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Melissa Nemeth and Sandy Hunt
NH Department of Health and Human Services
Bureau of Developmental Services
105 Pleasant Street
Concord, NH 03301

Via Email
Sandy.Hunt@dhhs.nh.gov and
Melissa.Nemeth@dhhs.nh.gov

Re: Comments on He-M 506 Rule

The Quality Council appreciates the opportunity to comment on the He-M 506 Rules, which protect the rights of all people with developmental disabilities across the state.

These comments were developed after numerous discussions at both the Quality Council's Rules and Regulations' Committee and at the full Council. They are based on the current He-M 506 Rule. The Council hopes to provide additional comments on draft revisions to the rule in the future

Please see the attached comments from the NH Developmental Services Quality Council on the Rule He-M 506 regarding STAFF QUALIFICATIONS AND STAFF DEVELOPMENT REQUIREMENTS FOR DEVELOPMENTAL SERVICE AGENCIES

Sarah Aiken, Chair


Stephanie Patrick, Vice Chair

Sarah Aiken, Chair
Area Agency Board Member

Stephanie Patrick, Vice-Chair
Disability Rights Center

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ABLE New Hampshire

Linda Bimbo
Institute on Disability

Karen Blake
Family Support Council Member

Adrienne Evans
NH Council on ASD Member

Sandy Hunt
Bureau of Developmental Services

Elizabeth Prior
Brain Injury Association of NH

Emily Manire
Private Provider Network

Tammy Mills
People First of New Hampshire

Deb Opramolla
Family Support Council Member

Carrie Duran
Family Support Council Member

Debra Ormen
Direct Support Provider

Jim Piet
NH Developmental Disabilities Council

Isadora Rodriguez-Legendre
NH Council on Developmental Disabilities

Jonathan Routhier
Community Support Network, Inc

Cathy Spinney
Area Agency Board Member

ART He-M 506 STAFF QUALIFICATIONS AND STAFF DEVELOPMENT REQUIREMENTS FOR DEVELOPMENTAL SERVICE AGENCIES

Statutory Authority: New Hampshire RSA 171-A:3; 18, IV; 137-K:3, IV

He-M 506.01 Purpose. The purpose of these rules is to outline the minimum qualifications of provider agency staff, and the training requirements for such staff.

Source. #2033, eff 6-7-82; ss by #2679, eff 4-18-84; ss by #5047, eff 1-18-91, EXPIRED: 1-18-97

New. #6645, eff 12-2-97, EXPIRED: 12-2-05

New. #8604, eff 4-11-06; ss by #10528, eff 3-1-14

He-M 506.02 Definitions.

(a) “Acquired brain disorder” means a disruption in brain functioning that:

- (1) Is not congenital or caused by birth trauma;
- (2) Presents a severe and life-long disabling condition which significantly impairs a person's ability to function in society;
- (3) Occurs prior to age 60;
- (4) Is attributable to one or more of the following reasons:
 - a. External trauma to the brain as a result of:
 1. A motor vehicle incident;
 2. A fall;
 3. An assault; or
 4. Another related traumatic incident or occurrence;
 - b. Anoxic or hypoxic injury to the brain such as from:
 1. Cardiopulmonary arrest;
 2. Carbon monoxide poisoning;
 3. Airway obstruction;
 4. Hemorrhage; or
 5. Near drowning;
 - c. Infectious diseases such as encephalitis and meningitis;
 - d. Brain tumor;
 - e. Intracranial surgery;
 - f. Cerebrovascular disruption such as a stroke;

Commented [SA1]: Assure consistency with other rules for definitions

g. Toxic exposure; and

h. Other neurological disorders such as Huntington's disease or multiple sclerosis which predominantly affect the central nervous system; and

(5) Is manifested by one or more of the following:

a. Significant decline in cognitive functioning and ability; or

b. Deterioration in:

1. Personality;
2. Impulse control;
3. Judgment;
4. Modulation of mood; or
5. Awareness of deficits.

(b) "Area agency" means "area agency" as defined under RSA 171-A:2, I-b.

(c) "Bureau of elderly and adult services (BEAS) state registry" means a database created and maintained pursuant to RSA 161-F:49 and He-E 720 containing information on founded reports of abuse, neglect, or exploitation of incapacitated adults by a paid or volunteer caregiver, guardian, or agent acting under the authority of any power of attorney or any durable power of attorney.

(d) "Bureau" means the bureau of developmental services of the department of health and human services.

