

NC MDS 3.0 Section Q Referral Response Toolkit

North Carolina Department of Health & Human Services
Division of Aging and Adult Services



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Introduction

On October 1, 2010, nursing facilities across the country began using a new iteration of the Minimum Data Set, called MDS 3.0. The new version includes a revised Section Q. With guidance from the U.S. Center for Medicare and Medicaid, the DHHS' Divisions of Medical Assistance, Aging and Adult Services, and Health Service Regulation, and other stakeholders, finalized the required referral process as part of the MDS 3.0 Section Q implementation.

MDS 3.0 Section Q Referral Process in North Carolina

MDS 3.0 Section Q requires that when a person who lives in a nursing facility indicates an interest in speaking with someone about the possibility of returning to the community, nursing facility staff must call **1-866-271-4894** to submit the referral. Referrals go to trained call center staff who are available 9 am to 5 pm, Monday through Friday.

The Local Contact Agency

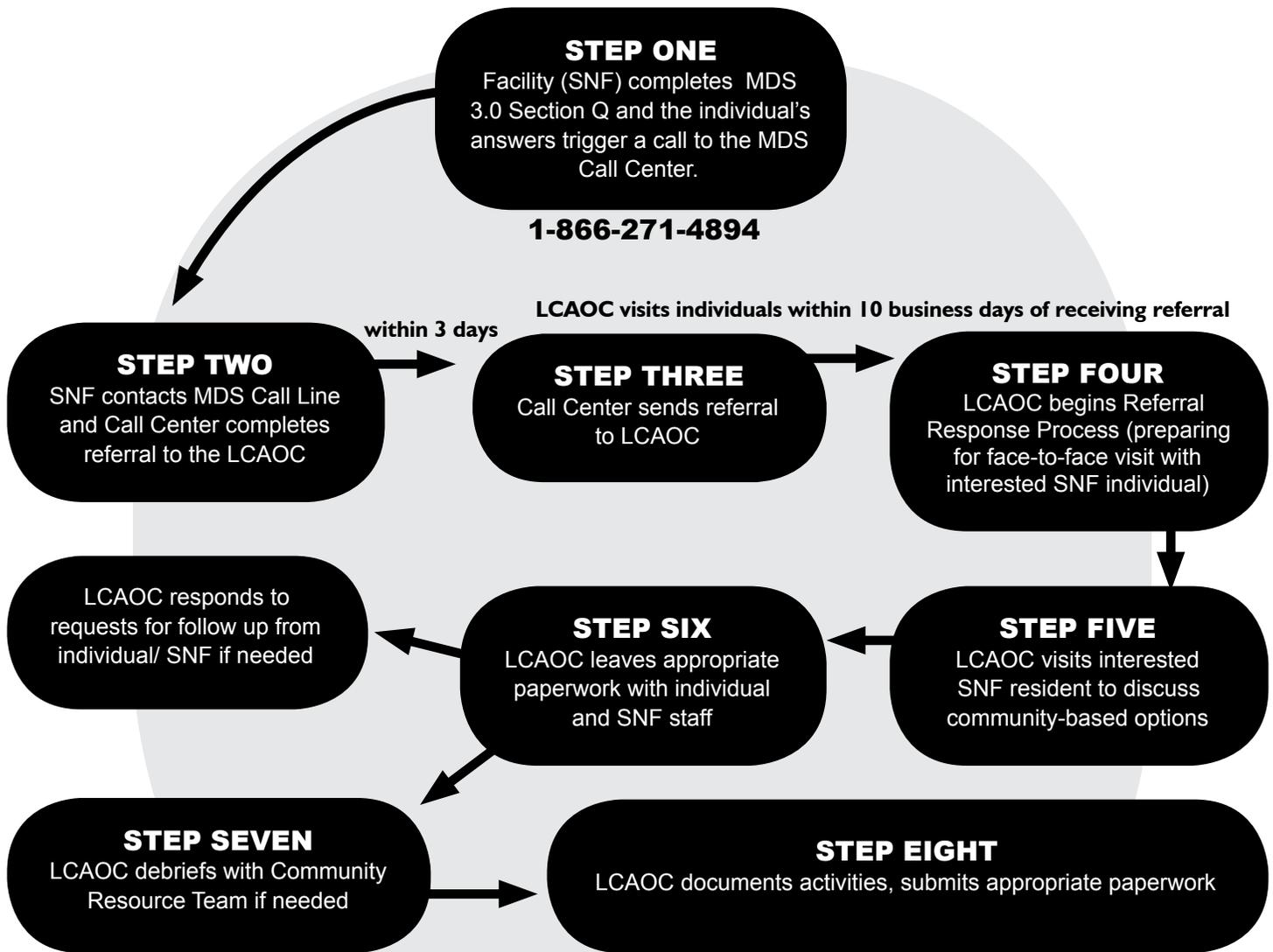
Call center staff forward the facility's referral to the appropriate local agency for a face-to-face follow-up meeting with the interested person.

