



**NC INNOVATIONS**  
**EMPLOYER HANDBOOK**  
***EMPLOYER OF RECORD MODEL***

**Effective December 1, 2014**

**INDIVIDUAL AND FAMILY DIRECTED  
SUPPORTS**



Providing access to services for Mental Health, Developmental Disabilities and Substance Abuse Services in Anson, Guilford, Harnett, Hoke, Lee, Moore, Montgomery, Randolph and Richmond Counties

**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.

By now you have learned to do the Agency with Choice model well and are looking to have more control in directing your services. Another model of Individual and Family Directed Supports is the “Employer of Record.” The Employer of Record allows the participant or legally responsible person for the participant to be the individual who legally can exercise authority over workers and assume the other responsibilities associated with participant direction of services. Additionally the Employer of Record model gives you more control over your supports and the most responsibility. You will have more control in choosing your own employee(s), direct control over who works with you, setting your employees’ schedules/routines, determining how much to pay your employees and their benefits. The participant or the legally responsible person is known as the “Employer of Record.”

This handbook is designed to assist and provide information for the Employer of Record on the process of all aspects of self-directing supports/services under the Employer of Record model. This handbook will also include information that can be useful in learning how to recruit, interview, hire and train your employees.

If you have chosen the Employer of Record model, your care coordinator at Sandhills Center will assist you in revising your Individual Support Plan (ISP) 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 Employer of Record model, and may also choose to receive provider directed services.

## **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 Employer of Record. If the participant is not the Employer of Record, the Individual Support Plan (ISP) will include a statement of how the participant will be involved in self-directing services.

### **Employer of Record**

The adult waiver participant parent (s) of a minor waiver individual or legal guardian is considered the Employer of Record (common law employer). The Employer of Record must be at least 18 years old. Parent(s) of a minor child who is a participant on the waiver can be the Employer of Record.

### **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 Agency 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 and Employer of Record

### **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. However, the Community Guide will be mandated until the Employer of Record can demonstrate competency in all employer functions. 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

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

### **Representative**

A representative is a person who helps the Employer of Record manages their supports. The Employer of Record 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 Employer of Record. (Sandhills Center may decide that a Representative is required to assist the Employer of Record)
- **Voluntary Representative:** Person who is not required to assist the Employer of Record, 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 Employer of Record 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.

Representatives must show evidence a personal commitment to waiver participants, and must be willing to follow their wishes and respect their preferences while using sound judgment to act on their behalf. Representatives receive no monetary compensation, and may not serve as a service provider for the participant, with the exception of providing guardianship services. The representative may not be known to have any history of physical, mental, or financial abuse, or to have been excluded from participation in the Medicare or Medicaid programs. The Representative must also meet the following requirements:

- Demonstrate knowledge and understanding of the participant's needs and preferences, and respect those preferences.
- Agree to a predetermined level of contact with the participant
- Is at least 18 years of age

- Is willing and able to comply with program requirements, including attending required training, and reading manuals/handbooks that describe program regulations
- Is approved by the employer to act in this capacity

Specific duties of the Representative are:

- Work with employer, care coordinator, Financial Support Agency and/or Community Guide to assure that the employer responsibilities are completed
- Make all or some of the decisions for the employer, depending on the waiver participant and employer's desires and abilities to make those decisions
- Manage, with the employer, the Individual and Family Directed Supports Budget, using it for services stated in the ISP
- Manage, with the Employer of Record, the employer functions
- Maintain records as required

### **Financial Support Agency**

Financial Support services are utilized by Employers of Record for paying employees, and ensuring that other fiscal functions are completed. Financial Support Services (FSS) is a required service for participants who choose the Employer of Record model of Individual and Family Directed supports. The cost of FSS is paid out of the individual budget as an add-on to that budget.

The Financial Support Agency will provide the following functions:

- Manages all payroll functions
- Assure that Individual and Family Directed funds outlined in the ISP are managed and distributed as intended.
- Filing claims for self-directed services and supports
- 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 paychecks to employees;
- Ordering employment related supplies and paying invoices for other expenses such as training of employees;
- Administering benefits for employees hired to provide services and supports;
- Maintaining ledger accounts for each individual's funds;
- Producing expenditure reports that are required, including reports to the individual/employer/family, concerning expenditures of funds against their budgets;
- Requesting criminal background checks, driver's license checks, and health care registry checks of providers of self-directed services;
- Tracking and monitoring individual budget expenditures;
- Facilitating Workers Compensation Application on behalf of the Employer of Record; and/or
- Serving as the Internal Revenue-approved Fiscal Employer Agent

## **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 employment 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 cited 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.

