NC DHHS – NC DMH/DD/SAS Supported Employment Services Endorsement Check Sheet Instructions

Introduction

Prior to service endorsement, business verification must take place. In the process of business verification, the business information presented on the DMA CIS (Community Intervention Services) application is validated. At that time, the provider organization submits a self study of the core rules (10A NCAC 27G .0201-.0204) verifying that they have met all the requirements therein. (The provider is not required to submit this if nationally accredited, licensed with Division of Health Services Regulation (DHSR) or has had a compliance review from NC Council of Community Programs within the past three years.) The documents created in adherence with the core rules should be utilized as evidence of provider compliance where noted in the check sheet and instructions.

The following set of instructions is to serve as general guidelines to facilitate the review of providers for endorsement. Service definition, core rules (as noted above), staff definitions (10A NCAC 27G .104) and other DHHS communications (e.g. Service Records Manual, Communication Bulletins, Implementation Updates and other publications) should be used to support the reviewer's determination of compliance. In addition, the Business Entity Type Reference document (attached) assists to clarify the requirements for different business entities such as corporations, partnerships and limited liability corporations and partnerships.

Supported Employment Services provide assistance with choosing/matching, acquiring/ finding, development and initial job training for participants ages 16 and older for whom competitive employment has not been achieved and /or has been interrupted or intermittent. A transition plan shall be included in the Person Centered Plan to alleviate the reliance on Supportive Employment to move toward utilization of Long-Term Vocational Supports.

Supported Employment (Individual) services include:

Pre-job training/education and development activities to prepare a participant to engage in meaningful work-related activities which may include; career/educational counseling, job shadowing, assistance in the use of educational resources, training in resume preparation, job interview skills, study skills, assistance in the job tasks and learning skills necessary for job retention; and assisting a participant to develop and operate a Micro-Enterprise.

This support is not considered long term but for the initial purpose of job seeking and development activities. Supported Employment is not intended to be provided for long periods of time and shall be time limited to the period of time the participant needs to secure and maintain employment.

The assistance to develop a Micro-Enterprise consists of:

- (a) Aiding the participant to identify potential business opportunities;
- (b) Assistance in the development of a business plan, including potential sources of business financing and other assistance including potential sources of business financing and other assistance in developing and launching a business;
- (c) Identification of the supports that are necessary in order for the participant to operate the business; and

(d) Ongoing assistance, counseling and guidance once the business has been launched; coaching and employment support activities that enable a participant to complete job training or maintain employment such as monitoring supervision, assistance in job tasks, work adjustment training, and counseling, transportation between work or between activities related to employment (other forms of transportation shall be attempted first); employer consultation with the objective of identifying work related needs of the participant and proactively engaging in supportive activities to address the problem or need.

Supported Employment (Group) services include:

Transitional Work Services

Transitional Work Services consist of supporting participants in transition to integrated, competitive employment through work that occurs in a location other than a licensed facility. Transitional work service options include, but are not limited to, mobile work force, workstation in industry, affirmative industry, and enclave.

A Mobile Work Force uses teams of individuals, supervised by a training/job supervisor, who conduct service activities away from an agency or facility. The provider agency contracts with an outside organization or business to perform maintenance, lawn care, janitorial services, or similar tasks and the individuals are paid by the provider.

Work Station in Industry involves individual or group training of individuals at an industry site. Training is conducted by a provider training/job supervisor or by a representative of the industry, and is phased out as the individual(s) demonstrate job expertise and meet established production rates.

Affirmative Industry is operated as an integrated business, where disabled and non-disabled employees work together to carry out the job functions of the business.

Enclave is a business model where individuals with disabilities are employed by a business/industry to perform specific job functions while working alongside workers who are non-disabled.

Waiver Supported Employment Services are not be utilized if a person may be served under a program funded under section 110 of the Rehabilitation Act of 1973, or Individuals with Disabilities Education Act (20 U.S.C. 1401 et seq.).

Documentation shall be maintained indicating that services provided by Vocational Rehabilitation (VR) have ended, or have been considered and found inappropriate for the participant..

If a participant has an extended wait for VR services, they may be considered for Waiver Supported Employment.

Provider Requirements:

A - **B**

In this section, the provider is reviewed to ascertain that requirements are met in order for services to be provided. The provision of services is addressed later in this endorsement process. This section is reviewed only during the initial review for business status and does not require further scrutiny unless there is a change in the provider's status that would affect this element.

Review identified documents for evidence the provider meets DMH/DD/SAS standards as related to administration responsibilities, financial oversight, clinical services and quality improvement. These standards include, but are not limited to, policies and procedures (contents of which are

mandated in 10A NCAC 27G .0201 – Governing Body Policies) and the key documents required by law for the formation of the business entity. (Refer to attachment titled Business Entity Type.)

Review documentation that demonstrates provider is a legal US business entity. Documentation should indicate the business entity is currently registered with the local municipality or the office of the NC Secretary of State, that the information registered with the local municipality or the Secretary of State is current, and that there are no dissolution, revocation or revenue suspension findings currently attached to the provider entity. Also review corporate documentation demonstrating registration to operate a business in NC. Information for corporate entities may be verified on the web site for the Secretary of State. (Refer to key documents section of attachment titled Business Entity Type.)