The Local Contact Agency (LCA) is a local community organization designated by the Division of Aging and Adult Services. LCA staff, who are certified Options Counselors, are responsible for contacting the referred individuals and providing information about community support options. LCA staff coordinates the face-to-face conversations with the Local Contact Agency Options Counselor, the individual living in the nursing facility, the nursing facility's point of contact and, as appropriate, family members or other persons who support the individual.

Link to listing of current LCA contacts:

<http://www.ncdhhs.gov/aging/aaa.htm>

LCA Referral & Response Flowchart of LCAOC Activities



Post Face-to-Face LCA Options Counselor:

1. Completes Personal To Do List Form and leaves with individual
2. Completes Facility Communication Form and leaves with facility staff
3. Responds (as needed) to requests for follow-up, consults with SNF, obtains written consents, and make referrals
4. Follows up as needed with Community Resource Team
5. Documents activities

Responding to a Referral

Purpose

The LCA Options Counselor along with the individual will:

- Explore the person's preferences and expectations associated with community living
- Gather information about appropriate long-term services and supports needs
- Share information about resources for community-based, long-term services and supports

During visitations in a nursing facility, interaction with the individual is the primary source of gathering information about the quality of life and care on a daily basis, as well as, needed services and supports for successful transition.

- At first, the individual may seem reluctant to talk with you and may not know who you are or understand the purpose of your visit. It is critical that you take some time to establish a rapport with the individual. This may take a few minutes and patience.
- It is important to practice active listening skills. Often interview conversations will disclose details about the care needs that may not be apparent to the eye.
- You may suspect the person you interview is cognitively impaired. If so, continue your conversation using a calm, soft and slow voice. Avoid invalidating his/her perceptions of reality. This can lead to distrust or agitation towards the interviewer. You may determine that the support of a surrogate decision-maker or a legal representative is needed.
- Respect the individual's confidentiality. Be sure to get the individual's permission before you talk with anyone. When the individual agrees to have you make a referral, the appropriate consent form(s) need to be signed, authorizing the disclosure of their information. A sample consent form can be found at:
<http://www.ncdhhs.gov/aging/LCA-Form.pdf> .
- A framework for the interview includes discussion about:
 - o the person's move to the nursing facility
 - o the services and supports (care) the person receives
 - o moving to the community
 - o services and supports available if a move is considered
 - o the steps required for a move to community living
 - o what must be done to have a safe and successful move
 - o having an opportunity to change their mind and select a different direction at any time

- Following the discussion, these activities should occur:
 - o complete a Personal To Do List form
<http://www.ncdhhs.gov/aging/LCA-PersonalToDoList.pdf>
that would be left with the individual
 - o complete a Facility Communication Form to leave with the facility contact or mailed to that contact within 5 days
 - o schedule a follow-up contact date and time

Confidentiality

Respect the individual’s confidentiality and obtain permission before you talk to anyone. Use of an individual’s name requires permission of the individual or his/her legal representative. In cases where the individual agrees to have you make a referral, they must sign the appropriate consent form authorizing the disclosure of personal information. You can find Consent Forms at: <http://www.ncdhhs.gov/aging/LCA-Form.pdf>

This LCA interview is not designed to be a complaint intake. If the individual voices a complaint and asks for help resolving an issue, one of the following steps should be taken:

- Suggest the person discuss the matter with the Facility Social Worker or Administrator
- Give a brief explanation about the Long-Term Care Ombudsman Program and encourage the person to make contact with the Ombudsman.
<http://www.ncdhhs.gov/aging/ombud.htm>

Nursing Home Bill of Rights

<http://www.ncdhhs.gov/aging/rights.htm#r2>

Training

LCA Options Counselors are required to complete an application and begin the certified Options Counseling (OC) Curriculum within 30 days of being hired/designated as an LCA Options Counselor. Options Counselor Certification Standards and application can be found here:

http://www.ncdhhs.gov/aging/options_counseling_standards.pdf

- LCA Orientation (include Medicaid Reference Guide at: <http://www.ncdhhs.gov/aging/NC-MedicaidGuide.pdf>)
- OC On-line Training

- Quality of Life Survey Training
- MFP 101 Training

Conducting an Interview

The LCA Options Counselor should view the LCA contact checklist as a framework to engage the individual in an initial discussion about transition. The checklist is not all encompassing and should not substitute for common sense and/or professional judgment.

LCA Checklist can be found at: <http://www.ncdhhs.gov/aging/LCA-Checklist.pdf>

LCA Options Counselor should talk with the individual about next steps needed for a successful transition:

- Individual will need to have a conversation with the facility social worker about the desire to transition.
- Individual will need to participate with the interdisciplinary care plan team to develop a discharge and transition plan of care.
- During the conversation with the care plan team, the individual should discuss the need for any additional information that may be helpful in planning for transition.
- Referrals can be made to agencies within the community that may assist with services and supports necessary for transition.
- A consent form must be signed if the Certified Options Counselor is to make referrals on behalf of the individual who is considering transition.
- If referrals are to be made to an outside entity, the facility social worker or the facility contact person on the initial referral request must be informed.
- Prepare and complete Personal To Do List Form:
<http://www.ncdhhs.gov/aging/LCA-PersonalToDoList.pdf> to leave with the individual.
- Complete the Facility Communication Form found at:
<http://www.ncdhhs.gov/aging/LCAgency-FacilityCommForm.pdf> to be left with the facility or mailed within 5 days.
- Schedule a follow-up contact time/date.
- Remind the individual that there is no obligation to move or change and that the process can be stopped at any time.

Additional Links to Resources

State Resources

North Carolina State Divisions and Programs-

- **Aging and Adult Services** – Division offers a variety of services for older adults, persons with disabilities and their families and care givers.
919-855-3400 (voice and TTY)
<http://www.ncdhhs.gov/aging/>
- **Area Agency on Aging** – offices established through the Older Americans Act that serve to facilitate and support the development of programs to address the needs of older adults in a defined geographic region and support investment in their talents and interests.
<http://www.ncdhhs.gov/aging/aaa.htm>
- **Assistive Technology Program** – Provides assistive technology (AT) services to people of all ages.
919-850-2787 (voice/TTY)
<http://www.ncatp.org>
- **Client Assistance Program** – Offers assistance in understanding and using rehabilitation services.
1-800-215-7227
<http://cap.state.nc.us>
- **Equipment Distribution Program (EDP)** – Provides specialized equipment (telephones, hearing aids, communication devices, alerting devices and weather alerts) at no charge to financially qualifying residents of NC who are deaf, hard of hearing, deaf-blind, or have speech disabilities.
919-874-2212
<http://www.ncdhhs.gov/dsdhh/services/telecommunications.htm>
- **Health Service Regulation** – Division: 1) oversees medical, mental health and adult care facilities, emergency medical services, and local jails, 2) checks to see that people receiving care in these facilities are safe and receive appropriate care and 3) makes certain that medical buildings are built only when there is a need for them.
Complaint Hotline: **1-800-624-3004 (within N.C.) or 919-855-4500**
Complaint Hotline Hours: 8:30 am - 4:00 pm weekdays, except holidays.
<http://www.ncdhhs.gov/dhsr/>

- **Housing** – NCHousingSearch.org helps people locate available apartments, rental homes, and other housing that fits their needs. This service can be accessed online 24 hours a day and through a toll-free, bilingual call center, Monday - Friday, 9:00 am - 8:00 pm.