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: Employer of Record**

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

### **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.

## **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 Financial Support Agency on behalf of the Employer of Record.
- 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 Employer of Record and/or Representative, if applicable, are provided with an expenditure report monthly. The Financial Support Agency is responsible for providing this information to the Employer of Record and Representative.

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 monthly basis, you will receive an expenditure report from the Financial Support Agency 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 Financial Support Agency. Remember, your Community Guide is also available to assist you with understanding the expenditure report.

Contact your Community Guide provider if you have any questions or problems with directing your services.

If you need to change out your Community Guide provider or additional Community Guide services is needed contact your care coordinator at Sandhills Center.

As you begin gaining experience with directing your services, the need for Community Guide Services related to participant directed services will decrease.

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

### **Back-Up Staffing**

As an Employer of Record 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. Sandhills Center will maintain a contract with a provider agency to provide emergency back up staffing for individuals participating in the Employer of Record model.

### **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 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 back up plan needs to be developed to address absence of staff and who to call when back up staffing is needed. The plan should be tested/reviewed at least quarterly. Sandhills Center will maintain contract with an identified provider in the Sandhills provider network to provide emergency back up staffing for Employer of Record. This is optional and should be discussed with your care coordinator to ensure services can be provided within your budget. The contracted agency will make every effort to provide back up employees, dependent on amount of notice you give to the agency.

### **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 Employer of Record or Representative (if applicable).

## 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 Financial Support Services Agency is responsible for facilitating the Worker's Compensation application on behalf of the Employer of Record. 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, or [infospec@ic.nc.gov](mailto:infospec@ic.nc.gov)

### 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 is 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 up coding.
- 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 the web at the following address:

<http://www.ncdhhs.gov/dma/medicaid/contacts.htm#fraud>

Whether you are a provider, recipient or simply a taxpayer, Medicaid fraud and abuse **COSTS YOU!** If you know of Medicaid fraud or abuse **call 1-877-DMA-TIP1, or call the DHHS Customer Service Center (English or Spanish) at 1-800-662-7030, or report online at <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 Employer of Record, 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. Your Community Guide can assist you with understanding 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 to 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 provider and Representative (if applicable) 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.

### **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 Provider and/or Representative 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 less expensive 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 good sources for 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, places of worship, libraries, restaurants, community centers, and laundromats.

5. **Local Newsletters**

There are some community organizations and places of worship that run short ads in their newsletters.

6. **Local Employment Offices**

Contacting the local Employment Offices to inform them of your positions and ask that they post 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 Facebook or Twitter.

**Contents of Advertisements 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 are 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.

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 from potential employees and/or responses to the job announcement. You should maintain information on each applicant (to include all forms and notes).

As an Employer of Record, 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 Representative 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 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 Provider and/or Representative can assist you with this process or provide you with helpful tips or scripts to use when you do telephone screenings.

When completing the 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.

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 an Employer of Record, 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. 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 an Employer of Record and/or Representative, you will need to let your Financial Support Agency know that you have identified a prospective employee. The Financial Support Agency will provide you with written materials needed to be completed on prospective employees.

The Financial Support Agency will obtain information from you regarding the prospective employee that is needed to conduct a required background check. You as an Employer of Record and/or Representative will not be charged by the Financial Support Agency for the completion of background checks. The charge is paid from your Individual Budget.

The required background checks include:

- Age Verification (Employer of Record and/or Representative obtain form employee)
- If the employee will transport the participant, driving record check
- Criminal record background check is required by North Carolina law
- Health Registry check

Once the background checks are completed, your Financial Support Agency will send to you the results for your review. Once you receive the background check results, you will need to determine if you wish to hire the applicant. It is very important, prior to offering a position to an applicant that you make sure that the applicant is qualified for the position.

As an Employer of Record, if you decide to hire an applicant, you and/or your Representative must offer the position to the applicant. To include notifying them of his/her start date. You must also complete and return the hire packet that your Financial Support Agency provided to you, including any forms that the employee must sign. You must submit original forms.

An Employee Support Agreement will need to be developed by you, the Employer of Record and/or Representative. Minimum requirements of the agreement are included in Appendix D. The agreement must be signed by you and the employee. Your Financial Support Agency also has sample agreement forms that you can use.

**\*\*It is important to remember that you cannot hire an employee prior to receiving the background checks\*\***

For applicants that you did not select for hire, you will need to contact the applicants and inform them a hiring decision has been made.

## **Establishing Employee Pay Rates**

As an Employer of Record, you will determine your employees pay rate. Sandhills Center and/or your Financial Support Service Agency can provide you with a computer based auto calculator to assist you. Your Community Guide provider can also assist you with use of the auto-calculator and computer access, as needed.

