

## LOCAL AUTHORITY FUNCTIONS

<b>Policy Development/ Deployment</b>		
<b>Definition</b>	<b>Outcome</b>	<b>Critical Indicators</b>
<p>Process and activities related to the development and deployment of local policies and operational procedures that are consistent with federal, state, and local laws, rules and regulation that support the LA's role as the local agent of the TDMHMR within the local service area.</p>	<p>A local Board develops and governs the deployment of policy in accordance with the rules and regulations of the TDMHMR.</p>	<ol style="list-style-type: none"> <li>1. Membership of the Board reflects the diversity (ethnic, racial, cultural, geographic) of the local service area.</li> <li>2. Membership includes at least:                             <ul style="list-style-type: none"> <li>• two persons in the priority population, or</li> <li>• one person in the priority population and one family member.</li> </ul> </li> <li>3. All members are qualified voters whose primary residence is within the LSA.</li> <li>4. The board has governing procedures that address:                             <ul style="list-style-type: none"> <li>• Criteria for making appointments to the board,</li> <li>• Length and structure of board member's terms,</li> <li>• Procedures for appointing a board member and filling a vacant position, and</li> <li>• Procedures and grounds for removing a board member.</li> </ul> </li> <li>5. Board meetings comply with applicable state laws related to                             <ul style="list-style-type: none"> <li>• ethics,</li> <li>• conflict of interest,</li> <li>• nepotism,</li> <li>• open meetings, and</li> <li>• public information</li> </ul> </li> <li>6. Board members receive training and support necessary to fulfill the responsibilities of the board.</li> <li>7. The board develops, policies that are consistent with federal, state and local laws and regulations.</li> <li>8. The board monitors and oversees its state delegated authority functions and ensures compliance with established policy.</li> <li>9. The board uses an objective decision-making process to consider public input, ultimate cost-benefit and clinical/treatment care issues to ensure consumer choice and the best use of public money in determining whether to conduct a state delegated authority function or provide a service through its own operations or to contract that function or service to another entity.</li> <li>10. The board is accountable for all state delegated authority functions whether performed by the local authority staff or contracted to another entity.</li> </ol>
	<p>The organizational structure of the LA is efficient and effective in the deployment of the policy of the TDMHMR.</p>	<ol style="list-style-type: none"> <li>11. The roles and responsibilities of the board and local authority staff are defined.</li> <li>12. The LA provides general information to the public and offers specific responses to public requests for information.</li> <li>13. If a participant in the provider network, the Center (LA) maintains an administrative and fiscal structure that separates Authority and Provider functions.</li> <li>14. If a participant in the provider network, the LA deploys policy, management procedures, rules and standards to its provider component as it does other providers.</li> </ol>

## Local Planning

Definition	Outcome	Critical Indicators
<p>A broad-based participatory process that identifies community values, service needs and priorities for persons in the TDMHMR priority populations within the local service area.</p> <p>Local planning activities result in a local plan that identifies goals and establishes strategies for accomplishment.</p> <p>Board appointed advisory committees advise the LA and its board on the development and implementation of the local plan and assessment of best value.</p>	<p>The local planning process results in a system of services for persons in the TDMHMR priority populations, reflective of the diversity, values and priorities of the local community.</p>	<ol style="list-style-type: none"> <li>1. The Local planning process: <ul style="list-style-type: none"> <li>• is an objective, broad-based, community participatory process inclusive of consumers, family members, agencies and providers of TDMHMR services, advocacy organizations, local officials and other interested citizens,</li> <li>• incorporates the diversity of opinion, culture and ethnicity of the local service area,</li> <li>• identifies local values, service needs, and service priorities for persons in the TDMHMR priority populations,</li> <li>• guides resource development and allocation, and</li> <li>• results in a Local Plan with goals and strategies designed to meet the service needs and priorities of the TDMHMR priority populations in the LSA.</li> </ul> </li> <li>2. The Local Plan evidences: <ul style="list-style-type: none"> <li>• The vision, mission, values and goals of the LA,</li> <li>• An assessment of community services,</li> <li>• Identification of environmental factors that may significantly impact LA operations the next two or more years related to access to and choice of services and providers for persons in the TDMHMR priority populations,</li> <li>• A network development and implementation process to ensure the availability and accessibility of services for identified populations.</li> <li>• Descriptions of – <ul style="list-style-type: none"> <li>• the planning process to include the role of community stakeholders and the results of community participation,</li> <li>• strategies for resource development/allocation and oversight of TDMHMR services,</li> <li>• process to ensure consumer choice of providers,</li> <li>• the role of market-based pricing of the services in the LA’s benefit package,</li> <li>• sufficiency of the provider network to address the array of services in the LA’s performance contract with the TDMHMR,</li> <li>• process to ensure culturally competent services,</li> <li>• process to ensure compliance with the TDMHMR performance contract as well as relevant state authority rules,</li> <li>• regional collaborations among the LA, the state facilities and other LAs for the region to plan for the efficient and effective use of state facility resources,</li> <li>• collaborative relationships the LA maintains with governmental agencies, criminal justice entities, business and community organizations, and</li> </ul> </li> <li>• An evaluation of implementation of the local plan and resulting modifications (if any).</li> </ul> </li> <li>3. The board appoints and supports (Planning) Advisory Committees, in accordance with TDMHMR rule.</li> </ol>