Review the policy and procedure manual. It should contain language indicating intent to have national accreditation within one (1) year of enrollment with DMA. Review DMA enrollment document to verify provider's date of enrollment. Once the provider has been enrolled with DMA for a period of one (1) year, a certification of national accreditation or some other evidence supporting the provider organization's achievement of national accreditation must be produced and validated.

Staffing Requirements:

A-G

In this section, the reviewer is primarily concerned with the hiring practices of the provider and ensuring that <u>all employees required per the service definition are in place at the time of the clinical interview</u> and are equipped with the evidentiary documentation of education, training and experience for which they were hired. This is important for the clinical integrity of the service. The review of the provision of services is more thoroughly examined in the "Program/Clinical Requirements" section of the endorsement review.

In the desk review, the reviewer is to verify that the provider agency's policies and procedures, as well as other administrative manuals meet the requirements of the service definition. The review of the qualifications of personnel hired will occur later in the endorsement process. Review documentation to verify that provider agency requirements of staff include degrees, licensure and/or certifications that comply with the position as written in the service definition, and are consistent with requirements and responsibilities of their respective job duties. Review job descriptions to determine that the roles and responsibilities identified do not exceed the qualifications of the position. This review ensures that the provider has an understanding of the service definition staffing requirements and has established policies for a program that meet those requirements.

For the clinical interview, review staff employment applications, resumes, licenses, certifications and/or other documentation for evidence that degrees and work experience with the target population the provider will be serving is consistent with the requirements and responsibilities of each position. If **any** staff person hired to meet the staffing requirements of the service definition do not meet the requirements for the position, then the clinical interview does not take place. The clinical interview process is described in Program Requirements.

For the on site review, the endorsing agency verifies documentation reviewed during the desk review and clinical interview (if it has been conducted prior to the on site review). The

credentials and qualifications of any additional or ancillary staff hired in the time between the desk review and the on site review are examined.

For the 60 day review, include a review of the consumer record and other items necessary to determine that staff are performing clinical interventions commensurate with their credentials and qualifications as well as within the scope of work the their job descriptions. Review staff schedules, attendance rosters, and caseload assignments and interview staff to ascertain consumer to staff ratios. This review should also include a review of supervision plans, notes and documentation of clinical supervision for all staff. Review supervision plans to ensure that they are individualized and appropriate for the level of education, skill and experience of staff. Review supervision notes, schedules and other supporting documentation that demonstrate on-going supervision consistent with the requirements and responsibilities. Personnel records must demonstrate evidence that all required training has been acquired by each staff member delivering Supported Employment services and completed within the specified time frames.

Individuals providing Supported Employment services shall meet all of the following staffing requirements:

- 1. Staff must meet the requirements for paraprofessionals in 10A NCAC 27G .0200.
- 2. Staff must have a high school diploma or GED.
- 3. Staff must meet client-specific competencies as identified by the participant's person-centered planning team and documented in the Person Centered Plan.
- 4. Staff must successfully complete first aid, CPR, and DMH/DD/SAS Core Competencies and required refresher training.
- Paraprofessionals providing this service must be supervised by a Qualified Professional. Supervision must be provided according to supervision requirements specified in 10A NCAC 27G .0204 and according to licensure or certification requirements of the appropriate discipline.
- 6. Staff must pass a criminal record check.
- 7. Staff must pass a healthcare registry check in accordance with 10A NCAC 27G .0200.
- 8. If providing transportation, staff must have a North Carolina or other valid driver's license, a safe driving record, and an acceptable level of automobile liability insurance.

Service Type and Setting

A-B

The elements in this section pertain to the provider's understanding of the Supported Employment service and the service delivery system.

For the desk review, review Policy and Procedure Manuals, Program Description and Job description. This review ensures that the provider has an understanding of the purpose of the service and has established a program that meets those requirements.

Items in this section do not apply to the clinical interview.

For the on site review, confirm findings of the desk review.

For the 60 day review, include a review of consumer records and other items necessary to determine that Supported Employment is being provided to consumers who meet the eligibility requirements and that interventions occur in the appropriate setting.

Program Requirements:

A - J

The elements in this section are reviewed as they pertain to service delivery. It is important that consumers are served in accordance with the service definition and according to individual needs identified in the PCP.

For the desk review, review documentation to verify that the provider demonstrates a clear understanding of the service definition and service limitations.

For the clinical interview utilize the questions attached to the current endorsement policy to determine the provider agency's competency to deliver the Supported Employment service.

For the on site review, confirm findings of the desk review and the clinical interview.

For the 60 day review, a review of service records should demonstrate compliance with program requirements. Review to verify that the provider has an understanding of the service. Review documentation to determine habilitation, training and instruction are provided to assist with the acquisition, retention or improvement in skills related to activities of daily living

Documentation Requirements:

Review the provider agency's policy and procedure manuals for language demonstrating the expectation that documentation meets all record and documentation requirements noted in the DMH/DD/SA *Records Management and Documentation Manual [APSM 45-2]*.

Review policy and procedure manuals for language that demonstrates that all significant contacts with or on behalf of the recipient must be recorded in the service record. Review policy and procedure manuals for language which addresses completion of required forms.

The 60 day follow-up review should include a review of service records to verify that all components of each full service note are included in the documentation and to verify that contacts are documented. PCPs shall have all the required components. Service notes should relate directly to the needs and goals identified in the recipients' PCPs.