Your care coordinator will inform you of the amount of your Individual and Family Directed Budget.

## **Training Employees**

Training is one of the most important parts of managing employees. You, the Employer of Record and/or Representative, if applicable, are required to train your direct service employees. Your identified Community Guide provider can provide information to you on training your employees to ensure that your 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 Employer of Record is responsible for maintaining copies of training documents and certificates in the employee's personnel file. The cost of training is paid out of the direct service reimbursement rate paid for the Individual and Family Directed services provided. The Employer of Record will ensure that the employee's supervision plan is followed and any supervision is documented. The Employer of Record 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.



## **Setting Schedules**

Specify with your employees the hours, the number of hours per day, and days per week that you expect them to be on the job. Explain to your employees your expectations of maintaining their work schedule and providing you with advanced notice of days or hours they are not available to work.

## **Managing Employees**

As an Employer of Record, 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 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 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 give written warnings as a result of the evaluation. If your employee has a poor job performance and you have tried to address all issues or concern, you may consider dismissal.

## **Termination of Employees**

As an Employer of Record, you have the right to choose to no longer work with an employee. The Employer of Record must notify the Financial Supports Services agency whenever an employee is terminated or when an employee stops working for the employer.

The Employer of Record should follow your back up staffing plan to assist with services continuing until you hire a new employee. You can also contact the identified contract provider identified by Sandhills Center to provide emergency backup staffing until you can find new potential applicants you want to consider for hire.

## **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 eleven (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.

The Employer of Record 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.

As an Employer of Record you are responsible for developing short range goals and task analysis/strategies for achieving long range Individual Support Plan (ISP) outcomes. Additionally, you are responsible for maintaining service documentation.

## 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.

### **Employers and/or Representatives 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 Quality Management department as required by State rule and the NC Innovations waiver.
- Employer of Record 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 Employer of Record or Representative, if applicable monthly
- Review quarterly expenditure reports prepared by the Financial Support Services Agency against the Individual and Family Directed Supports Budget

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

- Monitor the Financial Support Services provider(s) annually
- Monitoring the Community Guide Services provider(s) 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, Financial Support Agencies and Community Guide Agencies at least semi-annually

- Provide technical assistance and training in completion of incident reports and service documentation

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

- Completes retrospective reviews of samples of Individual Support Plans (ISP) and Individual and Family Budgets
- Review Financial Supports Providers
- Reviews a sample of Community Guide Monitoring Reports

**Additional Technical Assistance and Support**

The Community Guide, Financial Support Agency, 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 Financial Support Agency
- 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 Employer of Record
- 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 an Employer of Record 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 Employer of Record notify the care coordinator in advance if they are considering withdrawing to allow time for a revision to the ISP to be completed.

An Employer of Record 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, 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).

Employer of Records can be 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.



## **Modification of Individual/Family Directed forms**

Employer of Records and/or Representatives (if applicable) **cannot** change the content of the following forms:

- NC Innovations Representatives Agreement (Appendix A)
- Individual and Family Directed supports agreement: Employer of Record (Appendix A)

Employer of Records and/or Representatives (if applicable) can change or add information to their Employee Support Agreement (Appendix D) to meet their specific employment needs. Employee Support Agreements must include the minimum requirements as outlined in Appendix D of this handbook.

## 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

## Individual and Family Directed Supports Agreement: Employer of Record

Individual \_\_\_\_\_

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

**Purpose**

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

**Parties to the Agreement**

- \_\_\_\_\_, the Employer of Record (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 Employer of Record tasks that the Employer of Record 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
- Financial Support Agency, a provider under contract with Sandhills Center to be an agent for, and provide payroll services for, the Employer.

**Overview**

A person providing services employed by the Employer of Record is considered an employee of that Employer. The Employer of Record is responsible for making sure that employees and payroll taxes are paid. The Employer does this by authorizing the Financial Support Agency to pay employees and taxes. The 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 Employer of Record is required by the NC Innovations waiver to carry Worker’s Compensation Insurance. Premiums are paid by the Financial Support Agency from the Individual and Family Directed Budget.

Responsibility of the Employer of Record and/or Representative	Employer of Record	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			
Complete hiring packages for employees including making sure employees provide the Financial Support Agency with a copy of their Social Security Card.			

