



# **SANDHILLS CENTER**

A Managed Care Organization of the NC Department of Health & Human Services

## **NC INNOVATIONS MANAGING EMPLOYER HANDBOOK *AGENCY WITH CHOICE MODEL***

**Effective December 1, 2012  
Revised April 01, 2013**

### **INDIVIDUAL AND FAMILY DIRECTED SUPPORTS**



Sandhills Center provides access to services for mental health, intellectual & developmental disabilities and substance abuse in the central North Carolina counties of Anson, Guilford, Harnett, Hoke, Lee, Moore, Montgomery, Randolph and Richmond counties.

# MANAGING EMPLOYER HANDBOOK

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## **Overview and Purpose**

The North Carolina Innovations Waiver gives people with disabilities clear choice about how they receive services. Participant Direction is a meaningful option for participants as well as their families. In the North Carolina Innovations Waiver, Participant Directed Services are called “Individual and Family Directed Supports”. Participants can direct some or all of the services that are paid through North Carolina Innovations funding. This gives participants and their families more control over the way their services are provided, including the authority to manage an individual budget and manage workers who provide support.

A model of Individual and Family Directed Supports is the “Agency With Choice Model”. The Agency With Choice Model allows the participant or legally responsible person for the participant to work with an agency that agrees to hire employees referred by them. This model allows you to have more control over who works for you, setting their work schedules and how much they are paid. The Agency With Choice agency approves/disapproves the hiring of the referred individuals and ultimately retains the responsibility of being the employer and final say in decisions about the employee while allowing the participant or legally responsible person to partner in managing the employee’s training and supervision. The participant or the legally responsible person is known as the “Managing Employer”.

The Agency with Choice model allows participants to have a co-employment relationship and assist the participant or legally responsible person in increasing their skills as a “Managing Employer”. Ultimately empowering participants to have greater choice and control over where, when, and how support services are delivered to them.

This handbook is designed to assist and provide information for “Managing Employers” on the process for all aspects of self-directing supports/services under the Agency With Choice Model. This manual will also include information that can be useful in learning how to recruit, interview, hire and train employees.

If you, the Managing Employer have chosen the Agency With Choice Model, your Care Coordinator at Sandhills Center will assist you in revising your Individual Support Plan to include the Individual and Family Directed Supports. Your Care Coordinator will ensure that you are linked to service providers and/or supports that will help assist and guide you through the implementation of the Individual and Family Directed Supports Option.

It is important for you to know that you as a participant or legally responsible person can choose to direct one or more services under the Agency with Choice Model, and may choose to receive additional provider directed services that you chose not to self-direct.

## **Identification of Supports for Individual and Family Directed Supports Option**

### **Participant**

The Participant is the person approved to receive services under the NC Innovations Waiver. The participant may or may not be the Managing Employer. If the participant is not the Managing Employer, the Individual Support Plan (ISP) will include a statement of how the participant will be involved in self-directing services.

### **Managing Employer**

The participant or the legally responsible person is known as the Managing Employer. The Managing Employer is the co-employer with the Agency with Choice. The Managing Employer must be at least 18 years old. Parent(s) of a minor child who is a participant on the waiver can be the Managing Employer.

### **Care Coordinator**

The Care Coordinator is employed by Sandhills Center and provides support to individuals who participate in the Individual and Family Directed Supports Option. The Care Coordinator responsibilities include:

- Provide Orientation to the Individual and Family Directed Supports Option
- Refer the participant to a Community Guide Agency for training on Individual and Family Directed Supports
- Completing the Individual and Family Directed Supports Assessment
- Completing the process for appointment of a Representative, when one is requested or needed
- Completing the Individual and Family Directed Supports Agreement. The Agreement is developed by Sandhills Center
- Provide any assistance needed to the prospective Employer in selecting a Financial Support or an Agency With Choice from the list of designated Agencies With Choice contracted with Sandhills Center
- Completing the Individual Support Plan (ISP) or update(s) to the ISP
- Sending a copy of the approved ISP or update to the ISP to the Community Guide, Employer and Agency With Choice, if applicable

### **Community Guide**

A Community Guide is a paid provider that assists participants with locating and coordinating community resources and activities as well as facilitating the integration of the individual in the community. This service support participants, representatives, and Employers who direct their services by providing direct assistance in their participant direction responsibilities. Community Guide services are intermittent and fade as community connections develop and skills increase in participant direction. If the participant is self-directing their services, the Community Guide functions will include:

- Guidance with management of the Individual and Family directed budget

- Providing information on recruiting, hiring, managing, training, evaluating, and changing support staff
- Assisting with the development of schedules and outlining staff duties
- Assisting with understanding staff financial forms, qualifications and record keeping requirements
- Providing on-going information to assure that participants and their families/representatives understand the responsibilities involved with participant direction, including reporting on expenditures and other relevant information and training
- Coordinating services with the Agency With Choice

***Note: It is important that you maintain contact information on your Community Guide and Agency With Choice provider (this includes who to contact for each).***

### **Representative**

A representative is a person who helps the Managing Employer manage supports. The Managing Employer is assessed to determine if help is needed to manage supports.

There are two types of representatives:

- **Mandated Representative:** Person who is required to assist the Managing Employer. (Sandhills Center may decide that a Representative is required to assist the Managing Employer)
- **Voluntary Representative:** Person who is not required to assist the Managing Employer, but the Managing Employer still asks that a representative be appointed.

The Representative may be a family member, friend, someone who has power of attorney, income payee, or another person who willingly accepts responsibility for performing tasks that the Managing Employer is unable to perform and must be at least 18 years old. The representative must be committed to follow the participant's needs and preferences while using sound judgment to act on the participant's behalf.

### **Agency With Choice**

Agencies With Choice are provider agencies who meet qualifications for service delivery of all NC Innovations Services that may be directed under the Individual and Family Directed Supports Option and that are designated by Sandhills Center as Agencies With Choice. Agencies With Choice perform the financial support functions for Managing Employers who choose the Agency With Choice Model. The Agency With Choice serves as the common law employer with federal and state agencies for employees hired to provide services to participant.

The Agency with Choice agrees to hire the individual you choose to provide services for you. This individual becomes an employee of the agency.

The Agency With Choice will provide the following functions:

- Hiring and/or firing employees based on recommendations of the Managing Employer (participant/legally responsible person)
- Maintaining personnel records on employees
- Filing claims for Individual and Family Directed Supports and services
- Payment of payroll to employees hired to provide services and supports
- Deducting all required federal, state and local taxes, including unemployment fees, prior to issuing reimbursement or paycheck
- Administration of benefits for employees hired to provide services and supports
- Requesting and reviewing criminal background checks, driver's license checks, and health care registry checks of prospective employees providing participant directed services
- Carrying Workers Compensation Insurance coverage on employees
- Ordering employment related supplies
- Providing or arranging for training of employees
- Purchasing authorized Individual Goods and Services on behalf of the participant
- Providing Qualified Professional supervision of services, including oversight and maintaining clinical documentation of services provided
- Providing documentation for adults as requested by local, state, federal agencies

The Agency With Choice is responsible for maintaining the following records:

- A record for each participant
- A record for each employee hired
- Records of all claims and reports to Sandhills Center
- Copies of quarterly expenditure reports that are provided to the participant and the participant's Care Coordinator (minimum of services authorized versus services billed)

When you choose to use an Agency with Choice, you agree to work as a partner with the agency in setting the employee's work schedule and in training and supervising the individual. However, the agency has final say in decisions about the employee since the agency retains the responsibility of being the individual's employer.

