

Department of Health (DOH) Developmental Disabilities Supports Division (DDSD) INTERNAL PROCEDURE	Procedure Number:
	Supersedes: New
Procedure Title: Procedure for Regional Office Request for Intervention and Technical Assistance	
Effective Date: 18 September 2008	
Approved: <p style="text-align: center;">Signature on file</p>	Date: <p style="text-align: center;">September 18, 2008</p>

I. POLICY REFERENCE

Regional Office Request for Intervention and Technical Assistance Policy

II. PURPOSE OF PROCEDURE

The purpose of this procedure is to formalize a process by which DDSD Regional Office Staff address and document concerns raised through Regional Office Requests for Intervention and other referral sources through Technical Assistance that is based on DDSD Standard, Regulation and Policy, and Guidelines.

III. APPLICABILITY

DDSD Regional Office Managers and Staff
 DDSD Central Office Staff
 DDSD Contractors and Providers

IV. DEFINITIONS

Administrative Closure: Closure of RORI referral by Regional Office Manager due to either the referral falling outside the scope of DDSD or refusal of the submitter of the RORI to approve closure, although the issue has been resolved per DDSD Standards, Policies and Regulations. Only Regional Office Managers have the authority to use this type of closure.

Civil Monetary Penalties: Sanction of a DDS Contractor or Provider for failure to comply with the Standards, Policies, Regulations, or DDS Directive.

DDS Regional Office RORI Mailbox: Mailbox established for each DDS Regional Office to receive RORI forms electronically.

Division of Health Improvement (DHI): Division of the Department of Health charged with ensuring compliance by DDS Providers with Standards and Regulations.

DHI Interpretive Guideline: Tool developed by DHI to interpret the DDS Standards and Service Definitions during QMB reviews.

Electronic TA form: Form in the RORI/TA Database to be filled out by Regional Office Staff indicating what issues have been reported, what Standard, Policy or Regulations is involved, what Interpretive Guideline applies, and what actions are taken to resolve the issue.

Incident Management Bureau: The bureau within Department of Health Division of Health Improvement that reviews reported incidents to make determinations regarding abuse, neglect and exploitation.

Internal Review Committee: Joint committee of DDS and DHI managers who accept referrals on Providers who refuse to comply with DDS Standards, Policies and Regulations despite all efforts of the Department of Health.

Jackson Class Member: Individuals who formerly resided at either Los Lunas Hospital & Training School and/or Fort Stanton Hospital & Training School who are named by the court as part of the Jackson Class Lawsuit.

Quality Management Bureau (QMB): The bureau with Department of Health Division of Health Improvement that reviews providers to ensure compliance with DDS Standards, Policies and Regulations.

QUEST (Quality Enhancement Survey Team): Unit within QMB that is charged with overseeing the services and care of Jackson Class Members to ensure all needs are being addressed by the team.

Regional Office Mailbox Manager: Regional Office Staff assigned by the Regional Office Manager to manage the Regional Office RORI Mailbox, assign referrals as necessary and assure that Regional Office Staff are adequately addressing each referral in a timely manner.

Regional Office Request for Intervention form (RORI): Form to be utilized by Providers, Individuals, Guardians and Natural Supports to request DDS Technical Assistance to resolve issues surrounding individuals in DDS funded services; or to notify the regional offices of out of home placements of individuals served through the DD Waiver.

RORI/TA Database: Database designed as a central data point for all referrals coming into DDS D through use of the RORI form. This database provides a centralized information tracking and trending point for DDS D.

Technical Assistance: The process by which DDS D interprets Standards, Policies and Regulations in order to provide guidance and support to DDS D providers in the support of individuals in DDS D funded services.

V. PROCEDURE

	Responsible Person / Agency	Actions
1.	DDS D Contractor or Provider, DHI Staff, DDS D Staff	a. Complete RORI form completely by following RORI Instructions and Procedures.
		b. Submit RORI form electronically to DDS D Regional Office RORI Mailbox established for each Regional Office. If the individual does not have access to the electronic format- the form may be submitted via fax, hand delivery or mail.
2.	Guardian or other non-paid support.	a. Contact Regional Office with individual concerns or issues with services in person, by sending in a RORI form, by telephone, or via e-mail.
		b. Explain concerns thoroughly to DDS D Regional Office Staff.
3.	DDS D Regional Office Staff	a. If needed, document on electronic RORI form the concerns relayed by Guardian or Other Support and submit through the RORI Mailbox.
4.	DDS D Regional Office Manager	a. Establish a Regional Office Mailbox Manager for the RORI Mailbox
5.	Regional Office RORI Mailbox Manager	a. Daily check Regional RORI Mailbox for new RORI referrals.
		b. If form submitted is not complete, as soon as possible contact the individual who submitted the form to ensure that the form is complete and provides adequate information to guide Regional Office Staff and inform the submitting individual of who will be assigned to provide Technical Assistance.

