participation form, Freedom of Choice form, and the Service Coordination Selection form (refer to Appendix B – form B.5);
- Assure each potential waiver participant receives a Level of Care (LOC) determination through the completion of the PRI and SCREEN assessment tools (refer to Appendix F);
- Verify Medicaid eligibility by collaborating with LDSS;
- Coordinate with the LDSS regarding the appropriate utilization of Medicaid State Plan and NHTD waiver services;
- Maintain contact with a potential waiver participant until a Service Coordinator (SC) is selected;

- Forward all preliminary information to the SC selected by the potential waiver participant; and
- Maintain a current list of all approved providers in their region.

5. Review of All Service Plans

- Review all completed Application Packets, including the Initial Service Plan (refer to Appendix C – form C.1) submitted by the SC to determine initial appropriateness for participation in the waiver;
- Review all SPs (Initial, Revised and Addendum) for completeness focusing on the needs and goals of the waiver participant, the ability of waiver services to support the health and welfare of the participant in the community, the timely provision of services, participant rights and choices, and the efficiency and cost effectiveness of the Plan;
- Complete the RRDS Service Plan Review form and determine whether the Plan, Application Packet, or subsequent RSP or Addenda is approved or disapproved. If needed, provide a written evaluation of the review to the SC indicating any necessary revisions or additions needed to the SP or Application packet;
- Forward all SPs over \$300/day along with the appropriate RRDS review form to the QMS for review and recommendations;
- Track time elapsed from receipt of referral through setting up Intake appointment, and conducting of Intake;
- Track time elapsed from applicant's selection of Service Coordination agency/Coordinator through distribution of Notice of Decision (NOD);
- Track timeliness of submission of all SPs and follow up as needed to assure compliance; and
- Send notification to the SC of late submission of SPs using the appropriate Late Notice (refer to Appendix B – forms B.13 and B.14).

6. Administer Notice of Decisions (NOD)

- Provide the potential waiver participant with information regarding NODs and his/her rights regarding Informal Conferences and Fair Hearings during the initial interview process;
- Notify participants of his/her program status through utilization of the standard DOH NOD forms as outlined in the Program Manual;
- Provide each applicant/participant an appropriate NOD. Forward a copy to all entities listed on the NOD form (refer to Appendix B – forms NOD.1 to NOD.9);
- Maintain open communication with DOH regarding NODs that lead to an Informal Conference or Fair Hearing process and all discontinuation notices issued by LDSS due to loss of Medicaid coverage;

- Attend Informal Conferences and Fair Hearings as a representative of the NHTD Waiver program (refer to Section II – Becoming a Waiver Participant); and
- Keep DOH informed of any concerns affecting the status of the Fair Hearing process.

7. Maintain Regional Budgets

- Review all SPs in their region to ensure that the targeted aggregate average cost for all waiver participants does not exceed that of serving such individuals in an institutional setting without prior consent from DOH;
- Maintain information and data regarding the annual cost for each waiver participant;
- Maintain information and data regarding the average aggregate cost for all participants in their region; and
- Track and report expenditures to maintain regional cost neutrality.

8. Incident Reporting

- Meet responsibilities described in the Incident Reporting policy and procedure (refer to Section X – Incident Reporting Policy and Complaint Procedure);
- Support the efforts of the QMS in determining whether a Serious Reportable Incident (SRI) should be closed or whether further action is needed through collaborative discussion and prompt response to requests from QMS for consultation; and
- Assure that the SC has made needed changes to SPs as a result of SRI outcomes are implemented timely and effectively.

9. Technical Assistance to Participants, Family Members and Others

- Be available to participants, family members/informal supports and legal guardians to answer questions and address concerns regarding the NHTD waiver;
- Support a participant's right to be the decision-maker regarding life goals, activities, services and providers; and
- Provide information, regarding the NHTD waiver program to meet the needs of individuals with disabilities and/or seniors, their family members/informal supports and the community in their region.

10. Technical Assistance to Providers

- Attend Team Meetings as appropriate or upon request of Participant, SC or Team, (refer to Section V – The Service Plan);
- Provide training and technical assistance to waiver service providers on all

- Conduct scheduled provider meetings 8-10 times per year in the region to review waiver policies and updates, and provide waiver-related training; and
- Provide on-going technical assistance and receive feedback from providers regarding the policy and procedures of the waiver.