Acquire/maintain Worker's Compensation Insurance			
Decide special skills and training employees need; train or arrange for training of employees as required in the Employer Handbook			
Find and hire people to provide services; replace (fire) employees when necessary			
Request background checks including providing information to the Financial Support Agency needed to perform these checks and payroll functions prior to hiring applicant			
Communicate clearly and openly with the Care Coordinator, Financial Support Agency, Community Guide, and employees			
Decide how much to pay the employee, benefits to offer the employee, job duties, and work schedule by requesting and using the Auto Calculator. My Community Guide may request the Auto Calculator on my behalf			
Send a copy of the completed Auto Calculator to the Financial Supports Agency if I do not use Community Guide Services			
Complete an Employee Support Agreement for each person hired and a Financial Support Agreement; update agreements as necessary			
Give direction and feedback to employees			
Authorize payment for employees for time worked; send timesheets to the Financial Support Agency per the payroll schedule			
Develop reliable back-up plans for coverage when employees are absent, and plan for potential emergency situations			
Approve billing of Innovation Services provided by the employee(s) and makes sure service documentation is completed by employees			
Retain documentation for 11 years after the last date of service for adults and 12 years after the last date of service for minors after the minor reaches age 18. If Employer leaves the Individual Family Directed option the Employer must return all clinical documentation to Sandhills Center Quality Management Department			
Review monthly reports from the Financial Support Agency, keep track of the balance of the Individual Budget, and stay within the Budget			
Comply with NC Innovations, state and federal requirements for hiring and employing workers, including observing all tax and employment laws			
Keep information about the individual and employees confidential unless authorized to release			
Complete Incident Reporting as required by the NC Innovations waiver, Sandhills Center, and the State of NC			
Notify the Care Coordinator if the ISP or Individual and Family Directed Budget need to be changed			
Participate in evaluating the effectiveness of services and inform the Care Coordinator of difficulties encountered			
Notify the Care Coordinator of admission to a hospital,			

intermediate care facility (group home or developmental center); or other facility			
Produce all records for Sandhills Center, State, or Federal Audits/monitoring, and complete Plans of Correction required as a result of those audits, including bringing records to the designated site when requested			
Accept the decision of Sandhills Center regarding need for a Representative and/or Community Guide Services			
Check the Medicaid card to ensure that the individual continues to be eligible for the NC Innovations Wavier "IN" indicator code.			
The Employer will meet their monthly Medicaid <b>spend down (deductible)</b> if it determined by DSS that this is required for Medicaid eligibility.			

**Responsibilities of Sandhills Center**

- Provide/arrange for care coordination
- 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 Employer of Record 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 Financial Support Services and Community Guide Agencies on behalf of Employer of Record and Representatives
- Ensure that the Care Coordinator, Community Guide, and Financial Support Services have the skills and knowledge to assist Employer of Record and Representatives in directing services and supports
- Provide written materials about the Option through contacts with Community Guide Agencies, including the NC Innovations Individual and Family Guide and the 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 Employer of Record, 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. If I defraud Medicaid, I may be responsible for reimbursing Sandhills Center for unauthorized expenditures. I further understand that Sandhills Center may contact my employees and review my records to discuss and verify provision of services to the individual.

If I am removed from Individual and Family Directed Supports, I must notify my employees that the Financial Support Services Agency will no longer issue their paychecks, and that any further employee/employer arrangements between the employer/employee are not subject to NC Innovations funding regulations and protections.

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 Employer of Record 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 Individual and Family Guide.

_____ Signature of Employer of Record	_____ Date
_____ Signature of Representative	_____ Date
_____ Signature of Care Coordinator	_____ Date

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

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

### **Telephone Screening Questions**

During the telephone screening, if the applicant is interested in the job, the following questions are suggested. 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 sample questions may be asked during the face-to-face interview. Managing Employers are free to develop their own questions:

1. What interests you about 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?



## **Appendix D: Employee Support Agreement**

Minimum Requirements for the Employee Support Agreement will need to include the following:

1. List of duties/responsibilities that the employee will need to agree to do.  
(duties/responsibilities as outlined in job description)
2. List the hours per week the employee will work
3. Indicate how much the employer will pay the employee per hour
4. Information to include that the employee is not an employee of Sandhills Center or the Financial Services Agency
5. Information to include that if the employer's participation in the Employer of Record model ends, the employees employment ends.
6. Printed Name of Employer of Record, Employee and/or Representative (if applicable)
7. Signature and Date of Employer of Record, Employee, and/or Representative (if applicable)

## Appendix E: 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 Statutes 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 Statute 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 F: 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.disabilityrightsnc.org/](http://www.disabilityrightsnc.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/>

### **The Fair Labor Standard Act**

[www.dol.gov/compliance/laws/comp-flsa.htm](http://www.dol.gov/compliance/laws/comp-flsa.htm)