## Coordination of Resources within the LSA

Definition	Outcome	Critical Indicators
Process and activities related to coordination of federal, state and local resources within the local service area to enable citizens to access needed services and supports.	The LA collaborates with other entities to coordinate resources within the local service area .	<ol style="list-style-type: none"> <li>1. A member/s of the LA participates in “interagency” processes that promote coordination of local resources dedicated to the provision of services for members of the TDMHMR priority populations.</li> <li>2. The LA’s collaborative relationship with other entities is described in the local plan.</li> </ol>

## Resource Development

Definition	Outcome	Critical Indicators
The procurement of funding and other resources to maximize the availability of services to citizens in the LA’s local service area.	The LA identifies, obtains, maintains and maximizes resources to ensure the availability of mental health and mental retardation services for members of the TDMHMR priority populations residing in the local services area.	<ol style="list-style-type: none"> <li>1. The LA identifies federal, state or local programs (public and private) in which to participate.</li> <li>2. The LA optimizes earned revenue for services from Medicaid, private insurance, consumer fees, and other third party reimbursements.</li> <li>3. The LA collaborates with governmental agencies, criminal justice entities, business and community organizations (e.g., housing agencies, TCOMI, nonprofit human service agencies, other community health and human service providers) to identify and create opportunities to make additional resources available to the LSA.</li> </ol>

## Resource Allocation

Definition	Outcome	Critical Indicators
The allocation of funds and other resources for the provision of mental health and mental retardation services in a fair and objective manner and achieves best value.	The LA allocates resources for the performance of state delegated authority functions and the provision of mental health and mental retardation services in accordance with the TDMHMR performance contract and, to the greatest extent possible, meet the prioritized service needs as described in the local plan.	<ol style="list-style-type: none"> <li>1. The LA expends resources for the performance of state delegated authority functions and to purchase services as required by the TDMHMR.</li> <li>2. If a participant in the provider network, the Center/LA maintains a separate budget for the performance of state delegated authority functions.</li> <li>3. The LA budget operates within the cost parameters established by the TDMHMR.</li> <li>4. The LA tracks the availability of funds to perform state delegated functions and purchase mental health and mental retardation services.</li> <li>5. Resources are allocated in accordance with the local plan.</li> </ol>

## Development and Management of a Provider Network

Definition	Outcome	Critical Indicators
<p>The establishment of written agreements/contracts with providers to maintain a provider network that is congruent with the prioritized service needs as identified in the local plan.</p> <p>Ongoing management and monitoring of all providers in the LA network to ensure contract compliance and assess performance.</p>	The LA assembles and manages a diverse provider network that offers access to the array of mental health and mental retardation services as defined by the TDMHMR.	<ol style="list-style-type: none"> <li>1. The LA established written agreements/contracts with qualified and competent providers</li> <li>2. The contract/written agreement defines the expectations of the provider and LA.</li> <li>3. The LA “contracts/ re-contracts” with provider in accordance with federal, state and local laws, rules and regulations.</li> <li>4. The LA maintain capacity in their provider network to provide crisis services to all persons who are screened and appear to be in crisis as defined by TDMHMR.</li> <li>5. The provider network reflects the diversity (cultural, ethnic, racial) of the LSA.</li> <li>6. The provider network meet the prioritized service needs as described in the local plan.</li> <li>7. The LA monitors and evaluates provider performance to include the use of provider profiles that address: <ul style="list-style-type: none"> <li>• Quality of service provision (outcomes, satisfactions, etc.),</li> <li>• Cost of service provision,</li> <li>• cultural diversity of the provider,</li> <li>• provider compliance with SA standards and guidelines, and</li> <li>• consumers’ complaints and confirmed incidences of abuse/neglect specific to each provider.</li> </ul> </li> </ol>

