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Policies & Procedures

To Be Removed

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NO.	Section	Pages	NO.	Section	Pages
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Following are the significant changes made to the Policy and Procedures

Section	Change Clarification



Heather Babbitt, Senior Administrator

10-7-15

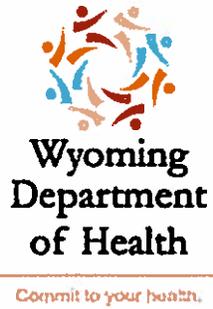
Date



Debbie Walter
Program Manager

10/6/15

Date



Wyoming Aging and Disability Resource Center

Policies & Procedures
Manual

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Introduction to Wyoming Aging and Disability Resource Center

The Wyoming Aging and Disability Resource Center (WyADRC) program is authorized by the State Of Wyoming through W.S. §42-6-109. WyADRC is a fully State Of Wyoming funded program. WYADRC is charged with providing statewide Information and Referral/Assistance directed toward those citizens aged 55 years and older as well as those living with a disability over the age of 18, their families, friends, caregivers and healthcare providers.

The program will provides five basic services for eligible individuals. These services include: information and referral, limited non-medical case management, benefits counseling, resource coordination, and eligibility application assistance.

WyADRC is granted out to one (1) provider in Wyoming. Every four (4) years the program is put out for a competitive application via the Request for Proposals (RFP) process. Years two (2) through four (4) are continuation grant years, in which the organization who is awarded the grant in the competitive year, houses and maintains the program.

In order to apply to be a provider for the Wyoming Aging and Disability Resource Center program in Wyoming, an organization must apply during the competitive RFP process year. At this time, public notices are published in the Casper, Cheyenne and Billings, MT newspapers. Organizations then request an application from the procurement office, based upon the instructions of the public notice, in order to apply. If there is more than one applicant, a team of objective individuals will be gathered to score the applications submitted and the grant funds will be awarded to the highest scoring applicant.

When an organization applies to become a provider of WyADRC, they describe in detail how they will provide all services. The organization shall employ at least two individuals who are trained by the division to serve as Options Counselors who will provide the non-medical case management, benefits counseling, resource coordination and eligibility application assistance. Options Counselor training is provided by the Division at least one time per year, with individualized trainings available as needed throughout the year.

In order to be eligible for the WyADRC program, clients must be 55 years or older, over the age of 18 and living with a disability, a family member, friend, care giver or healthcare provider. The services provided by the WyADRC are offered free of charge. However, some agencies that clients will be referred to may charge for their services. When possible this will be clarified for the client before the referral is made.

Definitions

ADRC – Aging and Disability Resource Center – A system of service delivery where clients are referred to and connected with services and supports intended to assist them with their care.

Case Management - is a collaborative process of assessment, planning, facilitation, care coordination, evaluation, and advocacy for options and services to meet an individual's and family's comprehensive service and support needs through communication and available resources to promote quality, cost-effective outcomes.

Days. Calendar days.

Department. The Wyoming Department of Health.

Disability. Per the ADA Amendments Act of 2008, a physical or mental impairment that substantially limits one or more major life activities.

Division. Aging Division.

Eligibility Application Assistance - Support for those consumers who are eligible for publicly and/or privately funded programs; to learn about their choices and assist them in accessing the program(s) they have selected.

Family Member. A person such as a spouse, parent, stepparent, parent-in-law, child, stepchild, child-in-law, sibling, half-sibling, stepsibling, sibling-in-law, grandparent, step-grandparent, grandparent-in-law, and grandchild.

Fiscal Year. An accounting period of twelve months starting July 1 through June 30.

Grantee. An organization that provides services outlined in an approved grant funded by the Division.

I&R/A – Information and Referral/Assistance

Initial Assessment. Determining the status of the client for service (s) that can be addressed by the program. This will be completed as specified by the Division.

Options Counselor. A person trained by the Wyoming Department of Health, Aging Division, Community Living Section to provide long-term care options counseling. This type of counseling focuses on client education and is often provided when an individual is planning for or experiencing a life change.

Outreach. Educating, identifying and establishing contact with agencies, organizations, and individuals who will partner with and support the WyADRC and its mission.

Senior Citizen. For WyADRC purposes, any person 55 years of age or older.

Short-term Case Management – Resource Coordination – Non-medical WyADRC services that are intended to assist the consumer in securing supports and services. They are of limited duration, typically consisting of one or several contacts with a particular consumer.

Unmet needs - Situations where no services are available. A pattern of individual unmet needs may lead to identification of service gaps at the service delivery system level.

Unsafe. Threatening, dangerous or posing physical or emotional harm.