1-877-428-8844 (toll-free)

<http://www.nchousingsearch.org/>

Housing by Location - The North Carolina Housing Coalition is a private, non-profit membership organization working for decent, affordable housing that promotes self-determination and stable communities for low- and moderate-income North Carolinians.

Hours: Monday - Friday, 8:30 am - 5:00 pm.

919-881-0707

http://www.nchousing.org/need_help/housing_location/

Housing Finance Agency - The Mission is to create affordable housing opportunities for North Carolinians whose needs are not met by the market. Use Housing Resource Guide to:

- Help provide referrals to individuals considering transition.
- Facilitate networking with other organizations.

919-877-5700

<http://www.nchfa.com/Applications/HRG/HRGSearch.aspx>

- **Independent Living Rehabilitation Program** – Part of the Division of Vocational Rehabilitation that provides services to eligible individuals who have severe disabilities. Services include counseling and guidance, personal care assistance, home and vehicle modifications, assistive technology, etc.

919-855-3500 (voice/TTY)

<http://www.ncdhhs.gov/dvrs/pwd/ils.htm>

- **Library for the Blind and Physically Handicapped** – Public library that circulates digital and large-print copies of books and magazines benefitting people that have visual or physical disabilities.

1-888-388-2460

<http://statelibrary.ncdcr.gov/lbph/>

- Living Healthy** – The North Carolina Division of Aging and Adult Services (DAAS) and the Division of Public Health (DPH) have mobilized a statewide campaign to implement and sustain the Chronic Disease Self-Management Program (CDSMP). This is an evidence-based program developed by researchers at Stanford University. The ultimate goal of implementing Living Healthy (i.e. CDSMP), is to reduce the risk and occurrence of disease and disability among the rapidly increasing number of adults 60 and older.

919-855-3423
<http://www.ncdhhs.gov/aging/livinghealthy/livinghealthy.htm>
- Medical Assistance** – Division that manages Medicaid and offers other services such as, Health Choice programs, Innovations Plus and Money Follows the Person.

919-855-4100
<http://ncdhhs.gov/dma/medicaid/index.htm>
- Mental Health, Developmental Disabilities, Substance Abuse Services** – Offers public services to individuals who have mental health, developmental disability and substance abuse issues.

919-733-7011
<http://www.ncdhhs.gov/mhddsas/>

 - A complete listing of Local Management Entities/Managed Care Organizations can be found at: <http://www.ncdhhs.gov/mhddsas/lmeonblue.htm>
- Money Follows the Person** - A state demonstration project that assists Medicaid-eligible North Carolinians who live in inpatient facilities to move into their own homes and communities with supports.

1-855-761-9030 (toll free)
<http://www.ncdhhs.gov/dma/MoneyFollows/>
- Ombudsman** - Long Term Care Ombudsmen serve as advocates for individuals who live in nursing homes and adult care homes (rest homes/assisted living) throughout North Carolina. Ombudsmen receive and investigate complaints made by or on behalf of individuals who live in facilities and work for their resolution. The Ombudsman Program is an advocacy program, not a regulatory agency.

919-855-3400
<http://www.ncdhhs.gov/aging/ombud.htm>
- Public Health** – Information on health promotion and disease prevention, chronic disease and injury, arthritis and osteoporosis.