## Credentialing/ Recredentialing

Definition	Outcome	Critical Indicators
<p>Process and activities to validate the qualifications of potential and current providers to ensure all services are provided by persons qualified and competent to provide the service.</p>	<p>People in the TDMHMR priority populations receive services from qualified and competent providers.</p>	<ol style="list-style-type: none"> <li>1. Credentials of licensed and certified providers are verified by a uniform and objective process that reflects primary source verification and benchmark practices (e.g., utilization of state and national registries, office/site visits).</li> <li>2. A credentialing committee reviews verification activities and sets privileging criteria and makes provider eligibility determinations.</li> <li>3. Provider credentials are appropriate to the service/s provided.</li> <li>4. The recredentialing process re-evaluates providers' qualifications and competence in accordance with SA guidelines.</li> <li>5. The credentialing/recredentialing appeals process is free from self-interest, prejudice or favoritism of the LA.</li> </ol>

## Provider Relations

Definition	Outcome	Critical Indicators
<p>Process and activities by which potential providers are informed of and educated in the requirements for participation in the network, current providers are offered ongoing assistance and provider complaints and appeals are managed in a fair and objective manner.</p>	<p>Providers participating in the network are free from self-interest, prejudice or favoritism of the LA.</p>	<ol style="list-style-type: none"> <li>1. The LA maintains a Provider Manual that meets the TDMHMR requirements to inform providers of the requirements to participate in the network.</li> <li>2. The LA ensures opportunities for orientation and training are made available to providers.</li> <li>3. The LA provides ongoing technical assistance and support to the provider network.</li> <li>4. The LA responds to provider complaints and appeals in a timely manner as defined by the LA's policy and procedures.</li> <li>5. The LA collects, trends and analyzes provider complaint data and takes action to prevent or minimize the future complaints and appeals.</li> </ol>

## Claims and Billing Management

Definition	Outcome	Critical Indicators
A system designed to manage claims and billing for services provided by the LA's provider network to ensure claims are processed correctly and adjudicated accurately and in a timely manner and that operates in compliance with federal, state and local laws, rules and regulations.	Providers are paid in the amount and within the timeframe as stipulated in their contract with the state or local authority.	<ol style="list-style-type: none"> <li>1. The codes, definitions, and rules for claims used by the LA are congruent with the TDMHMR codes, definitions and rules.</li> <li>2. The LA ensures claims are submitted and processed correctly and timely.</li> <li>3. The LA collects, trends and analyzes data regarding problematic claims and takes action to resolve identified problems.</li> <li>4. The LA collects, trends and analyzes claim disputes and takes action to prevent or minimize future disputes.</li> <li>5. The LA's claims and billing system operates in accordance with funding requirements and demonstrates corporate compliance.</li> </ol>

## Consumer Relations and Rights Protection

Definition	Outcome	Critical Indicators
Process and activities by which potential and current consumers are informed of their eligibility, rights and methods for reporting complaints and allegations of abuse and neglect.	People in the TDMHMR priority populations are treated with dignity and respect and are free from abuse, neglect and exploitation.	<ol style="list-style-type: none"> <li>1. The LA maintains a Consumer Handbook that meets the TDMHMR requirements to inform consumers of: <ul style="list-style-type: none"> <li>• The array of services for which they are eligible,</li> <li>• Providers (relative to their authorized services or person-directed plan) participating in the network</li> <li>• their rights,</li> <li>• processes for reporting complaints and appealing service decisions, and</li> <li>• processes for reporting allegations of abuse/neglect and exploitation.</li> </ul> </li> <li>2. The LA collects, trends and analyzes the number of confirmed incidences of abuse/neglect/exploitation and takes action to resolve underlying causes.</li> <li>3. The LA collects, trends and analyzes the number of consumer complaints and appeals and takes action to prevent or minimize future occurrences.</li> <li>4. The LA reports information to the ombudsman in accordance with TDMHMR policy.</li> </ol>