(e) "Developmental disability" means "developmental disability" as defined in RSA 171-A:2, V, namely, "a disability:

a. Which is attributable to an intellectual disability, cerebral palsy, epilepsy, autism or a specific learning disability or any other condition of an individual found to be closely related to an intellectual disability as it refers to general intellectual functioning or impairment in adaptive behavior or requires treatment similar to that required for persons with an intellectual disability; and

b. Which originates before such individual attains age 22, has continued or can be expected to continue indefinitely, and constitutes a severe handicap to such individual's ability to function normally in society."

(f) "Family" means a group of 2 or more persons related by ancestry, marriage or other legal arrangement.

(g) "Health Risk Screening Tool (HRST)" means the 2009 edition of the Health Risk Training Tool, available as noted in Appendix A, which is a web-based rating instrument used for performing health risk screenings on individuals in order to:

- (1) Determine an individual's vulnerability regarding potential health risks; and
- (2) Enable the early identification of health issues and monitoring of health needs.

Commented [SA2]: Match the language for definition of family as in the Family Support Council rule

Formatted: Highlight

(h) "Individual" means any person with a developmental disability or acquired brain disorder who receives, or has been found eligible to receive, area agency services.

(i) "Provider" means a person receiving any form of remuneration for the provision of services to an individual.

(j) "Provider agency" means an area agency or an entity under contract with an area agency that is responsible for providing services to individuals.

(k) "Staff" means provider agency staff who provide direct supports to people who have developmental disabilities or acquired brain disorders, including, at a minimum, service coordinators, clinical staff, and personal care staff.

(l) "Staff development" means education and training designed to improve the competencies of provider agency staff.

(m) "Supports Intensity Scale" means the 2004 edition of the Supports Intensity Scale, available as noted in Appendix A, which is an assessment tool intended to assist in service planning by measuring the individual's support needs in the areas of home living, community living, lifelong learning, employment, health and safety, social activities, and protection and advocacy. The tool uses a formal rating scale to identify the type of supports needed, frequency of supports needed, and daily support time.

Source. #2033, eff 6-7-82; ss by #2679, eff 4-18-84; ss by #5047, eff 1-18-91, EXPIRED: 1-18-97

New. #6645, eff 12-2-97, EXPIRED: 12-2-05

New. #8604, eff 4-11-06; ss by #10528, eff 3-1-14

He-M 506.03 Minimum Staff Qualifications.

(a) Provider agency staff shall meet the qualifications for and conditions of employment identified in He-M 507, He-M 510, He-M 513, He-M 518, He-M 521, He-M 524, He-M 1001, and He-M 1201.

(b) Each applicant for employment shall:

(1) Meet the educational qualifications, or the equivalent combination of education and experience, identified in the job description;

(2) Meet professional certification and licensure requirements of the position;

(3) Meet the motor vehicle licensure requirement identified in the job description;

(4) Either:

a. Present documentation of a tuberculosis (TB) test performed within the past 6 months; or

b. Undergo a TB test prior to employment; and

(5) If a test referenced in (4) above is positive, provide evidence of follow-up conducted in accordance with the Centers for Disease Control and Prevention "Guidelines for Preventing the Transmission of *Mycobacterium tuberculosis* in Health-Care Settings, 2005," available as noted in Appendix A.

(c) All staff shall be at least 18 years of age.

Commented [SA3]: This is confusing. What specifically? Also Do all staff who work in a 524, and 1201? (Examples)

Commented [SA4]: Can we connect individuals with a sibling who is at least 16 years of age? Background checks? Let the Dept determine legality.

(d) Prior to a person working directly with an individual, the provider agency, with the consent of the person, shall:

- (1) Obtain at least 2 references for the person;
- (2) Complete, at a minimum, a New Hampshire criminal records check no more than 30 days prior to hire;
- (3) If a person's primary residence is out of state, complete a criminal records check for their state of residence;
- (4) If a person has resided in New Hampshire for less than one year, complete a criminal records check for their previous state of residence; and
- (5) Complete a BEAS state registry check no more than 30 days prior to hire.

(e) Except as allowed in (f)-(g) below, the provider agency shall not hire a person:

- (1) Who has a:
 - a. Felony conviction; or
 - b. Any misdemeanor conviction involving:
 1. Physical or sexual assault;
 2. Violence;
 3. Exploitation;
 4. Child pornography;
 5. Threatening or reckless conduct;
 6. Theft;
 7. Driving under the influence of drugs or alcohol; or
 8. Any other conduct that represents evidence of behavior that could endanger the well-being of an individual; or

(2) Whose name is on the BEAS state registry.

(f) A provider agency may hire a person with a criminal record listed in (e)(1)a. or b. above for a single offense that occurred 10 or more years ago in accordance with (g) and (h) below. In such instances, the individual, his or her guardian if applicable, and the area agency shall review the person's history prior to approving the person's employment.