## **Participant Rights, Privileges and Responsibilities**

Participants in the Individual and Family Directed Supports Option have rights, privileges, and responsibilities related to accessing information, managing employees, obtaining support, filing grievances and complaints, and withdrawing from the option.

It is the policy and practice of Sandhills Center to assure your basic human rights.

You have the right to:

- Be treated fairly and with respect regardless of race, ethnicity, religion, mental or physical disability, sex, age, sexual preference, or ability to pay.
- Participate in making your Individual Support Plan.
- Include any persons you wish in your treatment.
- Have your protected health information kept private.
- Get your services in a safe place.
- Make an advance directive.
- Agree to or refuse treatment services, unless the services are court ordered.
- Get information in your own language or have it translated.
- File a complaint, appeal or grievance without penalty.
- Receive good care from providers who know how to take care of you.
- Choose a provider within the Provider Network.
- Use your rights with no negative action by the NC Division of MH/DD/SAS or Sandhills Center; and maintain the same civil and legal rights as anyone else.

Participants and/or legally responsible persons participating in the Individual and Family Directed Supports Option must follow all applicable laws, rules and regulations regarding employment, Medicaid, the NC Innovations Waiver, and the Individual and Family Directed Supports Option. Other laws, rules and regulations that must be followed include but not limited to:

- Title VII of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000e, et.seq. (applies to employers with 15+ employees)
- Age Discrimination in Employment Act, 29 U.S.C. §§ 621, et seq. (applies to employers with 20+ employees)
- The Americans with Disabilities Act, 42 U.S.C. §§ 12101, et.seq. (applies to employers with 15+ employees)
- The Family Medical Leave Act, 29 U.S.C §§ 2601, et.seq. (applies to employers with 50 or more employees working 20 or more work weeks per year)
- The Fair Labor Standards Act, 29 U.S.C. §§ 201, et.seq. (applies to all employers)

Employment law is complicated. It is considered a specialty area in the legal profession. The laws, rules and regulations mentioned above should in no way be considered a substitute for competent legal advice.

## **Complaints**

When receiving services from a provider, please address any concerns or complaints with that provider and allow them an opportunity to resolve the issue. If you are not happy with the outcome, you are encouraged to contact Sandhills Center Customer Service toll free at 1-800-256-2452. Sandhills Center Customer Service staff is committed to responding quickly to your questions, concerns and complaints. Every effort will be made to resolve your issue as soon as possible.

When you are not happy with any aspect of your care and you are unable to resolve it with your service provider, you have the right to file a formal complaint. Reasons for complaints could include such things as:

- The quality of care or services you receive;
- A disagreement about the service you receive;
- The failure of a provider to respect a person's rights; and/or
- A provider or employee of a provider being rude to you.

Formal complaints can be made either verbally or in writing to Customer Service toll free at 1-800-256-2452; or you can write to Sandhills Center Customer Service, PO Box 9 West End, North Carolina 27376. You will get verbal or written notice that your complaint was received within 5 working days. A decision regarding the results of your complaint will be given to you within 30 business days of making your complaint. If you are dissatisfied with the resolution of your complaint or concern, you may file an appeal by contacting Customer Service toll free at 1-800-256-2452 and the process will be explained to you in detail.



## **Individual and Family Directed Supports Agreements**

### **Individual and Family Directed Supports Agreement: Managing Employer**

When you choose to self-direct (participant direct) your services under the Agency With Choice Model of Individual and Family Directed Supports, you will be asked to sign an “Individual and Family Directed Supports Agreement: Managing Employer”. The purpose of the agreement is to define the responsibilities of the Managing Employer and/or Representative, if applicable. The agreement is completed prior to the initiation of Individual and Family Directed Supports (See Appendix A).

### **Agency With Choice Agreement**

The Agency With Choice Agreement outlines the functions that the Agency With Choice performs and the functions that the Managing Employer and/or Representative perform. The Agreement is developed by the Agency With Choice and approved by Sandhills Center. The Agency With Choice will provide the Agreement to the Managing Employer prior to working with the agency, and will maintain the original Agreement and any amendments to the Agreement. As a Managing Employer you will need to work with the Agency With Choice to complete this agreement. A copy of the completed, signed Agreement will be forwarded to the Managing Employer, Care Coordinator and Representative if applicable.

Sandhills Center requires the Agreement to include the following minimum requirements:

- List the responsibilities that the Agency With Choice will perform
- List the responsibilities that the Managing Employer and/or Representative will perform.
- Expectation that the Agency With Choice will notify the Managing Employer and Representative, if applicable in writing any procedure changes
- Expectation that the Agency With Choice will develop an “Employee Support Agreement” for each employee
- Signature and date of Managing Employer
- Signature and date of Representative (if applicable)
- Signature and date of Agency With Choice representative

### **Representative Agreement**

If a representative is identified, the representative will be asked to sign the “Representative Agreement”. The agreement outlines their compliance and understanding of the Individual and Family Directed Supports Option (See Appendix A). The agreement is completed prior to the appointment of the Representative.

### **Employee Support Agreement**

The Agency With Choice is responsible for developing an Employee Support Agreement to be used with each employee. As a Managing Employer you will work with the Agency With Choice in the development of this agreement. If the Agency With Choice has a standard format for the Employee Support Agreement, you should make sure that is

covers areas of importance to you. The agreement at a minimum should include the following:

- Employee Name
- List of job duties/responsibilities expected of the employee (Job description can be attached)
- Supervision Plan
- Space for signature and date for Managing Employer and representative, if applicable, Agency With Choice and employee

This agreement is signed by the Managing Employer and representative, if applicable, Agency With Choice, and employee.

## **Individual Support Plan (ISP) and Individual Budget**

### **Individual Support Plan (ISP)**

The Individual Support Plan (ISP) is developed through a person centered planning process and is led by the participant and/or legally responsible person for the participant to identify the participant's desires, strengths, needs and identification of services and supports.

The Care Coordinator will meet with you, your legally responsible person and representative as applicable and review your ISP. A decision is made about the services that you want to participant-direct and the services, if any that you want to be provided under the Provider Direction Option.