## Quality Management

Definition	Outcome	Critical Indicators
<p>Process and activities to assess and improve the LA's organizational and business processes and operations and achievement of consumer outcomes.</p> <p>A Quality Management Plan that identifies the LA's quality improvement goals and strategies is developed and implemented, monitored and periodically evaluated to promote organizational quality and achievement of consumer outcomes.</p>	<p>The LA Quality Management program is a planned, coordinated, comprehensive and continuous approach that demonstrates contract compliance, performance improvement and achievement of consumer outcomes.</p>	<ol style="list-style-type: none"> <li>1. The quality management program measures and assesses organizational and network-wide data through self-assessment, contract monitoring, clinical record reviews, utilization management, and other means to identify, implement and evaluate quality improvement goals and strategies.</li> <li>2. Quality management activities are informed through the collection, trending and analysis of data, to include: <ul style="list-style-type: none"> <li>• access to, and continuity of, services,</li> <li>• quality of services delivered,</li> <li>• consumer outcomes, satisfaction, complaints, and</li> <li>• provider contract compliance and complaints</li> </ul> </li> <li>3. The Quality Management Plan describes the LA's quality management program and is written to ensure compliance with the TDMHMR performance contract.</li> <li>4. Quality management activities involve stakeholders, to include consumers, families, advocates, providers and staff of the local authority.</li> <li>5. The LA has a mechanism to identify and address risks and liabilities associated with performance accountability.</li> </ol>

## Utilization Management

Definition	Outcome	Critical Indicators
Management of the allocation of resources (initial and continued authorizations) to ensure TDMHMR priority populations' access TDMHMR services in accordance with federal and state rules and regulations.	The LA Utilization Management program ensures the appropriate management and utilization of mental health resources and that consumers receive the services they need in a timely manner.	<ol style="list-style-type: none"> <li>1. The UM program follows TDMHMR standards and requirements.</li> <li>2. The LA makes authorization decisions in accordance with TDMHMR UM guidelines and protocols</li> <li>3. The LA facilitates an appeals process in accordance with TDMHMR guidelines and regulations.</li> <li>4. Financial impact of service authorization is assessed and used to inform authorization decisions.</li> <li>5. The LA ensures the coordination of benefits for persons whose services are funded through a third party payer.</li> <li>6. Utilization review activities are conducted in accordance with TDMHMR guidelines and requirements.</li> <li>7. The LA participates in, and coordinates the activities of, a UM Committee in accordance with contractual requirements to: <ul style="list-style-type: none"> <li>• Monitor the effective and efficient utilization of the LA's clinical resources;</li> <li>• Address under-utilization , over-utilization and inefficient usage of the LA's and contractual providers' resources; and</li> <li>• Ensure ongoing improvement in the utilization management guidelines and protocols.</li> </ul> </li> <li>8. The Utilization Management Program Plan describes the LA utilization management program and is written to be consistent with regulatory and contractual requirements.</li> </ol>

## Information Systems

Definition	Outcome	Critical Indicators
Automated data collection system to link and support state delegated authority functions and report to the LA and its board data relative to organizational and business processes and operations and achievement of consumer outcomes.	The LA uses reliable, valid and timely data to fulfill its responsibilities as the local agent of the SA.	<ol style="list-style-type: none"> <li>1. The information management system complies with HIPPA requirements.</li> <li>2. The information management system complies TDMHMR requirements.</li> <li>3. The information management system reports valid and reliable data.</li> <li>4. The LA has a formal plan for Disaster recovery and business continuation should an interruption of service occur.</li> <li>5. The LA has backup procedures for files critical to support the operation of the LA.</li> <li>6. Data and program files are secure.</li> </ol>

## Crisis Hotline

Definition	Outcome	Critical Indicators
A continuously available telephone crisis hotline that provides information, support and referrals to callers 24 hours per day, seven days per week.	People residing in the LA's LSA access a continuously available crisis hotline providing information, support and referrals to callers.	<ol style="list-style-type: none"> <li>1. The LA ensures operation of a continuously available telephone service providing information, support and referrals to callers' 24 hours per day, seven days per week.</li> <li>2. The crisis hotline is toll-free, easily accessible, and available throughout the LSA.</li> <li>3. The crisis hotline is well publicized throughout the LSA.</li> <li>4. People residing in the LSA know how to access the crisis hotline.</li> </ol>