(g) Employment of a person pursuant to (f) above shall only occur if such employment:

- (1) Is approved by the individual, his or her guardian if applicable, and the area agency;
- (2) Does not negatively impact the health or safety of the individual(s); and
- (3) Does not affect the quality of services to individuals.

Commented [SA5]: Some of these should be considered on an individual basis

Commented [SA6]: What criteria is this?

Commented [SA7]: Maybe 5 years? Depending on the offense.

(h) Upon hiring a person pursuant to (f) above, the provider agency shall document and retain the following information in the individual's record:

- (1) Identification of the region, according to He-M 505.04, in which the provider agency is located;
- (2) The date(s) of the approvals in (f) above;
- (3) The name of the individual or individuals for whom the person will provide services;
- (4) The name of the person hired;
- (5) Description of the person's criminal offense;
- (6) The type of service the person is hired to provide;
- (7) The provider agency's name and address;
- (8) The certification number and expiration date of the certified program, if applicable;
- (9) A full explanation of why the provider agency is hiring the person despite the person's criminal record;
- (10) Signature of the individual(s), or of the legal guardian(s) if applicable, indicating agreement with the employment and date signed;
- (11) Signature of the staff person who obtained the individual's or guardian's signature and date signed;
- (12) Signature of the area agency's executive director or designee approving the employment; and
- (13) The signature and phone number of the person being hired.

(i) Personnel records, including background information relating to a staff person's qualifications for the position held, shall be maintained by the provider agency for a period of 7 years after that staff person's employment termination date.

Source. #2033, eff 6-7-82; ss by #2679, eff 4-18-84; ss by #5047, eff 1-18-91, EXPIRED: 1-18-97

New. #6645, eff 12-2-97, EXPIRED: 12-2-05

New. #8604, eff 4-11-06; ss by #10528, eff 3-1-14

He-M 506.04 Policy and Procedure Requirements. Each provider agency shall establish and implement written personnel and staff development policies which shall specifically address the following:

(a) Non-discrimination on the basis of:

- (1) Race;
- (2) Color;
- (3) Sex;

- (4) Creed;
 - (5) National origin;
 - (6) Age;
 - (7) Marital status;
 - (8) Familial status;
 - (9) Sexual orientation; or
 - (10) Physical or mental disability;
- (b) Job descriptions, including conditions of employment;
 - (c) Staff performance reviews; and
 - (d) Individual staff development plans.

Source. #2033, eff 6-7-82; ss by #2679, eff 4-18-84; ss by #5047, eff 1-18-91; amd by #5322, eff 1-31-92; ss by #6645, eff 12-2-97; EXPIRE: 12-2-05

New. #8604, eff 4-11-06; ss by #10528, eff 3-1-14

He-M 506.05 Staff Development Requirements.

- (a) Each person employed by a provider agency shall participate in the writing and implementation of an individual staff development plan with his or her supervisor at least annually.
- (b) The staff development plan shall be kept in the employee's personnel file.
- (c) The staff development plan shall include the following:
 - (1) An assessment of current work-related competencies; and
 - (2) Methods identified to achieve improvement in competencies, including:
 - a. Education;
 - b. Training, or re-training; and
 - c. Other staff supports that have been identified.
- (d) Within the first month of employment, a provider agency shall train each employee in:
 - (1) An overview of the rights of persons who receive services, as described in He-M 202 and He-M 310; and
 - (2) Developing an understanding of the stigmas, negative labels and common life experiences of people with disabilities including how individuals utilize behavior as communication.
- (e) Prior to working directly with an individual, staff shall be trained in and, pursuant to (g) below, demonstrate an understanding of the following information regarding the individual:
 - (1) Personal profile;

Commented [SA8]: To include the training requirements set forth by the QC in the previously approved training (transparency committee)

(2) Goals;

(3) Specific health-related requirements, including:

- a. All current medical conditions, medical history, and routine and emergency protocols;
- b. Any special nutrition, hydration, elimination, personal hygiene, oral health or ambulation needs; and
- c. Any special, cognitive, mental health or behavioral needs;

(4) Information the family, and guardian if applicable, believe would be helpful to the service provision process;

(5) Emergency contact information;

(6) Safety plan;

(7) Behavior or risk management plan;

(8) HRST information pertinent to supporting the individual;

(9) SIS information pertinent to supporting the individual;

(10) Any other information needed to ensure the individual's health and safety needs are understood; and

(11) Any information in the service agreement not specified in (1)-(10) above.

(f) Staff with no prior experience providing services directly to individuals shall receive direct oversight and support during at least the first 16 hours of providing services.

(g) Prior to staff working directly with an individual and annually thereafter, supervisors shall ask each staff to demonstrate, through examples, their understanding of the information presented pursuant to (e) above.