The ISP must be followed in service, frequency and duration. You can make changes to your ISP and request additional funding in the Individual Budget as your needs change. However, you should contact your Care Coordinator immediately to discuss and request any needed changes. This would allow time for your Care Coordinator to update the ISP and submit to Sandhills Center Utilization Management Department for services to be authorized accordingly before the changes go into effect. Your Care Coordinator can also assist you in requesting additional Community Guide services

### **Individual Budget**

The Individual Budget includes the Individual and Family Directed Supports Budget (participant directed budget) that identifies those services that are participant-directed. The following principles must be followed in using the Individual and Family Directed Supports Budget:

- Expenditures must be tracked so the budget is not overspent. The tracking is done by the Agency With Choice on behalf of the Managing Employer.
- If additional funds are needed, they must be approved by Sandhills Center Utilization Management Department.
- Everything purchased with NC Innovations Waiver funding must be related to the participant's needs and funds are used to purchase goods and services that are allowed within the waiver.
- Funds in the Individual and Family Directed Supports Budget may only be spent for expenditures authorized in the ISP by Sandhills Center Utilization Management Department.
- The Managing Employer and/or Representative, if applicable, are provided with an expenditure report at least quarterly. The Agency With Choice is responsible for providing this information to the Managing Employer and Representative.
- Sandhills Center will establish a fee schedule for services provided under the Agency With Choice model (the rates will be the same as those for other NC Innovations Provider Agencies).

Your Community Guide provider can train and assist you in managing the Individual and Family Directed Supports Budget.

On an annual basis your Care Coordinator will provide you with an orientation to the Individual and Family Directed Supports Option. This will occur at the time of the annual Individual Support Plan meeting. The Care Coordinator will also submit the ISP, Individual Budget and supporting documents to the Sandhills Center Utilization Management Department for review and approval.

On a quarterly basis, you will receive an expenditure report from the Agency With Choice of the previous month's revenues (Medicaid services billed, including Individual Goods and Services) with the units of services authorized during that month. If you have any questions or problems with the reports, you should contact the Agency With Choice. Remember, your Community Guide is also available to assist you with understanding the expenditure report.

## **Back-Up Staffing, Risk and Emergency Planning**

### **Back-Up Staffing**

As a Managing Employer and/or Representative, planning for employee vacancies and absences is important as you direct your services. There will be times when your regularly scheduled employee cannot work. You must make arrangements for “back up” employees to fill in when your regular employee is not available and for emergency situations. It is important to ensure adequate support coverage is available to meet the participant’s needs. The Individual Support Plan (ISP) must describe how the participant will get their needs met if an employee is absent or any unforeseen circumstance that prevents the participant from functioning as usual.

The Agency With Choice is responsible for providing back up employees. The ISP must include who to contact at the Agency With Choice for scheduling back up staffing. The Agency With Choice will try to make every effort to provide back up staff in case of emergency. However this may depend on the amount of notice given to the Agency. Managing Employers and/or Representative should call the Agency With Choice as soon as the need for back up staffing is identified. Back Up employers must complete the same paperwork and meet the same qualifications as primary employees. Your ISP should also identify others who are considered to be natural supports to the participants. These natural supports are individuals who are not paid to provide support. Natural Supports or unpaid back up staffing can be assistance/support from family, friends and others not getting paid and would not require employee paperwork.

### **Risk and Emergency Planning**

Risk and Emergency Planning is important and should be made to address potential emergency situations that can create safety issues or barriers to care delivery. Having a plan for dealing with different types of emergencies, such as medical emergencies, hospitalizations, power/electrical outages, severe weather, fires, evacuation planning (including evacuation routes and shelter locations, supplies, etc.) and other natural disasters can help keep you safe and reduce the risk of injury. Potential emergency needs for the participant are identified as part of the Risk/Support Needs Assessment process that is used in developing the ISP. You will need to talk with your Agency With Choice regarding their emergency plan to follow. You will need to include in your plan a way to test your plan and document the tests. Employees should be trained on the plan and what to do in an emergency.

The Crisis Plan section of the ISP should state how each identified risk will be managed and identifies training needs of any individual responsible for implementation of managing a risk management strategy or strategies. A Crisis Services provider should be selected and identified in the ISP if the following services are received: In Home Intensive Support, In Home Skill Building and/or Personal Care Services

### **Monitoring of Back Up Plans**

Sandhills Center I/DD Care Coordination staff and Quality Management staff will monitor Back-Up and Emergency Plans as a part of monitoring of services. Any

situation that is identified as a health and safety issue for the participant is immediately addressed with the Managing Employer, Representative, and/or Agency With Choice. Agency With Choice providers are responsible for completing Level One Incident Reports if back-up staffing is not available.

## Employment Protections

### Worker's Compensation Insurance

Worker's Compensation Insurance is insurance coverage for any employee that develops illness or injury that is work related. The Agency With Choice is responsible for and is required to provide Worker's Compensation Insurance coverage for employees hired in the Agency With Choice Model. Worker's Compensation Insurance claims are heard and overseen by the North Carolina Industrial Commission. Additional information on worker's compensation can be found on the North Carolina Industrial Commission website at:

<http://www.ic.nc.gov/>

You may also obtain additional information by contacting the NC Industrial Commission directly at 1-(800)-688-8349 or (919) 807-2501.

### Prevention of Abuse, Neglect and Exploitation

Managing Employers and/or Representatives must report any knowledge or suspicion that a participant is being abused, neglected or exploited. This knowledge or suspicion can include employees, friends, relatives, household members or other persons. Abuse, Neglect and Exploitation are defined as:

- Abuse is an act of aggression by one person to inflict harm on another person. Abuse can be when one person tries to or does hurt or harm another person on purpose. There are several kinds of abuse including physical, sexual, emotional and verbal abuse.
- Neglect is a repeated act of carelessness that results in harm to a person. Neglect can be when one person doesn't give another person the kind of support they have promised and as a result the person gets hurt or sick because of this.
- Exploitation is when a person uses another person for one's own gain. An example can include someone taking advantage of another person.

If you suspect that the participant is a victim of abuse, neglect or exploitation, you should report this information immediately to the Department of Social Services, Police or Sheriff's Department, Health Care Registry and Sandhills Center. The contact numbers are listed in Appendix C.

### Medicaid Fraud & Abuse

The North Carolina Department of Health and Human Services wants all Members and Provider staff to be informed that anyone with knowledge of Medicaid Fraud or Abuse needs to report it by calling toll-free **1-877-DMA-Tip1 (1-877-362-8471)**.

If you are unsure what Medicaid fraud or abuse is, it could include any of several dishonest acts-from letting someone else use your Medicaid card to undergoing unnecessary medical procedures.

Examples of Medicaid Fraud include but not limited to:

- Billing for any services not actually performed, known as phantom billing;
- Billing for a more expensive service than was actually rendered, known as upcoding;
- Billing for several services that should be combined into one billing, known as unbundling;
- Billing twice for the same medical service;
- Giving or accepting something in return for services, known as a kickback;
- Bribery;
- Billing for unnecessary services;
- False cost reports;
- Embezzlement of participant funds; and
- Falsifying timesheets or signatures in connection with the provision of services

A more complete list is available on web at the following address:

<http://www.dhhs.state.nc/dma/provider/fraud/htm> . Thinking “it doesn’t hurt anyone” is just wrong. Every dollar wasted or stolen is a dollar that could have been spent on providing health care to someone who needs it and who follows the rules. **AND** those dollars add up---tens of millions in North Carolina each year.