919-707-5000 (voice/TTY)
<http://www.publichealth.nc.gov>

- **Services for the Blind** – Services include education, rehabilitation, eye care, and assistive technology.
919-733-9822 (voice/TTY)
<http://www.ncdhhs.gov/dsb/>
- **Services for the Deaf and Hard of Hearing** – Enables equal access, effective communication and full participation in society.
919-874-2212 (voice/TTY)
<http://www.ncdhhs.gov/dsdhh/>
- **Social Services** – Services are offered in cooperation with other public and private entities to protect children, strengthen families, and help all North Carolinians achieve maximum self-sufficiency.
919-527-6335
<http://ncdhhs.gov/dss/>
- **Veterans Affairs Programs** - VA operates the nation’s largest integrated health care system, with more than 1,700 hospitals, clinics, community living centers, domiciliaries, readjustment counseling centers, and other facilities.
1-800-827-1000 – federal
<http://www.va.gov/>
919-807-4250 - state
<http://www.doa.nc.gov/vets/>
- **Vocational Rehabilitation** – Provides services for eligible people who have physical or mental disabilities, including job training, coaching and placement, transportation, and personal assistance.
919-855-3500 (voice/TTY)
<http://www.ncdhhs.gov/dvrs>
- **Workers Compensation** – NC Industrial Commission – The Commission is an agency of the State of North Carolina created by the General Assembly in 1929 to administer the North Carolina Workers’ Compensation Act. In 1949, the Industrial Commission was also given authority by the General Assembly to administer the Tort Claims Act.
919-807-2500
<http://www.ic.nc.gov/index.html>

Federal Resources

- **Medicare** - The federal health insurance program for people who are 65 or older, certain younger people with disabilities, and people with End-Stage Renal Disease.
1-800-633-4227 (1-800-MEDICARE)
<http://www.medicare.gov>
- **Social Security Administration** - Social Security is based on a simple concept: While you work, you pay taxes into the Social Security system, and when you retire or become disabled, you, your spouse and your dependent children receive monthly benefits that are based on your reported earnings. Also, your survivors can collect benefits if you die.
1-800-772-1213 (voice)
<http://www.ssa.gov>

Non-Government Resources

- **Center for Universal Design** – A national information, technical assistance, and research center that evaluates, develops, and promotes accessible and universal design in housing, commercial and public facilities, outdoor environments, and products for people of all ages and abilities.
919-513-0825
<http://www.ncsu.edu/ncsu/design/cud/>
- **Centers for Independent Living** – Non-residential, consumer-controlled, community-based organization that provides programs and services for people with all types of disabilities and their families. **North Carolina Statewide Independent Living Council (NCSILC)** – A federally-mandated, not-for-profit, Governor appointed council. A majority of council members must be people with a disability.
919-835-3636
<http://www.ncsilc.org/centers/>

- **CCNC/CA** – Community Care of North Carolina and Carolina ACCESS – Organization devoted to changing the health care experience by changing the way health care is delivered. And a belief that the best system is rooted in the communities it serves. Through public-private partnership, regional networks of physicians, nurses, pharmacists, hospitals, health departments, social service agencies and other community organizations have been formed. These professionals provide cooperative, coordinated care through the Medical Home model.
919-745-2350
<http://www.communitycarenc.com>
- **Disability Rights NC** – Statewide protection and advocacy program - Disability Rights North Carolina is charged with protecting the rights of children and adults with disabilities living in North Carolina.
1-877-235-42101
<http://www.disabilityrightsn.org>
- **Local Management Entities/Managed Care Organizations** – Local organizations that provide information on receiving mental health, developmental disability or substance abuse services. LMEs will also help when complaints arise about services.
<http://www.ncdhhs.gov/mhddsas/lmeonblue.htm>

Glossary of Terms

ACT	Assertive Community Treatment
AAA	Area Agency on Aging http://www.ncdhhs.gov/aging/aaa.htm
ACTT	Assertive Community Treatment Team
ADA	Americans with Disabilities Act
ADATC	Alcohol/Drug Addiction Treatment Centers
ADHC	Adult Day Healthcare
ADHD	Attention Deficit Hyperactivity Disorder
ADL	Activities of Daily Living
ADVP	Adult Day Vocational Program
AHEC	Area Health Education Center
ARRA	American Reinvestment and Recovery Act
NC NAMI	NC National Alliance for the Mentally Ill http://naminc.org/
APA	American Psychiatric Association
ARC	Association for retarded Citizens _ Note: term “Mental Retardation” is considered degrading and no longer used – ARC now known as “The Arc” http://www.arcnc.org/
ASAM	American Society of Addiction Medicine
ASANC	Association of Self-Advocates of NC
ASNC	Autism Society of NC http://www.autismsociety-nc.org/
AT	Assistive Technology
BIANC	Brain Injury Association of NC http://www.bianc.net/
CAP	Community Alternatives Program http://www.ncdhhs.gov/dma/medicaid/ltc.htm
CARF	Council on Accreditation of Rehabilitation Facilities
CBT	Cognitive Behavioral Therapy
CBS	Community Based Services