11. Technical Assistance to QMS, Other RRDS, Community Agencies and the State

- Attend and participate in Regional Forums set up by the QMS;
- Provide cross training and technical assistance and share areas of expertise with RRDCs in other regions and the QMSs as needed; and
- Provide information and assistance to the State and community agencies.

12. Develop and Submit Reports to DOH

- Prepare and submit quarterly and annual reports on behalf of the RRDC summarizing services provided and progress made toward contractual obligations and detailing the use of grant funds for a full range of program activities undertaken. Reports are sent to DOH and to the regional QMS;
- Work closely with DOH to provide information, records and statistical and narrative reports regarding regional needs, outcomes, quality assurance and improvement and cost savings;
- Communicate regularly with DOH, including attending meetings, to review policies affecting the waiver and to receive ongoing technical assistance through phone calls and e-mails;
- Attend quarterly RRDS meetings in Albany and other meetings upon the request of DOH;
- Make recommendations, based on experience with waiver activities and ongoing administration of the program to DOH for improvements to NHTD waiver policies and procedures; and
- Assess quality of services in the region and report findings to DOH.

13. Other Roles and Responsibilities as Defined by DOH and Supported by the RRDC Contract with DOH

Nurse Evaluator (NE)

The RRDC will employ, either directly or under contract, a Registered Nurse (referred to as “Nurse Evaluator”) to assist the RRDC in the administration and monitoring of the NHTD waiver program. The role of the NE is not to duplicate the role of the RRDS, but to use his/her level of clinical expertise to support the RRDS and the successful implementation of the NHTD waiver.

Skills

The NE must:

- Possess excellent clinical assessment skills;
- Have excellent screening and interviewing skills;
- Have excellent problem-solving and investigating skills;
- Have professional experience working with people with disabilities and/or seniors;
- Possess excellent organizational and training skills;
- Have excellent communication skills and ability to resolve conflicts;
- Be able to coordinate activities, evaluate data and establish priorities;
- Have working knowledge of community-based resources for individuals with disabilities and/or seniors;
- Possess experience with developing relationships with institutional and/or community-based organizations;
- Maintain a working knowledge of services and supports available through Medicaid, Medicare and/or other third party payers; and
- Meet all additional qualifications outlined in the Nurse Evaluator contract.

Roles and Responsibilities of the NE

NE responsibilities include:

1. Technical Assistance and Support to the RRDC/RRDS

- Assist the RRDS in reviewing SPs that are medically complex to assure information is accurate and utilizes resources and available services to meet the health and welfare needs of the participant;
- Review and administer the PRI and SCREEN when there is a concern that the current PRI and SCREEN does not reflect LOC needs of the individual;
- Conduct annual LOC assessments for waiver participants as requested by the RRDS;
- Provide resource information and education regarding individuals with

disabilities and seniors as requested by the RRDC;

- Assist the RRDC when requested with attracting quality new providers to offer needed services;
- Participate in local consortium on issues involving individuals with disabilities and seniors relevant to the NHTD waiver; and
- Attend Regional Forums as requested by RRDS.

2. Resource to Providers

- Attend Team Meetings where the participant's clinical needs may warrant further interpretation; and
- Provide training and technical assistance to waiver service providers on clinical aspects of the waiver program as needed.

3. Technical Assistance to QMS and Nurse Evaluator

- Provide training and technical assistance and share areas of expertise with QMSs and other NEs.

4. Technical Assistance to Participants, Family Members and Others

- Be available to participants family members/informal supports and legal guardians to answer questions and address concerns of a clinical nature; and
- Support the participant's right to be the decision maker regarding life goals, activities, services and providers.

5. Incident Reporting

- Provide feedback to RRDS and QMS during investigations of SRI as requested.

6. Develop and Submit Reports to DOH

- Maintain required documentation including visits, assessments, consultations recommendations, technical assistance, etc; and
- Prepare reports summarizing services provided and progress made toward attaining waiver program objectives in cooperation with RRDC requirements for submission of quarterly and annual reports to the regional QMS and DOH. (refer to Appendix B).

7. Other Roles and Responsibilities as Defined by DOH and Supported by the RRDC Contract with DOH

Quality Management Specialist (QMS)

The QMS is a contracted entity with DOH and reports directly to DOH Waiver Management staff. The contractor for the services of the QMS is separate from that of the RRDC. The QMSs are located in three (3) designated regions across New York State (refer to Section XIII – QMS Regions map).