Whether you are a provider, recipient or simply a taxpayer, Medicaid Fraud and abuse **COST YOU!** If you know of Medicaid fraud or abuse **call 1-877-DMA-TIP1, or call this DHHS Care-Line (English or Spanish) at 1-800-662-7030, or report online at [www.ncdhhs.gov/dma/fraud/reportfraudform.htm](http://www.ncdhhs.gov/dma/fraud/reportfraudform.htm)**



## **Employee Qualifications**

All employees being considered for employment must meet all the minimum qualifications for any NC Innovation Waiver service being provided to the participant. As a Managing Employer, you will need to be familiar with the provider qualifications to ensure that the person you want to hire meets the qualifications for the service that he or she will deliver. The Agency With Choice will verify the potential employee qualifications prior to hire. Provider requirements for each service are specified following each NC Innovation Waiver service definition. You can find these service definitions in the NC Innovations Technical Guide at:

<http://www.sandhillscenter.org/innovationsmanual.pdf>



## Recruiting Applicants

There are many ways you can recruit applicants. You can hire people that you know, tell people in the community through word of mouth to draw in applicants or advertise. Your Community Guide and Agency With Choice provider can also assist you to find qualified employees to provide the services you need.

Please be reminded that the biological or adoptive parent of a minor child (waiver participant), step-parents of a minor child, or spouse of a waiver participant **may not be paid** to provide waiver services to a waiver participant.

Your Agency With Choice provider may have policy and procedures in place regarding the recruitment of applicants and hiring employees. It is important that you review and/or discuss this with the Agency With Choice prior to recruiting applicants.

### Job Descriptions

Before you begin the process of recruiting applicants, you should develop a job description. A job description is used to help you clearly state your expectations to potential applicants. Clear expectations and communication will help you find applicants who are clear on what the position requires. The job description should include the anticipated days and times the employee will report to work, their duties as it relates to meeting the participants, desired outcomes and any other special requirements to meet the participants needs. Your Community Guide and/or Agency With Choice provider can assist you with this and provide you with job description examples that can help you create your own.

### Advertising

There are many methods of advertising and recruiting when looking for prospective employees. The following are some suggestions:

1. **Newspaper advertisements**

Placing ads in newspapers is an efficient method to reach a large audience. Local neighborhood newspapers are cheaper than major city newspapers, and are good to target potential employees who live closer to you or in your community.

2. **Colleges and Universities**

Local Colleges and/or Universities are a good source to finding potential employees. Many students are looking for extra income to help them through college. To advertise a position, you will need to contact the career placement office or student housing office.

3. **Word of Mouth**

Word of Mouth is another avenue of getting the word out or informing others that you are looking for employees. Asking your family, friends and neighbors if they themselves, or if they know of someone who would make a good employee is just as good as placing an ad in the newspaper. You will need to let them know what qualifications you are looking for, and ask them to tell others about the position.

4. **Bulletin Boards**

Placing flyers on bulletin boards in high traffic areas to include but not limited to, grocery stores, churches, library, restaurants, community centers, and laundromats.

5. **Local Newsletters**

There are some community organizations and churches that run short ads in their newsletters.

6. **Local Employment Offices**

Contacting the local Employment Offices to inform them of your positions and hang flyers.

7. **Networking**

Exchanging information, names, resources and services between and with other individuals can be done through useful tools such as but not limited to Face-Book or Twitter.

**Contents of an Advertisement and Flyers**

The information you put in your advertisement and/or flyer should be clear about the kind of support that is needed. This will ensure that the prospects that reply to the advertisement or flyer are truly interested and feel they are qualified for the job. The following is some suggestions for developing your advertisements or flyers:

- Read other ads for ideas
- Include information about the job including qualifications required, hours, and duties, name of the position, and contact person/phone number for the advertisement. Note: The Managing Employer and Agency With Choice should agree on the contact person to be named in the advertisement.

It is not a good idea to include or disclose private information about the contact person or participant in the advertisement.



## **Interviewing Applicants & Checking References**

### **Interviewing Applicants**

After advertising for the job, you will begin to receive applications for potential employees and/or responses to the job announcement. If the applications are sent directly to the Agency With Choice provider, then the Agency With Choice must have a process to refer the applicant to you as the Managing Employer. You should maintain information on each applicant (to include all forms and notes).

As a Managing Employer, you will want to take the lead role in finding and interviewing potential employees that you feel will meet your needs. You are free to develop your own interviewing process. Please be reminded that your Community Guide and/or Agency With Choice provider can assist you with this process if you choose.

### **Screening Applicants**

Many of the responses you will receive about the job will be made by telephone. You will then begin pre-telephone screenings. Telephone screenings will help you decide if the applicant meets the required qualifications. Personal information about the participant is not shared during the pre-telephone screening. Your Community Guide and/or Agency With Choice provider can assist you with this process or provide you with helpful tips or scripts to use when you do pre-telephone screenings.

When completing the pre-telephone screening, give a brief description of the duties of the position, amount of hours that the job requires, and the amount of pay and any benefits being provided. If the applicant is interested in the job, you may then want to ask some questions to pre-screen the applicant and record the answers. You should be prepared to have your telephone screening questions ready to be asked. Sample telephone screening questions are located in Appendix B.

It is important to remember when screening applicants either over the telephone or during the face to face interview that there are certain questions that are illegal to ask. You should not ask any questions that you can use to discriminate against them due to things such as health and age. The following are example questions you should not ask in an interview:

- How old are you?

- Are you married?
- When were you born?
- What is your race?
- Are you a democrat, liberal, conservative or republican?
- Do you own or rent your home?
- Do you have any children?
- Have you ever been arrested?
- What is your credit rating?
- What country were you born in?
- Do you have a disability or medical condition?
- What is your religion?
- What church do you go to?
- What are your family members' names?
- What is your native language?

At the end of the telephone screening you can tell the applicant you will call them back to make an appointment for an interview if they are selected for an interview(if you are interested in a face to face interview). Always thank them for their interest in the position.

After you have concluded all telephone screenings, you should review the notes you made and decide on which applicants you would like to interview in person. You should consider applicants who you feel will meet your needs including qualifications, availability, how they answered your questions and ability to carry out duties listed in the job description.

### **The Personal Interview**

You should now have decided which applicants you will interview. You will then call those applicants selected for a face-to-face interview. Allow yourself plenty of time between each interview if you plan to have more than one in a day. When you contact the applicants, you should remind them to come prepared to complete an application form. When scheduling the interview, for safety purposes you may want to consider meeting in a neutral location and have a family member or friend present with you during the interview.

It is important to be well prepared for the interview. For each candidate that you interview you should have a blank application for them to complete, copy of the job description and other forms to include reference check releases and release for background checks. Your Agency With Choice provider may have required forms that will need to be completed. It is important that you are aware of the Agency With Choice policy and procedures for interviewing applicants.