CCD	Consortium of Citizens with Disabilities http://www.c-c-d.org/index.php
CDC	Centers for Disease Control http://www.cdc.gov/
CDSMP	Chronic Disease Self Management Program http://www.ncdhhs.gov/aging/livinghealthy/livinghealthy.htm
CILs	Centers for Independent Living http://www.ncsilc.org/centers
COA	Council on Accreditation http://coanet.org
CRC	Community Resource Connection for Aging and Disabilities
COE	Collaborative Operating Entity
CP	Cerebral Palsy http://ucp.org/
CPDMI	Coalition for Persons Disabled by Mental Illness
DAAS	Division of Aging and Adult Services http://www.ncdhhs.gov/aging
DD	Developmental Disabilities
DHSR	Division of Health Service Regulation http://www.ncdhhs.gov/dhsr
DHHS	Department of Health and Human Services http://www.ncdhhs.gov
DMA	Division of Medical Assistance http://www.ncdhhs.gov/dma/
DMH/DD/SAS	Division of Mental Health, Developmental Disabilities and Substance Abuse Services http://www.ncdhhs.gov/mhddsas/index.htm
DPI	Department of Public Instruction http://www.dpi.state.nc.us/
DSB	Division of Services for the Blind http://www.ncdhhs.gov/dsb/index.htm
DSDHH	Division of Services for the Deaf and the Hard of Hearing http://www.ncdhhs.gov/dsdhh/
DSM-IV	Diagnostic and Statistical Manual of Mental Illness, 4th Revision
DSMP	Diabetes Self Management Program http://www.ncdhhs.gov/aging/livinghealthy/Tools_Templates/one_page_handout.pdf
DSS	Division of Social Services http://www.ncdhhs.gov/dss/index.htm
DVRS	Division of Vocational Rehabilitation Services http://www.ncdhhs.gov/dvrs/

FASD	Fetal Alcohol Spectrum Disorder
FTEE	Full Time Employee Equivalent
HCBS	Home and Community Based Services
HIPAA	Health Insurance Protection and Accountability Act http://www.hhs.gov/ocr/privacy/
HUD	Housing and Urban Development http://www.hud.gov
IADL	Instrumental Activities of Daily Living
ICF/MR	Intermediate Care Facility for Mental Retardation
I/DD	Intellectual/Developmental Disability
IDEA	Individuals with Disabilities Education Act
IEP	Individualized Education Program
JCAHO	Joint Commission on the Accreditation of the Healthcare Orgs. www.jointcommission.org
LCAOC	Local Contact Agency Options Counselor http://www.ncdhhs.gov/aging/lca.htm
LCSW	Licensed Clinical Social Worker
LME	Local Management Entity www.ncdhhs.gov/mhddsas/lmeonblue.htm
MDS	Minimum Data Set www.ncdhhs.gov/dma/services/nursingfacility.htm
MI	Mental Illness
MIPPA	Medicare Improvements for Patients and Providers Act
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
PLA	Private Living Arrangement
PSR	Psychosocial Rehabilitation
PT/OT/Speech	Physical Therapy/Occupational Therapy/Speech
PTSD	Post Traumatic Stress Disorder
QDDP	Qualified Development Disabilities Professional
QI	Quality Improvement
QMHP	Qualified Mental Health Professional

RFP	Request for Proposal
SH	Supportive Housing
SHIIP	Seniors' Health Insurance Information Program http://www.ncdoi.com/shiip/
SILC	State Independent Living Council http://ncsilc.org/
SPMI	Severe and Persistent Mental Illness
SSBG	Social Services Block Grant
SSDI	Social Security Disability Insurance
SSI	Supplemental Security Income
TANF	Temporary Assistance for Needy Families
TBI	Traumatic Brain Injury http://www.bianc.net/
VR	Vocational Rehabilitation http://www.ncdhhs.gov/dvrs
VRIL	Vocational Rehabilitation Independent Living Program http://www.ncdhhs.gov/dvrs/pwd/ils.htm



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