The QMS promotes the Quality Management Program in the NHTD waiver program to ensure the delivery of high quality services to the participants. The QMS is a liaison between DOH, RRDCs, RRDSs, NEs, SCs and other waiver providers, and waiver participants regarding the NHTD waiver. The QMS can not provide waiver services.

The QMS has the right to access all records regarding a participant's or a provider's activities related to the waiver and has the right to meet with the participant at any time or place with his/her permission. The QMS works closely with DOH Waiver Management staff to provide data and input as needed regarding the administration of the NHTD waiver in their region.

Skills

The QMS must have:

- Knowledgeable about the operation of 1915 (c) waivers and community-based services;
- Professional experience working with people with disabilities and/or senior;
- Experience in developing and implementing quality management programs;
- Knowledgeable regarding issues concerning individuals with disabilities and seniors;
- Experience supervising professional staff;
- Experience in person/centered planning and team building;
- Ability to review and analyze records;
- Working knowledge of community-based resources for individuals with disabilities and/or seniors;
- Skill in analyzing reports or surveys to determine trends;
- Skill in program development;
- Working knowledge of benefits provided by Medicaid, Medicare and/or other third party payers;
- Excellent communication and presentation skills; and
- Meet all additional qualifications outlined in the QMS contract.

Roles and Responsibilities of the QMS

QMS responsibilities include:

1. Incident Reporting

- Oversee the SRI process, assuring compliance with the reporting process and the timely completion and submission of all required documentation associated with the investigatory process;
- Notify DOH in all appropriate situations of alleged abuse or neglect, or when a participant dies or at any time DOH involvement in the investigation process is warranted;
- Determine whether a SRI is closed or deemed open for further investigation, utilizing the RRDS in consultation as needed;
- Conduct follow-up contacts with the participant and/or legal guardian to assure satisfaction with outcome of investigation; and
- Track all pertinent information pertaining to SRIs for analysis to identify any regional trends and emerging issues.

2. Quality Monitoring

- Assist in the annual random retrospective review of a sample of Participant records as part of the NYS Quality Management Program and to confirm adherence to proper authorization procedures and satisfaction of federal review requirements;
- Perform trend analysis identifying problematic areas, and develop activities that will support positive outcomes;
- Assure the completion of annual Participant Satisfaction Surveys of waiver participants using the DOH designated form to assess participant satisfaction with the NHTD waiver and to monitor quality assurance activities;
- Arrange and facilitate annual Regional Forums to gather and discuss waiver related issues in the QMS region;
- Attend quarterly DOH meetings in Albany and at other times/places upon the request of DOH; and
- Attend Quality Advisory Board meetings to determine areas of intervention, training, participant satisfaction and programmatic changes.

3. Review of Service Plans

- Review all Service Plans over a specified dollar amount (\$300 per/day) determined by DOH and provide recommendations to the RRDCs; and

- Assist RRDS in reviewing Service Plans upon request to assure information is accurate and meets the health and welfare needs of the participant.

4. Development of Community Resources

- Refer any potential provider(s) to the RRDS;
- Provide trend analysis to DOH regarding provider capacity and capabilities in their regions; and
- Promote the quality and availability of services.

5. Information and Resource

- Assist the RRDCs with outreach and dissemination of information to the community when requested or as appropriate to his/her role; and
- Refer all calls received from individuals, family members, advocates, professionals and others requesting information regarding the NHTD waiver to the appropriate RRDS for timely response.

6. Develop and Submit Reports to DOH

- Review quarterly reports from RRDCs in the QMS region;
- Review all reports submitted by provider agencies' Serious Incident Review Committee; and
- Submit quarterly and annual reports to DOH summarizing QMS activities which include: findings from Participant Satisfaction Surveys, SRIs and Recordable Incidents, SP reviews, regional trends and needs analysis, quality assurance activities and improvements, cost savings, and progress made toward attaining the program objectives articulated in the QMS contract; and
- Make recommendations to DOH based on experience for improvements to NHTD waiver policies and procedures.

7. Technical Assistance to other QMSs, RRDC, RRDS, Providers, and the DOH

- Provide cross training and technical assistance and share areas of expertise with other QMS's and the RRDC's in their region as requested;
- Provide training to waiver provider agencies as requested by RRDS; and
- Provide information and assistance to DOH as requested.

8. Other Roles and Responsibilities as Defined by DOH

- Conduct evaluations upon request of DOH that reflect a possible system-wide concern. Provide outcomes and recommendations to DOH.