Mercy Maricopa/RSA District I
Collaborative Protocols for Individuals with SMI

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Opportunity to update/revise this document:
Quarterly Coordination Meetings are held between the RBHA, PNOs and RSA.

Revision Date of this document: 12/8/2014
Collaboration and Training

Vocational Rehabilitation (VR) and Provider Network Organization (PNO) staff will uphold a professional, cooperative and collaborative team relationship in order to meet the rehabilitation/employment-related needs of the member.

Training Requirements:
RSA/ VR and PNO staff will participate in combined quarterly trainings on current rehabilitation/employment-related issues, policy and/or procedural changes, evidence based, best and emerging practices in psychiatric rehabilitation and supported employment.

On a quarterly basis the PNO Rehabilitation Specialist, with the RSA/VR staff as available, is responsible to initiate training on an employment-related topic. The PNO RS will facilitate the employment related training, summarize the topic and record & maintain attendance & training information presented at an all site meeting, morning meeting or team meeting.

Newly hired staff into PNO Rehabilitation Specialists positions will be required to participate in Rehabilitation Core Training offered quarterly by Mercy Maricopa. Newly hired staff into PNO Clinical Coordinators (CCs) positions will be required to participate in the Rehabilitation Core quarterly training offered by Mercy Maricopa. Newly hired staff into PNO Assertive Community Treatment (ACT) Employment Specialists positions will be required to participate in the Employment Specialist Training offered at least bi-annually by Mercy Maricopa. It is recommended that all new PNO clinical staff participate in a site-based VR Orientation to better understand the program and the process so as to better educate members about VR and the VR Orientation meeting itself.

Coordination of Service Delivery

In an effort to ensure rapid access to rehabilitation and employment-related services the PNO clinical team member will work with the member to identify service needs and the proper service type to meet the members overall rehabilitation goal.

When a member identifies an interest in employment-related services the PNO RS/ES will make simultaneous referrals to a Mercy Maricopa network employment provider and RSA/VR.

Referral Protocol:
1. Referrals for employment-related services listed below must be coordinated between clinical team and DES-RSA, as evidenced by the completion of a signed RBHA and RSA/VR Referral Coordination Form in the clinical record. The RBHA and RSA/VR Referral Coordination Form needs to remain in the clinical record. Copies of the completed/signed RBHA and RSA/VR Referral Coordination Form are to be provided to the
Mercy Maricopa Employment & Rehabilitation provider for all referrals and to DES-RSA in situations where a VR case is open.

2. One of the following choices will be selected on the coordination form:
   a. Employment Related Services
   b. Meaningful Activity - Services are not work-related or individual has no immediate work goal.

3. An Employment Service is selected:
   a. RSA/VR section needs to be completed
   b. Enter date of referral to RSA/VR
   c. Enter date of RSA/VR Orientation the member is scheduled to attend
   d. If a member refuses to apply/participate in RSA/VR services clinical documentation outlining the refusal/justification is required to be entered in the member medical record. Mercy Maricopa-funded employment/rehabilitation services are available when RSA/VR services are not available.

4. A completed and signed RBHA and RSA/VR Referral Coordination form will enable a Mercy Maricopa-funded Employment/Rehabilitation provider to provide employment-related services identified until RSA/VR services are available. RSA/VR will work to determine program eligibility and develop an Individualized Plan for Employment (IPE) under IGA outlined timeframes.

5. The PNO clinical team is responsible for ensuring the RBHA and RSA/VR Referral Coordination form is completed, copies provided to employment/rehabilitation providers and/or RSA/VR, and the form filed in the clinical record.

6. Any questions should be directed to the Mercy Maricopa Employment/Vocational Administrator and/or the DES-RSA Statewide Behavioral Health Coordinator.

Psychoeducational Services and Ongoing Support to Maintain Employment

Psychoeducational services and ongoing support to maintain employment services are designed to assist a person or group to choose, acquire, and maintain a job or other meaningful community activity (e.g., volunteer work).

H2027 – Psychoeducational Services (Pre-Job Training and Development): Services which prepare a person to engage in meaningful work-related activities may include: career/educational counseling, job shadowing, assistance in the use of educational resources, training in resume preparation, job interview skills, study skills, work activities, professional decorum and dress, time management, and assistance in finding employment.

H2025 – Ongoing Support to Maintain Employment: Includes support services that enable a person to complete job training or maintain employment. Services may include monitoring and supervision, assistance in performing job tasks, work-adjustment training, and supportive counseling.
For psychoeducational services and ongoing support to maintain employment services the following billing limitations apply:

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

*ADHS-DBHS Covered Services Guide: Version 8.9 Revision Date October 1, 2014*

**VR Referral/Orientation Process:**
VR staff will conduct at least one monthly group orientation meeting at each PNO clinic. RSA/VR orientations held at the local VR office are available to members from the PNOs. PNO enrolled members may select to attend in either location. A member may schedule an individual orientation session if/as needed.

