

## Maricopa County / RSA District I Collaborative Protocols for TXIX Individuals with SMI

---

### Contacts:

Jennifer Thorson, Director of Employment & Rehabilitation Services  
Magellan Health Services  
4129 E. Van Buren, Phoenix, AZ 85008  
602-797-8277

Jill Rowland, Vice President of Recovery & Transformation  
CHOICES Network  
3003 N. Central Ave., Ste. 300, Phoenix, AZ 85012  
602-952-3416

Anita Barnes, Vice President of Adult Services  
Southwest Network  
2700 N. Central Ave., Ste. 1050, Phoenix, 85004  
602-266-8402

Karen Guetel, Director of Network Development & Operations  
People of Color Network  
77 E. Thomas Rd., Ste. 230, Phoenix, AZ 85012  
602-385-0365

Letitia Labrecque, Statewide BHS Coordinator  
DES/Rehabilitation Services Administration  
1789 W. Jefferson, Ave, Phoenix, AZ 85007  
602-542-6277

Michael Scione, District I Program Manager  
DES/Rehabilitation Services Administration  
3221 N. 16<sup>th</sup> St., St. 200, Phoenix, AZ 85016  
602-266-9026

Adam Robson, Employment & Rehabilitation Coordinator  
ADHS/Division of Behavioral Health Services  
150 N. 18<sup>th</sup> Ave., Ste. 220, Phoenix, AZ 85007  
602-364-4622

Stacy Garner, Chief Operations Officer  
Partners in Recovery Network  
2701 N. 16<sup>th</sup> St., Ste. 316, Phoenix, AZ 85006  
602-577-2880

---

### Opportunity to update/revise this document:

Quarterly Coordination Meetings are held between the RBHA, PNOs and RSA.

Revision Date of this document:            10/26/10

---

### Coordination of Service Delivery:

#### *Relationship between VR Staff and PNO Clinic Staff:*

VR and PNO staff will uphold a professional, cooperative and collaborative team relationship in order to meet the rehabilitation/employment-related needs of service recipients.

#### *Mutual Training Requirements:*

VR and PNO staff will participate in combined trainings regarding current rehabilitation/employment-related issues, policy and/or procedural changes, best and emerging practices in psychiatric rehabilitation and supported employment, etc., a minimum of twice a year.

The PNO Rehabilitation Specialist (with the VR Staff as available) will educate clinical teams on a rehabilitation/employment-related topic on a quarterly basis through a 20-30 minute training done at an all site meeting, morning meeting, or team meetings.

New staff (VR or PNO Rehabilitation Specialists) will be required to participate in the “Working Towards Recovery” training offered annually by RSA and the RBHA. (NOTE: New PNO Rehabilitation Specialists will be required to participate in the 2-day Rehab Core Training offered quarterly by the RBHA. New PNO Clinical Coordinators will be required to participate in the ½ day Rehab Core for CCs Training offered quarterly by the RBHA. New PNO ACT Employment Specialists will be required to participate in the 1-day Employment Specialist Training offered bi-annually by the RBHA.) 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 advise recipients about VR and the Orientation meeting itself.

#### *VR Referral/Orientation Process:*

VR staff will conduct at least one monthly group orientation meeting at each PNO clinic. Regular orientations held at the VR offices will also be made available to service recipients from the PNOs. **NOTE:** NTXIX individuals may participate in the monthly clinic orientation or orientations held at the VR offices.

PNO clinics will ensure space is available for the VR orientation, and that transportation is arranged for the TXIX recipients. VR staff will provide a regular schedule for orientations so that clinic staff can schedule service recipients accordingly. VR staff will be responsible for conducting the orientation, but PNO Rehabilitation Specialists should be present to address any pre-vocational needs that arise, or to meet with recipients not choosing to pursue VR services at the time.

VR staff will meet with interested recipients following the orientation in order to address any individual needs or questions regarding VR services. Recipients who are NTXIX will be referred to an appropriate RSA/VR office for follow-up regarding VR services. PNO Rehabilitation Specialists will schedule follow-up meetings with any recipients who are TXIX and not choosing to pursue VR, to conduct a readiness assessment and assist the person with identifying alternate rehabilitation or meaningful community activity options.

The PNO will provide a complete referral packet to VR within 7 days of the VR orientation and the VR Counselor will schedule an intake meeting with the recipient within 5 days of receipt of the referral packet. If there is difficulty reaching the recipient to schedule this intake (e.g., phone calls, emails, letters), the VR Counselor will notify the PNO clinical team for assistance with engaging the recipient.

Note: VR eligibility will be determined within 30 days of receipt of a signed VR Application Signature Form.

### ***Release of Information/HIPAA***

For purposes of the IGA and in compliance with 45-CFR, Parts 160 and 164<sup>1</sup>, 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 Tribal/Regional Behavioral Health Authorities (T/RBHA) and its contracted networks and providers for purposes of sharing mutual client information as authorized by the Agreement. ADES/RSA, as the Business Associate of the T/RBHAs, will not need a signed authorization for release of information from the client before obtaining a referral packet from the T/RBHA. ADES/RSA will conform to all requirements inherent in that designation. Protected health information to be disclosed will be the minimal necessary as needed for the purposes of the IGA. ADES and ADHS shall comply with the provision of Arizona Administrative Code R6-4-405<sup>2</sup>, as it pertains to sharing client information with other agencies, individuals, or employers.