Warm Transfer – When WyADRC staff is able to directly transfer a caller to the referral. Warm transfers require the WyADRC staff to stay on the line and identify themselves before completing the transfer. This way, if there is no answer, they are able to return to the caller and explain there was no answer and make an offer to provide a warm transfer to another resource if appropriate.

Community Living Section

The Community Living Section (CLS) is a section within the Wyoming Department of Health's Aging Division. The CLS houses multiple programs, primarily under the direction of the Older Americans Act of 1965.

Provider Organizations

Once a provider organization is awarded the Wyoming Aging and Disability Resource Center grant funds, they will begin to serve Wyoming's eligible citizens on July 1st of the fiscal year. .

Employees

The provider organization will need to hire and train the appropriate staff to provide services.

- ***New Employee Orientation:*** All staff shall have a general orientation completed during the first week of employment and prior to direct client contact. Documentation of this orientation shall be kept in each employee's personnel file. This orientation shall include, but is not limited to:
 - Confidentiality and HIPAA;
 - Client rights and responsibilities;
 - Elder and disabled abuse and reporting procedures;
 - Communication;
 - Orientation to the resource database, initial assessment and follow-up processes;
 - Reporting requirements;
 - Understanding and working with various client populations; and
 - Understanding basic human needs.
- ***Options Counselor:*** The WyADRC shall employ at least two Options Counselors. Prior case management and/or resource coordination experience is preferential for an Options Counselor, but not the only consideration. The Option Counselor's responsibilities include, but are not limited to:
 - Receives requests for services;

- Conducts initial assessments to help determine client needs.
- Assists in making referrals;
- Assists clients in applying for programs they may be eligible for.
- Assists clients in coordinating services and supports that will meet their needs.
- Enters client data into the SAMS system on a daily basis.
- Conducts follow-up on each client within 30 days after the case is closed.
- Re-opens a case if further client needs are identified during follow-up.
- **Intake Personnel:** The provider organization must employ at least one intake staff. The intake person's responsibilities include but are not limited to:
 - Answering ADRC calls as they are received;
 - Have an expert-level familiarity with the resource database;
 - Possess a working understanding of the services offered by and eligibility requirements of the database listings;
 - Understand effective customer service, particularly as it relates to the target population;

Each year, the WyADRC program manager will provide ADRC staff with appropriate training to help staff stay knowledgeable and up-to-date with state program information, reporting requirements and best practices.

SAMS Personnel: The provider organization must ensure all daily Wyoming Aging and Disability Resource Center client activity is entered into the Social Assistance Management Software (SAMS) program. Personnel required to input data into the SAMS system must have a license to access the program and must be trained by CLS staff. The CLS will purchase one (1) SAMS license per provider organization, if the provider organization wishes to obtain more than one (1) license, they have the opportunity to purchase licenses.

Required Reporting

Data Tracking

There are multiple ways in which the services provided through Wyoming Aging and Disability Resource Center is tracked and subsequently reported to CLS.

- **SAMS Data Entry:** All services provided through Wyoming Aging and Disability Resource Center are expected to be entered into the SAMS program on a daily basis and no later than the 8th working day of the month following. Much of the information requested on the quarterly fiscal reports and the quarterly program reports is pulled from the SAMS program. Please refer to the SAMS section of this manual for additional information.
- **Quarterly Cost Containment Analysis Reports:** Based upon the state fiscal year, from July 1 to June 30, cost containment analysis fiscal reports will be submitted to the CLS, WyADRC program manager quarterly. Training on the proper method to produce and prepare the quarterly cost containment analysis fiscal reports as well as the template for the report will be provided by the CLS Program Manager prior to October 1st. The due dates are as follows:
 - October 15
 - January 15
 - April 15
 - July 15

- **Quarterly Program Reports:** Also, based upon the state fiscal year, from July 1 to June 30, program reports will be submitted to the CLS, WyADRC program manager quarterly. The quarterly program reports will contain information not reported in SAMS and having to do with client documentation and narratives. The report template will be developed by the CLS Program Manager and given to the provider prior to October 1st of each fiscal year. The due dates are as follows:
 - October 15
 - January 15
 - April 15
 - July 15
- **Year-End Close Out Report:** This report is only used when a year-end payment and/or adjustment is required. The CLS Program Manager will create and provide this form to the provider organization if necessary, at the end of the fiscal year.
- **Monthly Budget Report:** The CLS may choose to require a provider organization to submit monthly budget reports. Please note that this is only by special request from CLS. The monthly budget report form will be created and provided by the CLS program manager.