When you meet the applicant, you should greet them and make them feel comfortable as possible. The applicant should then complete the application. The job description is then shared with the applicant to be read. The interview is important because this gives you the opportunity to let the applicant know about the job in more detail and more

information about the participant. The applicant will complete the application at the interview.

It is important to remember that when interviewing applicants and asking questions, you should only ask questions about things that are directly related to the job requirements. You should not ask personal questions that do not apply to the job requirements. Sample Face-to-Face Interview Questions are located in Appendix B.

During the interview you should describe the work schedule, pay method, leave plan, any benefits and give the applicant opportunity to ask questions.

At the end of the interview, tell the applicant you will call them as soon as you make a decision. The applicant should be contacted even if you decide not to hire them. You should thank them for their interest and time.

### **Checking References**

At this time you should have completed your interviews on each potential applicant. Now it's time to check their references. As a Managing Employer, you will want to check an applicant's personal and work references before you make a decision on who you want to hire. Checking references can give you valuable information on the applicant. Contacting the applicants current and previous employers can also give you valuable information when making your decision to hire. Make sure to ask the applicant if you may contact the current employer for a reference check. Some employers will not discuss an applicant without having a signed reference release form. The Agency With Choice may have specific policy and procedures that must be followed to include forms that must be used when conducting reference checks. Make sure you review the Agency With Choice policy and procedures before checking references. See Appendix C for Sample Reference Check Questions.

## Hiring Applicants

Now you have identified an applicant(s) you would like to hire as your employee. As a Managing Employer, you will need to let the Agency With Choice know of your hiring recommendation. The Agency With Choice will need to ensure that the potential applicant you are recommending meets the qualifications to provide the services and that a back ground check is completed. **Please note: The Agency With Choice cannot review or disclose to you information obtained from the background check.**

It is important to remember that you as a Managing Employer may recommend an applicant for hire to the Agency With Choice. However, the Agency With Choice is the **only** one that may offer a position to an applicant.

The Agency With Choice will let you know if the applicant can be hired or not. **The Agency With Choice makes the final hiring decision for each applicant recommended by you.** The Agency With Choice cannot hire an applicant whose background check indicates a potential health or safety risk to the participant. If the applicant cannot be hired, you can continue recruiting applicants and provide additional recommendations for hire to the Agency With Choice.

If the applicant can be hired, the Agency With Choice will work with you (Managing Employer) to complete the hiring process. The Agency With Choice will be responsible for contacting the selected applicant and offering the position to them. The Agency With Choice will let the selected applicant know the salary, the start date of employment, how and when they will be paid, their work schedule and any training that must be completed. If the applicant accepts the position, the Agency With Choice will schedule a date for the applicant to come to their office and complete required employment paperwork. The Agency With Choice will let you know of the employee start date. You will work with the Agency with Choice to arrange or provide any training the employee(s) will need prior to working with the participant.

The Employee Support Agreement will need to be developed and signed by the Managing Employer, Agency With Choice and employee.

For applicants who were not selected for hire, the Agency With Choice will contact the applicants and inform them a hiring decision has been made. The Agency With Choice will follow their own policy and procedures for contacting non-selected applicants.

### **Establishing Employee Pay Rates**

The Agency With Choice is responsible for ensuring that the Fair Labor Standard Act (FLSA) regulations are followed. As a Managing Employer you are also required to follow the FLSA regulations.

The FLSA establishes minimum wage, overtime pay, recordkeeping, and youth employment standards affecting employees in the private sector and in Federal, State, and local governments. Your employees are entitled to at least minimum wage. Overtime pay at a rate not less than one and one-half times the regular rate of pay is required after 40 hours of work in a workweek.

Additional information on FLSA can be obtained from the United States Department of Labor at [www.dol.gov](http://www.dol.gov)



## **Training Employees**

Training is one of the most important parts of managing employees. You, the Managing Employer and/or Representative, if applicable will work cooperatively with the Agency With Choice to train direct service employees. The Agency With Choice will be responsible for making sure that employees meet requirements specified in the NC Innovations Technical Guide, in the Individual Support Plan (ISP) and in any applicable NC State rule. It is always important to remember, that the participant is the expert in knowing their care needs. Employees should be trained on how the participant wants things done.

The Agency With Choice is responsible for maintaining copies of training documents and certificates in the employee's personnel file. The cost of training is paid by the Agency With Choice out of the direct service reimbursement rate paid for the Individual and Family Directed services provided. The Agency With Choice will ensure that the employee's supervision plan is followed and any supervision is documented. The Agency With Choice is responsible for ensuring that information about employees is kept confidential and maintained in a secure location.

Providing initial training allows the employee to be more effective at their job. Taking more time in the initial training of employees increases the overall results of their performance. On-going training will be necessary to ensure that your employees are growing in their job and are satisfied with the work they do.

## Managing Employees

As a Managing Employer, it is important for you to discuss with your employees what your expectations are, what they should expect from you and how their job performance will be evaluated. You should always have an open line of communication so that there are no misunderstandings of what is expected. You should provide frequent feedback to employees letting them know if you are satisfied or not satisfied with the services they are providing. This feedback can include letting your employees know if when you see something that you do not like or uncomfortable with. This should be done in a clear, direct and respectful manner.

### Conflict Resolution

As you manage your employees, there may be situations where you will have conflict with employees. Sometimes conflict arises due to poor job performance on the part of the employee(s) or your employee(s) may need more training. If training is the issue, you should have your employees retrained on the aspects of the job that are causing him/her difficulty. Other examples of conflict could include but are not limited to:

- Arriving on time for work
- Completing tasks/assignments as specified
- Personality differences
- Following the work schedule
- Not implementing goals as trained

When issues such as these arise it is important to begin to have discussions with your employees as soon as these patterns arise. Not addressing issues or problems early on can allow them to grow into bigger problems later. You should document all problems, concerns, issues and conversations you have with your employees. You will need to follow your Agency With Choice policy and procedures regarding documenting such actions. You should try to work with your employees before making a decision to stop working with them. Things you should consider before making a final decision is:

- Does the employee need more training?
- Discuss with the employee your concerns or issues
- Do I need to get the Agency With Choice or Community Guide involved to help me problem solve?

### Performance Evaluations

Performance Evaluations are used to provide feedback on your employee's work performance. A copy of the employee's job description should be given to them when they first start working so they will know the areas in which they will be reviewed. You will need to follow your Agency With Choice policy and procedures for conducting performance evaluations and how often the evaluations are completed. You will need to also follow the Agency With Choice policy and procedure on giving written warnings as a result of the evaluation. The Agency With Choice provider will have a documented form that can be used for this process. If your employee has a poor job performance and you have tried to address all issues or concern, you may recommend dismissal of the employee to the Agency with Choice.

### **Termination of Employees**

As a Managing Employer, you have the right to choose to no longer work with an employee. You will need to let your Agency With Choice provider know of your decision. The Agency With Choice has the responsibility ultimately for terminating the employment of employees. You should follow the Agency With Choice policy and procedures on terminating employees.