PNO clinics will ensure functional space is available for the VR orientation. Transportation may be arranged by PNO staff for TXIX/NTXIX member as needed. RSA/VR staff is responsible to facilitate the RSA/VR orientation session. The PNO Rehabilitation Specialists will be present & available to address any pre-vocational needs that arise, and/or to meet with members not choosing to pursue VR services at the time. The VR Referral Feedback Form will be completed by the RSA/VR Counselor at the orientation. The VR Referral Feedback Form will outline the next step after orientation is completed. VR staff will meet with the interested members following the orientation in order to address any member needs or questions regarding RSA/VR services.

PNO clinical staff will schedule follow-up meetings with any members who are not choosing to pursue VR to conduct a readiness assessment and identify alternate rehabilitation or meaningful community activity options/services.

The PNO will provide a complete referral packet to VR within 7 business days of the VR orientation. The referral packet shall include:

- SMI Determination,
- Annual Assessment (Part E),
- Individual Service Plan,
- Individual Service Plan Review/Update,
- Progress Notes (60 days),
- Medication Flow Sheet,
- Psychiatric Evaluation,
- Any relevant Vocational Assessment,
- Crisis Plan (ARCP)
- Psychiatric Progress Notes
- Member’s current contact information

The referral packet may contain DB101 session results and any relevant vocational/employment related assessments such as: vocational profile and O-Net profile.
The VR Counselor will make initial contact to schedule an intake meeting within 7 business days of receipt of the referral packet. VR Counselor will notify the PNO clinical team if there is difficulty reaching the member following three unsuccessful attempts to schedule the intake.

RSA eligibility should be determined as soon as possible with the best practice of eligibility determination occurring within 30 days from a signed VR application; and the member will receive a letter confirming the eligibility decision.
**Release of Information/HIPAA**

ADES/RSA, as the Business Associate of the RBHAs, will not need a signed authorization for release of information for members enrolled in adult SMI services before obtaining a referral packet from the RBHA.

- Protected health information to be disclosed will be the minimal necessary as needed for the purposes of the IGA.
- For purposes of the IGA and in compliance with 45-CFR, Parts 160 and 164\(^1\), the Arizona Department of Economic Security/Rehabilitation Services Administration (ADES/RSA) shall be a HIPAA Business Associate for the organized healthcare arrangement comprising the Arizona Department of Health Services (ADHS) Division of Behavioral Health Services (DBHS) and the Regional Behavioral Health Authorities (RBHA) and its contracted networks and providers for purposes of sharing mutual client information as authorized by the Agreement.
- ADES/RSA will conform to all requirements inherent in that designation. ADES and ADHS shall comply with the provision of Arizona Administrative Code R6-4-405\(^2\), as it pertains to sharing client information with other agencies, individuals, or employers.

Refer to IGA section 14.0

**Information Sharing Process Between VR and PNO clinics:**
The PNO Rehabilitation Specialist and the VR staff will ensure that all pertinent information regarding a member's participation in the RSA/VR program is shared promptly and documented/filed in the members chart(s), including:

**RSA/VR**
- VR Eligibility Determination
- VR Individualized Plan for Employment (IPE)
- VR Case Closure Information
- Extended Supported Employment (ESE) coordination
- Loss of contact with member

**RSA/VR and PNO**
- Member obtainment of employment

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\(^1\) Covered entities may disclose protected health information to persons that meet the rule's definition of business associate, or hire such persons to obtain or create protected health information for them, only if covered entities obtain specified satisfactory assurances from the business associate that it will appropriately handle the information; the regulation specifies the elements of such satisfactory assurances; covered entities have responsibilities when such specified satisfactory assurances are violated by the business associate... A covered entity may disclose protected health information to a business associate, as necessary to permit the business associate to perform functions and activities for or on behalf of the covered entity, or to provide the services specified in the business associate definition to or for the covered entity. (45-CFR, Section 164.504e)

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

PNO RS/ES
- Any change that may impact the members' ability to continue participation in RSA/VR
- Meaningful Community Activity Worksheet (MCAW) or other similar assessment
- PNO Individual Service Plan (ISP)
- RBHA and RSA/VR Referral Coordination Form
- Email between clinical team and VR Counselor*

*Email between VR and the PNO clinical team regarding pertinent information that is not reflected in any of the above documentation should be filed in the members' medical record. Communication via email must meet standards related to data validation and compliance.

**VR Input on Mutual Service Recipient Individual Service Plans (ISP):**
The PNO RS is responsible for addressing the vocational and rehabilitation needs of members in their ISP’s. The PNO clinical team member/RS will request input from the RSA/VR Counselor within 5 business days of ISPs being updated. The RSA/VR counselors are responsible for providing ISP recommendations for open, eligible, and active VR clients to be incorporated into the members’ ISPs.