## Access to TDMHMR Services \*\*

Definition	Outcome	Critical Indicators
Process and activities related to accessing TDMHMR services to include screening, eligibility determination, assignment to MH service package or MR Level of Care and consumer choice of provider.	Persons in the TDMHMR priority populations access appropriate mental health and mental retardation services	<ol style="list-style-type: none"> <li>1. The LA conducts screening activities in accordance with TDMHMR guidelines and requirements.</li> <li>2. The LA conducts determination of eligibility for TDMHMR priority populations in accordance with TDMHMR guidelines and requirements.</li> <li>3. The LA adheres to the TDMHMR guidelines for Service Package Assignment to assign persons eligible to receive mental health services an appropriate Mental Health Service Package. <ul style="list-style-type: none"> <li>• The Mental Health Service Package assignment process is linked to budget data.</li> </ul> </li> <li>4. The LA assesses Level Of Care for persons eligible to receive mental retardation services in accordance with TDMHMR guideline and requirements.</li> <li>5. Persons eligible to receive mental health and mental retardation services are provided relevant, objective information about providers (relative their authorized services/ person directed plan) participating in the network.</li> <li>6. Persons eligible to receive mental health and mental retardation services demonstrate choice of providers relative to their authorized services/person directed plan.</li> <li>7. The LA referral process operates in accordance with TDMHMR guidelines and regulations.</li> </ol>
	The LA maximizes resources to support service delivery.	<ol style="list-style-type: none"> <li>1. For each person eligible to receive TDMHMR services, the LA conducts a financial assessment to identify and access available funding sources to pay for the person's services in accordance with TDMHMR guidelines and requirements.</li> <li>2. The LA screens each person's eligibility for participation in Medicaid/SSI/CHIP in accordance with TDMHMR guidelines and requirements.</li> <li>3. All cases determined to have moderate to high eligibility potential for Medicaid/SSI/CHIP are assisted with the benefits applications to include the appeals process (Consumer Benefit Assistance).</li> </ol>

## Referral to Community Resources

Definition	Outcome	Critical Indicators
Process and activities related to sharing information relative to other (non-TDMHMR) resources available in the local service area, voter registration and, should a disaster occur in the local service area, disaster assistance services.	The LA provides information to the public regarding community resources (i.e. food banks, shelters, etc), voter registration and, when the need occurs, disaster assistance services.	<ol style="list-style-type: none"> <li>1. Persons not eligible to receive TDMHMR services are informed of community resources (i.e., other agencies, community and advocate groups) located within the LSA.</li> <li>2. Consumers are informed about their right to vote and are assisted in the voter registration process.</li> <li>3. The LA has a Disaster Assistance Program/Plan that complies with the TDMHMR rules and regulations.</li> </ol>

## Coordination of Consumer Care

Function	Outcome	Critical Indicators
Processes and activities to coordinate the delivery of TDMHMR services to ensure access to services in the least restrictive environments, continuity of care, and achievement of consumer outcomes.	Consumers are able to obtain needed mental health and mental retardation services in a timely manner that efficiently meet their needs and preferences and provides for continuity of care.	<ol style="list-style-type: none"> <li>1. Continuity of Care <ul style="list-style-type: none"> <li>• The LA determines most appropriate placement in the least restrictive setting prior to admission to a State Mental Health Facility.</li> <li>• The LA determines that an individual meets the criteria for admission into a State Mental Retardation Facility prior to recommendation for placement.</li> <li>• The LA complies with TDMHMR requirements to ensure services to persons who are committed through court orders are offered in the least restrictive setting.</li> <li>• The LA maintains continuity of care for persons in the TDMHMR priority populations through coordination of admission to, or transfer of, or discharge from, services/providers/State Facilities within the local service area.</li> <li>• The LA maintains an up-to-date list of persons waiting for a service/program.</li> </ul> </li> <li>2. Service Coordination (MR) <ul style="list-style-type: none"> <li>• The LA's Service Coordination program operates in accordance with TDMHMR guidelines and requirements.</li> <li>• Consumers participate in a person directed planning process to develop an individualized plan that addresses identified outcomes and requested supports.</li> <li>• The LA develops a permanency plan for each consumer under 22 years of age who reside in an institution or for whom institutional placement is sought, in ensure compliance with federal and state laws and regulations.</li> </ul> </li> </ol>