Financials

When a provider organization submits an application for WyADRC grant funds, it is required that the organization turn in a full, detailed proposed budget for all funds that will be used for the program. This includes the requested state funds, local funds, in-kind, and any other sources of funds that will be used for WyADRC.

- **WyADRC State Funds Amount:** Each provider will be notified of the allotted amount of WyADRC state funds they can request. This will be done when the grant application is sent out to the provider, in the Spring of each year.
- **In-Kind Funds:** In-kind funds come in the form of the value of personnel, goods, and services. Provider organizations must document the contributed resource of value.
- **Direct Services:** Direct services must account for at least 70% of WyADRC grant funds. Direct services are directly related to delivering goods, services or work effort to recipients or customers of the WyADRC program. Direct costs generally include: salaries or wages including vacations, holidays, sick leave and other excused absences of employees working, other employee fringe benefits allocable on direct labor employees, consultant services contracted to accomplish specific WyADRC grant/contract objectives, travel of direct labor employees, materials, supplies and equipment purchased directly for use on the WyADRC grant, and communication costs such as long distance telephone calls or telegrams identifiable with the WyADRC grant.
- **Indirect Costs:** Indirect costs must not exceed 30% of the WyADRC funding amount; representing the expenses of doing business that are not readily identified with the WyADRC grant. Indirect or administrative costs generally include: general administration and expenses, such as the salaries and expenses of executive officers, personnel, administration and accounting, depreciation or use allowances of buildings and equipment, costs of operating and maintaining facilities, audit expenses, computing services, utilities, or custodial services.

Client Eligibility

W.S. §42-6-109. States that, "The department is authorized, using competitive grants and contracts, to fund a statewide network of aging and disability resource centers.

Locations of the Aging and Disability Resource Centers shall be determined by the Department of Health, Aging Division. In selecting locations for Aging and Disability Resource Centers, the Department of Health, Aging Division shall require a degree of local community funding, which may include in kind contributions, for a center or office space.

The purpose of each center shall be to create a single, coordinated system of information and assistance for all persons seeking long term support. Each center shall assist eligible persons in making informed decisions about health care access and long term care service and support options and shall serve as a referral agency to the long term care support system. Centers shall provide information and assistance to individuals needing either public or private resources, professionals seeking assistance on behalf of their clients and individuals planning for their future long term care needs.

- ***Eligibility for WyADRC:*** In order to be eligible for the Wyoming Aging and Disability Resource Center program, a potential client must be at least 55 years of age or 18 years of age and living with a disability, family, friends and healthcare providers of eligible clients.
- ***ADRC Initial Assessment:*** Each caller will be assessed using the ADRC Initial Assessment in order to determine what type of ADRC service will most serve their needs. The data collected will be entered into the SAMS system on a daily basis.
- ***Exceptions:*** Potential recipients may still be eligible, even if they do not meet the eligibility requirement, if they have a need for services to prevent inappropriate or premature institutionalization. This is determined on a case by case basis, at the discretion of the Options Counselor and CEO of the provider agency.

Local Policies

Local policies are policies that provider organizations have put into place to govern day to day business. Each provider organization may have multiple local policies that they follow. The CLS does have some topics that require a provider to maintain a policy on.

Required Local Policies

- ***Adult Protective Services (APS) Policy:*** Each provider organization must have an APS policy in place. This policy must define what abuse, neglect, and exploitation are and provide a process in which employees can follow if they suspect abuse neglect, or exploitation of a Wyoming Aging and Disability Resource Center client.
- ***Tips, Gratuities, and Gifts Policy:*** Staff members who are employed with the Wyoming Aging and Disability Resource Center program are prohibited from accepting any and all individual gratuities, gifts, property, tips, or other incentives from the consumer or the consumer's family. Under no circumstances will it be acceptable for any staff to accept cash or cash equivalent as an individual gift, gratuity or additional payment for services. Each funded contractor shall develop a written policy and procedure to enforce this policy.

- **Emergency Preparedness Plan:** Each provider shall have an emergency preparedness procedure in which all staff will be trained in. A disaster or emergency may be a local, community, regional, or statewide event. Disasters or emergencies may include, but are not limited to:
 - Tornadoes;
 - Fires;
 - Floods;
 - Blizzards;
 - Power outages;
 - Vehicle wrecks;
 - Declared health crises.