---

<sup>1</sup>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)

<sup>2</sup> 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)

*Information Sharing Process Between VR and PNO clinics:*

The PNO Rehabilitation Specialist (or designated staff) and the VR staff will ensure that all pertinent information regarding a service recipient's participation in the VR program is shared promptly and documented/filed in the recipient chart(s), including:

- VR Eligibility Determination
- VR Individualized Plan for Employment (IPE)
- VR Case Closure
- Recipient obtainment of employment
- Recipient loss of employment
- Recipient need for Extended Supported Employment (ESE)
- Loss of contact with recipient
- Recipient graduation or withdrawal from training program/school
- Any change that may impact the recipient's ability to continue participation in the VR program (e.g., hospitalization, incarceration, relocation, alcohol and/or drug related issues, etc.)
- Meaningful Community Activity Worksheet (MCAW)
- Psychosocial Rehabilitation Readiness Determination Profile (PRRDP)
- PNO Individual Service Plan (ISP)
- PNO/RSA Coordination Form
- Progress Notes/Monthly Progress Reports from Community Rehabilitation/Employment Providers
- 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 printed out and filed in the recipient chart. Email should be professional in nature. Email must follow documentation procedures necessary to meet data validation and compliance procedures.

*VR Input on Mutual Service Recipient Individual Service Plans (ISP):*

The VR Counselor is responsible for providing input on the ISPs of service recipients with open VR cases (Status 10 and above) for the purposes of service coordination. The PNO Rehabilitation Specialist is responsible for notifying the VR Counselor at least 5 days prior to ISPs being updated and request VR input.

*ESE Coordination:*

Each VR service recipient will be provided with information about Extended Supported Employment (ESE) services. If the service recipient identifies a need for ESE services, the VR Counselor will work with the RBHA and/or any identified long-term support services to ensure these services will be available following case closure with VR. The RBHA will only fund ESE services for recipients who meet TXIX eligibility criteria, but will work with VR to identify community-based and/or natural supports for those recipients who are NTXIX when needed. The RBHA Employment & Rehabilitation Services Department will be responsible for signing off on VR ESE Coordination forms for TXIX-eligible recipients, and working with VR and the PNOs to identify other resources for NTXIX recipients.

The PNOs will provide monthly updates to the RBHA Employment & Rehabilitation Services Department regarding TXIX/NTXIX status of all service recipients. The RBHA Employment & Rehabilitation Services Department will provide these updates to VR.

VR will provide contracted Supported Employment services (job coaching) for the length of time necessary for a recipient to be stable on the job. At the end of this timeframe, a staffing will be held with the recipient, job coach, PNO rehabilitation specialist or other identified representative, and VR Counselor to determine if this is a successful employment outcome<sup>3</sup> for the service recipient. If all parties are in agreement that this is a successful employment outcome and long term support services are needed to maintain the employment outcome, the VR case will be moved into 'Employed' status and followed for 90 days. If at the end of the 90 days the recipient remains employed, the VR case will be closed successfully in 'ESE' status and the identified long-term support service will assume responsibility for ongoing job support.

*Co-location of VR Counselors in the PNO clinics:*

VR staff will be present at their assigned clinic(s) to the degree that fulfills the vocational needs of the service recipients. PNOs will provide VR staff with work space that includes a private area for 1:1 meetings with recipients, a phone, and internet access.

*Dispute Resolution:*

If a PNO clinical team member has a concern regarding a VR Counselor, or a VR staff person has a concern regarding a PNO clinical team member, the following steps will be taken to achieve resolution. If concerns are related to employee performance, the appropriate Human Resources policies and disciplinary procedures will be followed.

---

<sup>3</sup> A successful employment outcome is defined as the service recipient being satisfied with the job and having reached employment stability.

#### 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<sup>4</sup> and the VR Assistant District 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 District Manager and VR Supervisor, RBHA Employment & Rehabilitation Director, VR Statewide BHS Coordinator and DBHS Employment/Rehabilitation Coordinator.

The RBHA Employment & Rehabilitation Director or the VR Statewide BHS Coordinator may be consulted at any point in the dispute resolution process, but may not be involved in any meetings until all other steps have been followed.

If staff reassignment is deemed necessary: VR staff reassignment decisions can only be made by the VR District Management staff in collaboration with the direct VR supervisor. PNO staff reassignments can only be made by PNO Administration in collaboration with clinical/ administrative staff at the clinics. All reassignments will follow established employment policies and Human Resource practice.

---

<sup>4</sup> 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.

**Individual Service Plan  
Participation / Recommendation Form**

Form to be initiated by T/RBHA and completed by RSA VR Counselor upon request of member's clinical team on the clients who are open, eligible and active in the VR Program

RSA VR Counselor Name:	Date:
Member Name:	Member DOB:
Please mark one or more of the following, that best describe(s) the member's status in the VR Program:	
Eligible, but not yet in Individualized Plan for Employment (IPE)	<input type="checkbox"/>
Currently in Individualized Plan for Employment (IPE), but not actively pursuing goal at this time	<input type="checkbox"/>
Currently in Individualized Plan for Employment (IPE), and actively pursuing vocational goal	<input type="checkbox"/>
Currently employed	<input type="checkbox"/>
Currently in school or training program	<input type="checkbox"/>
Other:	<input type="checkbox"/>
In the space below, please describe the member's vocational goal. What type of employment does the member wish to pursue?	
In the space below, please describe any and all activities the member is currently working on to reach employment goal (this may include volunteer work):	
In the space below, please list any additional information that may be helpful for the Clinical Team to know about the member or that should be included in the Individual Service Plan:	

**Please complete this form and return to the clinical team before the client's scheduled Adult Team Meeting / ISP Planning Meeting. Form should be filed in the member's medical record with the ISP.**