		c. If the RORI appears to be outside of the scope of DDS, refer to the Regional Office Manager for guidance as to how to proceed.
6.	Regional Office Manager or Designee	a. Review RORIs referred by the Regional Office Mailbox Manager.
		b. If the RORI is outside of the scope of DDS, use Administrative Closure to close the open RORI.
		c. Contact the submitting individual to inform him/her that the RORI is outside of the scope of DDS and provide guidance as to how to appropriately get the concern addressed.
		d. Enter information from RORI into RORI/TA Database.
7.	Regional Office Manager	a. Complete Administrative Closure providing information about the guidance given to the submitter. (Note: Only Regional Office Managers have the option to use Administrative Closure.
8.	Regional Office Mailbox Manager	a. Print the RORI, Date stamp the form, Enter RORI information into RORI/TA Database along with the name of the Regional Office Staff who will be responsible for Technical Assistance.
9.	Regional Office Staff	a. Within five working days of receipt in RORI mailbox, review RORI form and determine what; if any, Standard, Regulation or Policy is not being followed. Enter this into the RORI/TA Database for the assigned RORI along with the accompanying DHI Interpretive Guideline (for Standards issues only).
		b. Initiate an electronic TA form in the RORI/TA Database that will be used to address the concerns of the RORI. Ensure that the Standard, Policy or Regulation that is related to the situation is indicated on the electronic TA Form in the RORI/TA Database.

		c. Within five working days of receipt in the RORI mailbox, contact the individual who has submitted the RORI form to gather additional information and discuss their expectation for closure of the RORI form.
		d. Take action necessary based on the information on the RORI and through communication with the individual who submitted the form.
		e. As necessary, utilize the Regional Office Nurses, Clinical Services Bureau and/or Office of Behavioral Services to assist in providing Technical Assistance to address the RORI. All RORI related to guardianship concerns shall be copied to the IAA Unit. The RO shall update the specialty services tracking sheet and submit updates to CSB. CSB shall follow the established guidelines for specialty services and provide assistance to the assigned regional staff.
		f. Determine if the referral is related to the any of the incident history on the IMB reports.
		g. Determine if provider specific referrals are part of a trend, if so pull last QMB report and associated corrective action plan with documentation submitted to address deficiencies.
		h. Determine if the referral is related to any of the findings in the QMB report.
		i. Document on the associated electronic TA Form in the RORI/TA Database any actions to be taken by the team/provider to address the concern.
		j. As necessary refer observational follow up to Quest for Jackson Class Members Only. (Note: Quest will not provide the technical assistance, but Quest will be available to observe implementation and gather documents.)
		k. For Jackson Class Member referrals, utilize DDS/Quest meetings to ensure all compliance activities are addressed.

		l. Note on the associated electronic TA Form in the RORI Database all follow-up activities taken by DDS or Quest to assure compliance with relevant Standard, Regulation or Policy.
		m. Collect all documents gathered to address concern and organize in hard copy file by referral/RORI.
		n. Note all gathered documents on associated electronic TA form in the RORI/TA Database.
		o. If activities taken did not assure compliance, refer issue to Regional Office Manager for appropriate next steps, e.g. implementation of Civil Monetary Penalties or Internal Review Committee proceedings.
10.	Regional Office Manager	a. For all referrals that DDS action did not assure compliance, proceed with Civil Monetary Penalties or Internal Review Proceedings as appropriate. Document all activities in the RORI/TA Database
11.	Regional Office Staff	a. If all activities have been taken and the referral is recommended for closure, request approval of closure from individual who originally submitted RORI/Referral.
		b. When approval of closure has been received, submit hard copy file of documents to Regional Office Mailbox Manager.
		c. If approval of closure is not received in five working days, submit hard copy file of documents to Regional Office Mailbox Manager.
12.	Regional Office Mailbox Manager	a. Review all documents submitted and activities documented on electronic TA form in RORI/TA Database for both those referrals that have a approval of closure and those that the approval was not received to assure compliance with Standard, Regulation or Policy.

		b. For both those referrals that have a approval of closure and those without a approval of closure, if the referral has not been adequately addressed to assure compliance, submit file and recommendations for action to Regional Office Staff assigned to the referral originally.
		c. If the referral has been adequately addressed to assure compliance, submit hard copy file and recommendation for closure to Regional Office Manager or Designee.
13.	Regional Office Staff	a. If the referral has been returned by the Regional Office Mailbox Manager, follow guidance offered and procedures in 8. above.
14.	Regional Office Manager or Designee	a. Review all documents submitted and activities documented on electronic TA form in RORI/TA Database for both those referrals that have a approval of closure and those that the approval was not received to assure compliance with Standard, Regulation or Policy.
		b. For both those referrals that have a approval of closure and those without a approval of closure, if the referral has not been adequately addressed to assure compliance, submit file and recommendations for action to Regional Office Staff assigned to the referral originally.
		c. If the referral has been adequately addressed to assure compliance, submit hard copy file and authorize Regional Office Mailbox Manager to close.
		d. If the referral needs an Administrative Closure due to refusal of individual who originally submitted referral to provide approval of closure, complete Administrative Closure on RORI/TA Database.
15.	Regional Office Mailbox Manager	a. Print out hard copy of TA Form and file with hard copy document file.
		b. Submit hard copy file to Regional File Room Staff for maintenance.

16.	Regional File Room Staff	a. Organize, Store and Maintain all hard copy files per Regional Office specific procedures.
17.	Director of Regional Offices or Designee	a. Quarterly and annually, complete a trend analysis on the referrals from the RORI/TA Database to include: <ol style="list-style-type: none"> 1. Nature of issues 2. Providers 3. Client 4. Individual Submitting 5. Regional specific issues 6. Statewide concerns 7. Jackson Class Member
		b. Develop plan of action both regionally and statewide to address trends. Submit plan to Regional Office Managers for implementation.
18.	Regional Office Manager or Designee	a. Implement plan to address trends.

VI. LIST OF ATTACHMENTS