- The PNO may utilize the Individual Service Plan Participation/Recommendation Form to obtain input from RSA/VR related to members’ RSA/VR services/status.
- The PNO clinical team member is responsible for initiating the Individual Service Plan Participation/Recommendation Form and requesting the RSA/VR counselor input.
- The PNO clinical team is encouraged to invite the RSA/VR Counselor to staffing in which a member’s ISP is being discussed.
- RSA/VR staff may participate in person or via phone as needed and sign the member’s ISP.
Supported Employment/Extended Supported Employment (SE/ESE) Coordination

Each RSA/VR service client will be provided with information about Extended Supported Employment (ESE) services. If the member and the VR Counselor identify a need for ESE services, the VR Counselor will work with Mercy Maricopa and/or any identified long-term employment support service to ensure services will be available following VR case closure.

1. The Coordination of Extended Supported Employment Services Form-Part I needs to be completed by the VR Counselor and sent to the Mercy Maricopa representative for review and signature. The preferred method is to scan the document and email it secure (email encryption, i.e. [secure]).

   a. Coordination of Extended Supported Employment Services Form-Part I
   Items to be completed on this form:

      1. All applicable information
      2. BHS/RBHA Clinical Team representative (PNO & Site)
      3. Planned Completion Date (Projected start date of ESE)
      4. RSA/VR Representative signature and date

   Note: Mercy Maricopa will track the PNO Site and Projected VR Status 22 Date among other information.

2. The Mercy Maricopa representative will review & sign the Coordination of Extended Supported Employment Services Form-Part I and return the form via secure email to the VR Counselor.

3. RSA/VR Counselor will plan/schedule a Status 22 meeting when the client obtains/ maintains employment and is stable on the job. The RSA/VR Counselor invites the following individuals, at a minimum, to attend the meeting:
   a. Client
   b. Persons/ Supporters identified by the client
   c. Job coach/RSA Employment Related Services Provider
   d. Rehabilitation Specialist (RS)
   e. Mercy Maricopa representative

4. RSA/VR Counselor is responsible to bring the completed Coordination of Extended Supported Employment Services Form-Part I and II sections to the Status 22 meeting. Part II of the ESE Coordination sheet is completed by VR Counselor and signed by all parties at the conclusion of the Status 22 meeting. ESE begins following the Status 22 meeting.
A copy of the Coordination of Extended Supported Employment Services Form-Part I and II sections is given to all parties.

5. RSA/VR Counselor moves the member case into status 22. The VR Client receives RBHA funded ongoing support to maintain employment from the mutually contracted provider.

The following are the Mercy Maricopa and Vocational Rehabilitation employment providers that are mutually contracted and are able to provide Extended Supported Employment (ESE):

- Beacon Group
- DKA
- Focus Employment Services
- Lifewell Behavioral Wellness
- Marc Community Resources
- Valleylife
- Wedco

Co-location of VR Counselors in the PNO clinics:

RSA/VR staff will be present at the assigned clinic(s) to the degree that fulfills the vocational needs of the members affiliated with the site. VR staff will provide their assigned PNO clinic with a monthly work schedule for that clinic. The VR staff schedule is to include a weekly meeting between RSA/VR staff, Rehabilitation Specialist to discuss mutually enrolled members and members interested in employment related services. PNOs will provide RSA/VR staff with functional work space that includes access to confidential area for meetings with members, a phone, and internet access.

Dispute Resolution:

In effort to resolve any disputes/concerns at the lowest level of intervention we are encouraging a dialogue between the two involved parties. Staff may consult with supervisory staff for guidance; the dispute/concern should first be addressed between the two people directly involved.

A dispute or concern that is not able to be resolved between the parties will employ the following procedure to achieve a resolution.

Steps for Dispute Resolution

1. Dialogue between the two involved parties should occur prior to progressing to the next resolution level. Staff may consult with supervisory staff for guidance, but the dispute/concern should first be addressed between the two people directly involved.
2. Meeting will occur with the two involved parties and their direct supervisors.
3. Meeting will occur with the two involved parties, their direct supervisors, and the PNO Clinical Director or Site Administrator\(^3\) and the VR Region 1 Assistant Program Manager.
4. Meeting will occur with the designated PNO administrative representative (Clinical Administrator/VP Clinical Services/Regional Director, etc.), the designated PNO clinic representative (Clinical Director or Site Administrator), VR Region 1 Program Manager and VR Supervisor, Mercy Maricopa Employment/Vocational Administrator, VR Statewide Behavioral Health Coordinator and DBHS Employment Administrator.

The Mercy Maricopa Employment/Vocational Administrator or the VR Statewide Behavioral Health Coordinator may be consulted at any point in the dispute resolution process and respond accordingly.