Services

The Wyoming Aging and Disability Resource Center program provider is obligated to provide the following services:

- **Information and Referral Assistance** – Utilizing the ADRC Resource Database and other sources, provide information to the eligible individuals about supports and services that will help them meet their needs.
- **Options Counseling**
 - **ADRC Initial Assessment:** The Intake Staff will determine client eligibility using the ADRC Initial Assessment. When a client has a need for more in-depth assistance to access services and supports, they will be referred to the Options Counselor.
 - **In-Depth Need:** A client who requires short-term case management in order to create a system of service delivery designed to meet their needs. This may include but not be limited to:
 - eligibility application assistance,
 - creation of a team of supporters (family, friends, healthcare providers, etc.) who will assist with the planning of a system of service provision,
 - making necessary contact with service providers and meeting with the client on a face-to-face basis.
- **Follow-Up**
 - **Thirty-Day Follow-Up:** Each client must receive a telephone follow-up call to determine whether or not their needs have been met and whether or not they require additional ADRC assistance. The follow-up information will be entered into the SAMS database on a daily basis.

- **Outreach**

- ADRC staff is obligated to perform at least 24 outreach events throughout the fiscal year. These will include but not be limited to:
 - Health fair representation – ADRC staff must make every effort to attend as many health fairs as possible to represent the ADRC and educate the general public about the program.
 - Community organizations – Whenever possible ADRC staff must represent the ADRC at community organization events.
 - Relationship with service providers – A regular schedule of meetings between ADRC staff and senior centers will be established. The staff attending will be at the discretion of the service provider CEO. Other service providers must be met with face-to-face and on a regular basis. The goal being to create familiarity with and understanding of the ADRC.

Legal Matters

WyADRC Staff shall not have guardianship or power of attorney of WyADRC clients. If guardianship or power of attorney is previously established due to the client being immediate family, that WyADRC staff shall not provide care coordination or direct services to that client. An alternate WyADRC staff will need to provide services to that client. If there is no alternate WyADRC staff, the service provider CEO or designee shall assume the care coordination for that client.

- ***Legal Representatives:*** Legal representatives can be guardians, power of attorneys, etc. Legal representatives can sign on behalf of the client in the event the client is unable to sign WyADRC documents. Legal representatives must provide documentation, to the provider organization, such as power of attorney or guardianship documents before signing on behalf of the client. Any forms of documentation must be notarized. A copy of the documentation must be kept in the client file, with the document dated when received. Any updated documentation shall be kept in the client file in chronological order.
- ***Advanced Health Care Directives:*** If a WyADRC client has documentation on his/her wishes regarding performing cardiopulmonary resuscitation (CPR), this documentation can be in the client file. It is the client and/or family's responsibility to make sure there is a document stating the client's wishes posted in the client's home in clear sight of any provider staff or EMS staff. Providers shall have a policy regarding advanced directives, CPR, and emergency procedures.

Client Files & Documentation

- ***Client Files:*** The provider must maintain a file for each client receiving Wyoming Aging and Disability Resource Center services other than simple Information and Referral. All CLS issued WyADRC forms shall be kept in the client files, please see the 'Forms' section of this manual for additional information on each form. Each WyADRC file should be kept separate from any other program file a client may be receiving. Case files shall be confidentially maintained in a locked container or a locked room. A log should be maintained stating each authorized staff member that has access, this room or container should be locked when authorized staff are not present. All major activities related to the WyADRC client are to be documented and recorded in the case file. This includes but is not limited to:
 - Initial referral documentation;
 - HIPAA documents;
 - Evaluation information;
 - Services provided;
 - Follow-up visits and information;
 - Service providers' notes;
 - Any related client information
 - Information that is related to the coordination of care, communication, and client safety.

- **Service Documentation:** Staff providing services to clients will document the services rendered and other information in order to aid in communication and coordination of services for the client, monitor service quality, and take credit for what is done. All documentation must include date and time. Time shall be either in AM/PM or military time, the entire organization must use the same method. Each time a staff member documents, the entry should be authenticated with the staff member's initials. All documentation should be completed with blue ink; white out should never be used. Entries shall be specific and objective, opinions, complaints, and/or emotions are not to be included in client files. All staff should be trained on proper documentation; training for this is provided yearly at the WyADRC Staff training and upon special request.
- **Accident & Incident Documentation & Reporting:** All witnessed and un-witnessed accidents and incidents (falls, etc.) occurring with a current client must be documented in an official report in the client's file. If a client falls or becomes injured in the presence of ADRC staff:
 - Emergency medical services (EMS) must be contacted to assess the client's potential injuries;
 - If a client refuses EMS services when they arrive, this should be documented;
 - The client's emergency contact must be notified.

Forms

The Community Living Section has distributed various forms that must be used for the Wyoming Aging and Disability Resource Center program. These forms shall not be used for any other program, unless specifically instructed to do so by CLS staff. All forms are attached to this manual, along with instructions, if applicable.