The Agency With Choice is responsible to identify backup staff to provide services until you can find new potential applicants you want to consider for hire. You can also follow your back up plan to assist with services continuing until you hire a new employee.

It is important to remember that you as a Managing Employer will work hand in hand with your Agency With Choice provider in the management of your employees.

## **Service Documentation**

It is critical that all services billed to Medicaid be properly documented. The documentation must be sufficient so that it is understandable, explains the service that was provided, and can be verified with reasonable certainty that the service was actually provided. Documentation must be kept a minimum of 11 years after the last date of contact for an adult and 12 years after a minor reaches the age of majority (18 years of age). Service documentation must be available for Sandhills Center Care Coordination and Quality Management staff for review upon request.

Agency With Choice and Managing Employers must follow the documentation requirements as indicated in section 14 of the NC Innovations Technical Guide and in the Division of Mental Health/Developmental Disabilities/Substance Abuse Services Records Management & Documentation Manual APSM 45-2.

The Agency With Choice is responsible for developing short range goals and task analysis/strategies for achieving long range Individual Support Plan (ISP) outcomes. As a Managing Employer or Representative, if applicable you will also assist in the development of the short range goals (participating in person centered planning meetings in the development of the short range goals). The employee is responsible for completing the service documentation and submitting the documentation to the Agency With Choice. The Agency With Choice will maintain the documentation. The Agency With Choice will have a Qualified Professional (QP) oversee the provision of services and the documentation of those services. The Managing Employer may not provide QP services under the Agency With Choice Model for their family member.

## Quality Assurance

Assurance that participants receive quality care and services is a key focus under the Individual and Family Directed Supports Option. Managing Employers, Representatives, Community Guide Agencies, and/or Agencies With Choice are responsible for helping Sandhills Center make sure that the participant receives quality services.

The Care Coordinator, Sandhills Center and the State of North Carolina have key roles in the quality of Individual and Family Directed Supports Option.

### **Managing Employer, Representative and Agency With Choice role includes:**

- Cooperate in contacts and visits by the Care Coordinator
- Inform the Care Coordinator when the needs of the participant are not being met, and safety and well-being are compromised
- Report suspected abuse or neglect of the participant to the Department of Social Services, Health Care Registry and to Sandhills Center
- Complete and submit incident reports to Sandhills Center as required by State rule and the NC Innovations waiver. The Agency With Choice is responsible for submitting incident reports to Sandhills Center Quality Management Department.
- Managing Employer and/or Representative decide if they are satisfied with services provided under the Individual and Family Directed Supports Option

### **Care Coordinator role includes:**

- Monitor the provision of services through monthly face-to-face contact with the participant
- Follow up on any concerns of health and safety, including making a home visit to evaluate and assist. Follow-up will be immediate if the situation appears to be an emergency.
- Review service documentation
- Make contact with the Managing Employer or Representative, if applicable monthly
- Review quarterly expenditure reports prepared by the Agency With Choice against the Individual and Family Directed Supports Budget

### **Sandhills Center role includes:**

- Monitoring the Community Guide Services provider(s) and Agencies With Choice at a minimum of at least once every three years
- Reviewing incident reports
- Reviewing a sample of back-up staffing plans at least annually to ensure that they function properly
- Reviewing complaint logs maintained by Sandhills Center, Agencies With Choice and Community Guide Agencies at least semi-annually

**The State of North Carolina role includes:**

- Completes retrospective reviews of samples of Individual Support Plans (ISP) and Individual and Family Budgets
- Reviews a sample of Community Guide and Agency With Choice Monitoring Reports

**Additional Technical Assistance and Support**

The Community Guide, Agency With Choice, Care Coordinator, State, Sandhills Center or other individuals could identify the Managing Employer's need for additional technical assistance and support. The need for additional technical assistance and support can include but not limited to the following:

- Not utilizing enough for services needed to support health and welfare without reasonable explanation
- Not receiving services, equipment or goods identified as critical for health and welfare
- Utilizing the Individual and Family Directed Supports Budget at a rate that suggests that the ISP will not be sustainable over the plan year
- On-going difficulty in arranging for services needed for health and welfare
- Unapproved expenditures
- Inability to supervise or fire an employee effectively
- Failure to respond to notices requesting missing information from the Agency With Choice
- Not implementing the ISP as approved

Each discovery of non-compliance is documented and sent to Sandhills Center, with the Care Coordinator, assisting as needed. Sandhills Center will determine the next action step which could include but is not limited to any one of the following:

- Referral to the Department of Social Services Protective Services Department
- Requiring that a formal plan of correction be submitted and implemented
- Requiring technical assistance (the need for Sandhills Center staff involvement above and beyond the standard training and materials)
- Requiring that a representative be appointed to assist the Managing Employer
- Requiring that the Community Guide or additional Community Guide services be added to the ISP
- Recommending that the participant be terminated from the Individual and Family Directed Supports Option

## Termination from Individual and Family Directed Supports

As a Managing Employer you may withdraw from the Individual and Family Directed Supports at any time by notifying your Care Coordinator. The Care Coordinator will prepare a revision to the Individual Support Plan (ISP), and submit the revision to Sandhills Center Utilization Management Department for approval of Provider Directed Services. The revision is required to allow the participant to move to the Provider Directed Services without service interruption.

**Please Note:** It is very important that the Managing Employer notify the Care Coordinator in advance if they are considering withdrawing to allow time for a revision to the ISP to be completed.

A Managing Employer may be removed from the Individual and Family Directed Supports Option involuntarily under the following circumstances:

- Immediate health and safety concern, including maltreatment of the Participant
- Repeated unapproved expenditures/misuses of NC Innovations funds
- Suspected fraud or abuse of funds or evidence of unreported fraud
- No approved representative available when the Employer is determined to need one
- Refusal to accept the necessary Community Guide Services
- Refusal to allow Care Coordinator to monitor services
- Refusal to participate in Sandhills Center, State, or Federal monitoring
- Non-Compliance with Individual and Family Directed Supports, Financial Support Agency, Agency With Choice and/or Employee Support Agreements
- Inability to implement the approved Individual Support Plan (ISP) or comply with NC Innovations requirements despite reasonable efforts to provide additional technical assistance and support (fourth event requiring additional technical assistance/corrective action plan in 12 months).

Managing Employers are terminated from the Individual and Family Directed Supports Option if the same major mistake occurs more than three times in a one-year period. However, the recommendation can occur at any point when the participant's health and welfare are at risk or if Medicaid fraud or misuse of funds is suspected. For example, an incident of substantiated abuse by a paid employee could lead to termination if a plan cannot be implemented to assure health and welfare.

Termination from the Individual and Family Directed Supports Option does not mean that the participant is terminated from the NC Innovations Waiver. Participants, who are terminated from the Individual and Family Directed Supports Option, either voluntarily or involuntarily, can return to the Provider Directed Supports Option of the NC Innovations Waiver.