(h) At least monthly, supervisors or their designees shall conduct unannounced visits to staff at community locations while they are providing services for individuals. The purpose of the visits shall be to assure that services are provided in accordance with each individual's service agreement.

(i) Staff shall be re-trained annually in an overview of the rights of persons who receive services, as described in He-M 202 and He-M 310. Re-training shall include examples of rights violations.

(j) A provider agency shall train staff in the following areas within the first 6 months of employment:

(1) An overview of developmental disabilities and acquired brain disorders, which shall include:

- a. An overview of the different types of developmental disabilities and acquired brain disorders and their causes;
- b. An overview of the local and state service delivery system; and

Commented [SA9]: 40 hours of direct training on the individual

- c. An overview of professional services and technologies including therapies, assistive technologies and environmental modifications necessary to achieve individuals' goals at home, in the community, in the workplace and in recreation or leisure activities;
- (2) An overview of conditions promoting or detracting from the quality of life that individuals enjoy, which shall provide staff the competencies necessary to:
- a. Support individuals to obtain and maintain valued social roles;
 - b. Support individuals to build relationships with their families, neighbors, co-workers and other community members;
 - c. Create and enhance opportunities for individuals to:
 - 1. Increase their presence in the life of their local communities; and
 - 2. Increase the ways in which they contribute to their communities;
 - d. Support individuals to have as much control as possible over their own lives;
 - e. Build individuals' skills, strengths and interests that are functional and meaningful in natural community environments;
 - f. Create supports that enable individuals to explore and participate in a wide variety of community activities and experiences in settings that are available to the general public; and
 - g. Support individuals to gain as much independence as possible;
- (3) Methods to assist individuals with challenging behaviors utilizing positive behavioral supports as described in He-M 1001.07 (d);
- (4) Understanding, and assisting individuals to manage behavior that derives from neurological compromises or limitations;
- (5) Techniques to:
- a. Facilitate social relationships;
 - b. Enhance skills that improve everyday living and promote independence; and
 - c. Teach, coach and mentor individuals to learn skills that maximize independence;
- (6) Basic health and safety practices related to:
- a. Personal wellness;
 - b. Success in living, working and recreating in the community; and
 - c. An understanding of the importance of common signs and symptoms of illness;
- (7) Training relative to supporting individuals in employment pursuant to He-M 518, as appropriate;
- (8) Skills necessary to support individuals and their families to:
- a. Make their own decisions;

- b. Advocate for themselves; and
 - c. Create their own social networks;
- (9) Any trainings specified in an individual's service agreement; and
- (10) Training in orienting individuals to fire safety and emergency evacuation procedures.

Source. #2033, eff 6-7-82; ss by #2679, eff 4-18-84; ss by #5047, eff 1-18-91, EXPIRED: 1-18-97

New. #6645, eff 12-2-97, EXPIRED: 12-2-05

New. #8604, eff 4-11-06; ss by #10528, eff 3-1-14

He-M 506.06 Waivers.

(a) An applicant, area agency, provider agency, individual, guardian, or provider may request a waiver of specific procedures outlined in He-M 506 using the form titled "NH Bureau of Developmental Services Waiver Request" (September 2013 edition). The area agency shall submit the request in writing to the bureau administrator.

(b) A completed waiver request form shall be signed by:

- (1) The individual or guardian indicating agreement with the request; and
- (2) The area agency's executive director or designee recommending approval of the waiver.

(c) A waiver request shall be submitted to:

Office of Client and Legal Services
Hugh J. Gallen State Office Park
105 Pleasant Street, Main Building
Concord, NH 03301

(d) No provision or procedure prescribed by statute shall be waived.

(e) The request for a waiver shall be granted by the commissioner or his or her designee within 30 days if the alternative proposed by the requesting entity meets the objective or intent of the rule and it:

- (1) Does not negatively impact the health or safety of the individual(s); and
- (2) Does not affect the quality of services to individuals.

(f) Upon receipt of approval of a waiver request, the requesting entity's subsequent compliance with the alternative provisions or procedures approved in the waiver shall be considered compliance with the rule for which waiver was sought.

(g) Waivers shall be granted in writing for a specific duration not to exceed 5 years except as in (h) and (j) below.

(h) Those waivers which relate to other issues relative to the health, safety or welfare of individuals that require periodic reassessment shall be effective for the current certification period only.

(i) Any waiver shall end with the closure of the related program or service.

Commented [SA10]: Why the 5 years? What is likely to change?

(j) A requesting entity may request a renewal of a waiver from the bureau. Such request shall be made at least 90 days prior to the expiration of a current waiver.

Source. #6645, eff 12-2-97, EXPIRED: 12-2-05

New. #8604, eff 4-11-06; ss by #10528, eff 3-1-14