- **ADRC Initial Assessment:** Each WyADRC client must have an ADRC Initial Assessment completed upon initial contact. These records shall be kept in the WyADRC client's chart, in chronological order.
- **ADRC Service Plan:** If a client is referred to an Options Counselor due to In-Depth Need, A WyADRC service plan is developed based upon the ADRC Initial Assessment, in conjunction with the client's statement of needs. The service plan shall state the specific services to be provided and the frequency in which those services are to be provided. If a new service plan is completed, the Options Counselor shall place the original in the client file, and provide a copy of the service plan to the client.
- **Follow-Up Assessment:** A Follow-Up Assessment will be completed for each WyADRC client thirty days after the case is closed. If during the follow-up assessment it is determined that the client still has un-met needs, the WyADRC staff will re-open the case and assist the client with the new needs. The *ADRC Case Continuation Form* must be completed and entered into the client's file. A follow-up assessment must be completed thirty days after re-opening a case.

Suspension and Termination of Services

Suspension or termination of WyADRC services may be conducted in various situations with clients. Please follow the listed protocol for situations that may involve a suspension of services or termination of services.

- ***Suspension of Wyoming Aging and Disability Resource Center Services:*** Suspension of WyADRC services means putting one or all services on temporary hold until an issue is resolved. WyADRC services may be suspended for the following reasons:
 - Lack of cooperation on the part of the client;
 - Conflict of interest;
 - Lack of available services.

Reasons for suspension are not limited to the previous stated reasons. Upon the identification that a service needs to be suspended, the WyADRC staff shall discuss the issue with the client and send a suspension letter. The Suspension Letter shall include the following:

- The effective date of the suspension;
 - Under what circumstances suspension may be lifted;
 - A contact name for WyADRC;
 - A contact number for WyADRC.
- ***Termination of Wyoming Aging and Disability Resource Center:*** Termination of WyADRC services means permanently ending all services with a client. A WyADRC client may be terminated for the following reasons:
 - Continued lack of cooperation on the part of the client;
 - Conflict of interest cannot be resolved;
 - Complete lack of available services;
 - The client or client's family impedes the provision of services;
 - The provider has a reduction of funding or services;
 - The provider ceases to operate with no transferring of services;

For the above reasons, providers must provide, within fourteen (14) business days, written and advance notice of the intent to terminate services. The letter of notice of termination must include:

- The reason for termination
- The end date of services
- An explanation of the client's right to personal and/or third party representation at all stages of the termination process
- Contact information for the Long Term Care Ombudsman Program
- The client's right to dispute the termination from services to the provider's director and board chair.

The letter must be on the provider organization's letterhead, and it shall be sent certified mail. The provider may provide services during the dispute process. If the client does not meet the deadline for dispute submittal, the dispute process ceases.

A client may be terminated immediately from the program and services may not be provided during the dispute process if:

- The client or client's family creates a hostile, dangerous or unsafe work environment for employees;
- The client becomes a danger to self or others.

For the above reasons, providers must provide notice of immediate termination of services. The letter of notice of immediate termination must include the same items listed above for the notice of termination of services.

- **Dispute Process:** Upon receipt of the provider's letter of decision regarding the dispute, if the client disagrees with the decision then the client may dispute the decision with the Aging Division, Community Living Section. The client must write to the Division within five (5) calendar days of the date of the provider's decision letter. The letter to the Division must outline the client's desire for a dispute of the termination and the reason(s) why. This letter must be received by the Division within the five (5) day period. The Division shall make a decision regarding the client's dispute within five (5) calendar days. The Division will then write to the client with the decision within that five (5) calendar day period.

Program Transfer

If the program is to be transferred from one provider to another, it is the responsibility of the transferring provider to inform clients of the impending change in writing, within fourteen (14) days prior to contract termination. The letter to the client must include:

- The name of the new provider;
- The name and phone number of the contact person with the new provider;
- Assurance that the client will not be arbitrarily dropped from the program due to the transfer;
- A statement informing the client that an initial assessment will be required and will occur within ninety (90) days of the transfer;
- The date of the transfer.

Confidentiality

All program and client information is subject to the Health Insurance Portability and Accountability Act (HIPAA) and the Health Information Technology for Economic and Clinical Health Act (HITECH). Program staff shall be trained on HIPAA and HITECH. All client files must be secured according to HIPAA and HITECH standards. Please use the Business Associate Agreement (Attachment B), attached to your contract, to implement the specific standards of these Acts.

SAMS' Services and Sub-services for WyADRC

COMING SOON