Participants terminated from the Individual and Family Directed Supports Option cannot return to the option for at least 90 days from the date of their return to Provider Directed Supports. After 90 days, if the Managing Employer wants to go back on the Individual and Family Directed Supports Option, they must repeat all initial trainings and assessments.



## Appendix A: NC Innovations Representative Agreement

Name:	Record Number:
Employer:	
Proposed Representative:	
<p>I, as proposed Representative for the above named Employer</p> <ul style="list-style-type: none"> <li>• have been advised of the requirements of the NC Innovations Individual and Family Directed Supports Option, and have attended Sandhills Center Individual and Family Directed Supports Training. I have had an opportunity to have my questions answered.</li> <li>• have read and understand the <u>Individual and Family Supports Employer Handbook</u>.</li> <li>• understand that I may, with the Employer's consent, use Community Guide Services to provide on-going training and consultation in the implementation of Individual and Family Directed Supports.</li> <li>• understand that I cannot be paid for being the Representative, and that I must comply with Sandhills Center, State and Federal requirements for Employer duties.</li> <li>• understand that if I do not follow these requirements that I may be removed as this Employer's Representative.</li> <li>• understand that the Employer may elect to remove me as the Representative at any time.</li> </ul> <p><b>I agree to serve as the Representative for the above named Employer, and understand my responsibilities and duties under the Individual and Family Directed Supports Option of the NC Innovations Waiver.</b></p> <p><b>I have read and signed an Individual and Family Supports Agreement that specifies the duties that the Employer has requested that I perform, and agree to abide by terms of this Agreement. I understand that my appointment as Representative is subject to approval by Sandhills Center.</b></p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 60%; border-top: 1px solid black; text-align: center;"> <p>Representative Signature</p> </div> <div style="width: 35%; border-top: 1px solid black; text-align: center;"> <p>Date</p> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 60%; border-top: 1px solid black; text-align: center;"> <p>Care Coordinator</p> </div> <div style="width: 35%; border-top: 1px solid black; text-align: center;"> <p>Date</p> </div> </div>	

cc: Employer  
 Representative  
 Sandhills Center (send with ISP/Update requesting self-directed service)  
 Individual Medical Record

## Appendix A: Individual and Family Directed Supports Agreement: Managing Employer

Individual \_\_\_\_\_

Record Number \_\_\_\_\_

### Purpose

The purpose of this Agreement is to define responsibilities of the Managing Employer (Employer) and Representative, if applicable, in the Individual and Family Directed Supports Option, Agency with Choice Model, of the NC Innovations Waiver.

### Parties to the Agreement

- \_\_\_\_\_, the Managing Employer (an individual who participates in the NC Innovations Waiver, parents of a minor child who participates in the NC Innovations Waiver, or legal guardian of an individual in the NC Innovations Waiver)
- \_\_\_\_\_, Representative, a person who willing accepts responsibility for performing Managing Employer tasks that the Managing Employer is unable to perform
- Sandhills Center Local Management Entity/Managed Care Organization, lead agency for the NC Innovations Waiver

### Other involved entities, not a party to this agreement

- Community Guide, a provider under contract with Sandhills Center that assists the individual and/or family in directing services
- Agency With Choice, a provider under contract with Sandhills Center who serves as the employer of employees hired to provide self-directed services

### Overview

A person providing services employed by the Agency With Choice is considered an employee of that Agency. The Agency is responsible for making sure that employees and payroll taxes are paid. The Managing Employer functions as co-employer of the employees. The Managing Employer may designate a Representative to assist in performing these duties. Employees are not provided with any liability insurance coverage and are not licensed or bonded by the State of North Carolina or Sandhills Center. The Agency of Choice carries Worker's Compensation Insurance on the employees.

Responsibility of the Managing Employer and/or Representative	Managing Employer	Representative	Both
Complete Individual and Family Supports Training			
Involve the Individual as outlined in the Individual Support Plan (ISP), and provide services as written in the ISP and defined in NC Innovations services			
Ensure that the Individual's health and safety are not at immediate risk			
Participate in the development of the ISP, make decisions about the best way to meet the needs of the Individual, including the responsible use of the Individual and Family Directed Supports Budget			
Assist the Agency With Choice and employees in the completion of hiring packages			
Assist employees in reporting on the job injuries to the Agency With Choice			
Decide special skills and training employees need; work			

with the Agency With Choice to assure that employees are trained per NC Innovations and ISP requirements			
<b>Responsibility of the Managing Employer and/or Representative</b>	<b>Managing Employer</b>	<b>Representative</b>	<b>Both</b>
Refer prospective employees to the Agency With Choice and recommend dismissal of employees to the Agency			
Communicate clearly and openly with the Support Coordinator, Agency With Choice, Community Guide, and employees			
Work with Agency With Choice to determine employee job duties, and work schedule			
With Agency With Choice, complete an Employee Support Agreement for each person hired and an Agency With Choice Agreement; update agreements as necessary			
With Agency With Choice, give direction and feedback to employees and sign time sheets as requested by Agency			
Develop reliable back-up plans for coverage when employees are absent, and plan for potential emergency situations			
Review monthly reports from the Agency With Choice; utilize services as written in Individual Support Plan			
Comply with employment laws as requested by Agency With Choice			
Notify the Support Coordinator if the ISP or Individual and Family Directed Budget need to be changed			
Participate in evaluating the effectiveness of services and inform the Support Coordinator of difficulties encountered			
Notify the Support Coordinator of admission to a hospital, intermediate care facility (group home or developmental center); or other facility			
Accept the decision of Sandhills Center regarding need for a Representative and/or Community Guide Services			
Check the Medicaid card monthly to ensure that the individual continues to be eligible for the NC Innovations Wavier "IN" indicator code.			
The Employer will meet their monthly Medicaid spend down (deductible) if it determined by DSS that this is required for Medicaid eligibility.			

**Responsibilities of Sandhills Center**

- Provide/arrange for Care Coordination (Administrative Care Coordination Support)
- Provide an Orientation to of the Individual and Family Directed Supports Option to all Employers of Record and Representatives: refer Employer and Representatives for Individual and Family Directed Supports Training
- Assess Managing Employers for participation in the Option, the need for a Representative, and Community Guide Services
- Facilitate the development of an Individual Support Plan
- Approve ISPs and ISP Updates; authorize the Individual and Family Directed Supports budget and services
- Contract with Agencies With Choice and Community Guide Agencies on behalf of Representatives
- Ensure that the Care Coordinator, Community Guide, and Agency With Choice have the skills and knowledge to assist Representatives in directing services and supports

- Provide or arrange for provision of written materials about the Option, including the NC Innovations Individual and Family Guide and Sandhills Center Individual and Family Directed Supports Employer Handbook
- Monitor services that the Individual receives
- Share information, experiences and best practices between all parties involved

**Consequences for non-compliance with NC Innovations Policies and Procedures**

As Managing Employer, or Representative, I understand that the Individual may be removed from Individual and Family Directed Supports Option if I mismanage the Individual Budget or do not follow its rules and regulations. I also understand that the Budget is the sum total of funds available for the Individuals plan year, and must be used for authorized services that meet the Individual’s needs. No additional funds are available. If an emergency arises, I can request additional funds under NC Innovations procedural guidelines.