\(^3\) If the concern/dispute is clinical in nature, the Clinical Director should attend, if the concern/dispute is administrative in nature, the Site Administrator should attend.
<table>
<thead>
<tr>
<th>Service Type, Code &amp; Billing Unit</th>
<th>Services</th>
<th>Description</th>
<th>Service Provision Examples Billing Provider</th>
<th>Qualifications; Provider Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Code: H2027 Type: Psychoed. Services (Pre Job Train. And Devel) Billing Unit: 15 min.</td>
<td>Services which prepare a person to engage in meaningful work-related activities.</td>
<td>Billable services include: *career/educational counseling *job shadowing *assistance in the use of educational resources *training in resume preparation *job interview skills *study skills *work activities *professional decorum and dress *time management *assistance in finding employment <strong>Scenarios:</strong> #1. Staff videotapes individual in mock job interview. They then review the video together and discuss ways to improve interview skills. #2. Staff and individual develop a resume together and discuss how to address gaps in employment. #3. Individual uses physical exercise such as running each morning to help in cleaning his mind and prioritizing his day to manage time appropriately. Staff goes running with individual to provide them support and encouragement in continuing this activity while reviewing the day's priorities at the conclusion of their day.</td>
<td>Behavioral health technicians and behavioral health paraprofessionals with at least one year experience in providing rehabilitation services to persons with disabilities. * T/RBHA * BH Outpatient Clinic * Licensed Clinical Social Worker * Licensed Marriage/Family Therapist * Licensed Professional Counselor * Licensed Independent Substance Abuse Counselor * Community Service Agency * Rural Substance Abuse Transitional Center * Out-of-State, One Time Fee For Service Provider</td>
<td>• Homeless Shelter • Office • Home • Urgent Care Facility • Federally Qualified • Health Center • Community MH Center • State or Local Public Health Clinic • Rural Health Clinic • Other - must</td>
</tr>
</tbody>
</table>
#4. Staff and individual go to the store together to purchase a day timer. They then map out daily and weekly schedule while identifying priorities.

#5. Staff meets individual for coffee to help study for upcoming college exam.

<table>
<thead>
<tr>
<th>Code: H2025</th>
<th>Includes support services that enable a person to complete job training or maintain employment.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type: Ongoing Support to maintain Employment Billing Unit: 15 min.</td>
<td>Billable services include: *monitoring and supervision *assistance in performing job tasks *work adjustment training *supportive counseling</td>
</tr>
</tbody>
</table>

**Scenarios:**

#1. Individual is employed at KOHL’S as a floor manager. Staff visits the individual on their lunch break to say “Hi” and check in on how the job is going.

#2. Staff accompanies individual to her new employee orientation to assist with completing necessary paperwork ensuring individual has sound understanding of her new job policies and procedures.

#3. Individual is employed as a server at a restaurant. Staff eats at the restaurant to discreetly observe the individual’s interactions with customers and personal presentation. Staff then meets with individual the next day to share some feedback on

**Behavioral health technicians and behavioral health paraprofessionals with at least one year experience in providing rehabilitation services to persons with disabilities.**

- T/RBHA
- BH Outpatient Clinic
- Licensed Clinical Social Worker
- Licensed Marriage/Family Therapist
- Licensed Professional Counselor
- Licensed Independent Substance Abuse Counselor
- Community Service Agency
- Rural Substance Abuse Transitional Center
- Out-of-State, One Time Fee For Service Provider

- Homeless Shelter
- Office
- Home
- Urgent Care Facility
- Federally Qualified
- Health Center
- Community MH Center
- State or Local Public Health Clinic
- Rural Health Clinic
- Other - must specify where
what was observed and strategies for continued improvement.

| Code: H2026 | Type: Ongoing Support to Maintain Employment (Per Diem) Billing Unit: Per Diem | Includes support services that enable a person to complete job training or maintain employment on a *per diem* basis | See H2025 for service provision examples | Behavioral health technicians and behavioral health paraprofessionals with at least one year experience in providing rehabilitation services to persons with disabilities.  
- T/RBHA  
- BH Outpatient Clinic  
- Licensed Clinical Social Worker  
- Licensed Marriage/Family Therapist  
- Licensed Professional Counselor  
- Licensed Independent Substance Abuse Counselor  
- Community Service Agency  
- Rural Substance Abuse Transitional Center  
- Out-of-State, One Time Fee For Service Provider  
- Homeless Shelter  
- Office  
- Home  
- Urgent Care Facility  
- Federally Qualified  
- Health Center  
- Community MH Center  
- State or Local Public Health Clinic  
- Rural Health Clinic  
- Other - must specify where |

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12/08/14
Collaborative Protocols

This Collaborative Protocols is between Mercy Maricopa Integrated Care and Arizona Department of Economic Security/Rehabilitation Services Administration.

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