I agree to uphold all terms of this Agreement. I further agree to hold harmless the State of North Carolina and Sandhills Center, their representatives and employees from the consequences of my choices as Managing Employer or Representative in Individual and Family Directed Supports. Should I desire to obtain advocacy services from an agency independent of Sandhills Center, I can contact Carolina Legal Assistance or another advocacy organization listed in my NC Innovations Waiver Technical Guide.

Signature of Managing Employer	Date
Signature of Representative	Date
Signature of Care Coordinator	Date

cc: Managing Employer/Representative  
 Utilization Management Department  
 Member Medical Record

## **Appendix B: Sample Interview Questions**

### **Telephone Screening Questions**

During the pre-telephone screening, if the applicant is interested in the job the following is some suggested telephone screening questions. Managing Employers are free to develop their own questions:

1. Will you give me your name, phone number where you can be reached and address?
2. What days/hours are you available to work? Do you have any flexibility with your schedule? Are there days you definitely cannot work?
3. Have you ever assisted or worked for a person with a disability before? (if yes) Tell me about the duties and tasks that you performed.
4. Do you have reliable transportation?
5. Are you at least 18 years of age and do you have a valid Social Security number?
6. Are you allergic to pets? (if you have a pet in your home)
7. Do you smoke?
8. Are there certain tasks that you object to performing (i.e. bathing, toileting and dressing)?
9. Do you have experience with lifting, transferring and positioning? (if the participant needs assistance with these activities)
10. Can you cook and would you mind doing housework?

### **Face-to-Face Interview Questions**

The following is some sample questions to ask during the face-to-face interview. Managing Employers are free to develop their own questions:

1. What interest you in this position?
2. How far do you live from here?
3. Have you had any experience providing care to an individual?
4. Do you smoke or drink?
5. Are you comfortable performing personal care tasks/duties such as bathing and toileting?
6. What are your strengths?
7. What are your weaknesses?
8. Describe how you have handled disagreements with your past employers?
9. Describe a hypothetical scenario and ask what the applicant would do in that situation.
10. Describe how you will handle multiple tasks to ensure that all are performed.
11. What do you think will be the best and worst part of this job?
12. What did you like best and least about your last job?

## Appendix C: Sample Reference Check Questions

### Reference Check Questions

1. Did \_\_\_\_\_ (applicant) work there?
2. What dates did \_\_\_\_\_ work? (Make sure their response matches the applicant's response and/or information on their application)

You can ask the following questions, but the previous employer is not legally required to provide the employer the information:

3. What was their position?
4. What kind of work did he/she do?
5. Is the person reliable?
6. What were his/her strengths?
7. What were his/her weaknesses?
8. Did he/she arrive on time for work?
9. Was his/her work satisfactory?
10. On a scale from 1-10 with 10 being the highest, how would you rate their overall performance?
11. Why did he/she leave the job?
12. Would you rehire him/her again?

## Appendix D: Glossary of Terms & Acronyms

**Care Coordinator-**The individual who provides Treatment Planning Case Management Services in the NC Innovations Waiver.

**Grievance-** An expression of dissatisfaction by or on behalf of a participant about any matter. Grievance also is used to refer to the overall system that includes grievances and appeals handled at Sandhills Center and access to the State Fair Hearing process.

**Individual/Family Direction-**The name for Participant Directed Services in the NC Innovations Waiver Provision of the opportunity for a waiver individual to exercise choice and control in identifying, accessing, and managing waiver services and other supports in accordance with their needs and personal preferences.

**Individual Support Plan (ISP)-**The name of the person centered plan used in the NC Innovations Waiver to describe the participant's strengths, preferences, needs and desired outcomes.

**Individual Budget-** The Individual Budget is the total cost of services and supports as specified in the Individual Support Plan.

**North Carolina Innovations Waiver-**The 1915 (c) Home and Community Based Waiver that provides support and care for people with intellectual and other related developmental disabilities who are at risk for institutional care in an Intermediate Care Facility for Individuals with Mental Retardation (ICF-MR) who are legal residents of the counties that are a part of the Sandhills Center catchment area. NC Innovations can also provide funding for people to return to their home and communities from ICF-MR's.

**Participant-**A person who is approved to receive services under the NC Innovations Waiver.

**Participant Directed Budget-** An amount of waiver funds that is under control and direction of the waiver participant when a waiver makes available the Budget Authority participant direction opportunity. Sometimes called the "Individual Budget".

**Participant Directed Service-**A waiver that the state specifies may be directed by the participant using the Employer Authority, the Budget Authority or both.

**Participant Direction-** Provision of the opportunity for a waiver participant to exercise choice and control in identifying, accessing, and managing waiver services and other supports in accordance with their needs and personal preferences.

**Provider Network-** Agencies, professional groups, or professionals under contract with Sandhills Center that meets Sandhills Center standards and that provide authorized covered services to eligible and enrolled persons.

**QP/Qualified Professional-**Any individual with appropriate training and experience as specified by the North Carolina General Statues or by rule of the North Carolina Commission on Mental Health, Developmental Disabilities and Substance Abuse Services in the fields of mental health or developmental disabilities or substance abuse treatment or habilitation, including physicians, psychologists, psychological associates, educators, social workers, registered nurses, certified fee based practicing pastoral counselors, and certified counselors (NC General Statue 122C-3).

**Utilization Management-** The process of evaluating the necessity, appropriateness, and efficiency of behavioral health care services against established guidelines and criteria.

**Workers Compensation Insurance-**Covers employees who are injured on the job.



## Appendix E: Contact Information

### **Sandhills Center 24 hour Access Line**

Call 1-800-256-2452

### **Sandhills Center Website Address**

[www.sandhillscenter.org](http://www.sandhillscenter.org)

### **Emergency (Police, Sheriff, Medical, Fire)**

Call 911

### **Division of Emergency Management Services**

919-733-3825

### **Department of Social Services Adult and Child Protective Services**

Anson County Department of Social Services.....704-694-9351  
Guilford County Department of Social Services.....336-641-3000  
Harnett County Department of Social Services.....910-893-7500  
Hoke County Department of Social Services.....910-875-8725  
Lee County Department of Social Services.....919-718-4690  
Montgomery County Department of Social Services.....910-576-6531  
Moore County Department of Social Services.....910-947-2436  
Randolph County Department of Social Services.....336-683-8000  
Richmond County Department of Social Services.....910-997-8400

### **Disability Rights North Carolina**

1-877-235-4210

[www.disabilityrightsncc.org/](http://www.disabilityrightsncc.org/)

### **Health Care Registry**

[www.ncnar.org/](http://www.ncnar.org/)

### **Medicaid Fraud & Abuse**

1-877-362-8471

### **North Carolina Industrial Commission**

1 (800) 688-8349 or (919) 807-2501

<http://www.ic.nc.gov/>