NEW YORK STATE | Office for People With Developmental Disabilities

Self-Direction Fiscal Intermediary Checklist

This checklist outlines some of the Fiscal Intermediary responsibilities when assisting a person self-directing their services to use and manage their approved Self-Direction Budget. Such tasks include but are not limited to billing and payment of approved goods and services; fiscal accounting and reporting; Medicaid and corporate compliance; and general administrative supports. The Fiscal Intermediary is the employer of record for staff hired by the person. This checklist is a guidance document and does not replace or supercede established policy, regulation or other service rules.

The Fiscal Intermediary will:

- ❒ Understand and comply with Administrative Memorandum 2019-07 ADM #2019-07 Service Documentation for Fiscal Intermediary Services | Office for People With Developmental Disabilities and all other applicable State and Federal requirements.

- ❒ Set up financial accounting for each person self-directing their services based on the approved Self-Direction Budget and associated service plans.

- ❒ Explain all agency procedures related to billing, reimbursement and required documentation to the person self-directing their services.

- ❒ Provide the person self-directing their services with copies of all written policies and procedures, including the agency grievance policy.

- ❒ Maintain documents for each person self-directing their services including, but not limited to, a current signed Life Plan, identifying the Fiscal Intermediary as the provider of service, current signed Staff Action Plans, service documentation, invoices, and time sheets. Medicaid documentation must be kept for a period of ten years.

- ❒ Ensure staff time sheets and invoices have been reviewed and approved in accordance with person's Self-Direction Budget, Staff Action Plans, Life Plan, and Safeguards.

- ❒ Prior to billing the appropriate government entity (eMedNY or OPWDD), the Fiscal Intermediary will review service documentation to make sure that requirements for billing have been achieved. The Fiscal Intermediary will notify the person or their designee of any requests for payments that do not meet the payment standards for billing.

- ❒ Where a person with Budget Authority receives Direct Provider Purchased/Agency-Supported/contracted services delivered by agencies other than the Fiscal Intermediary, these services must be included in the person's Self-Direction Budget, where applicable, based on the budget type. The Fiscal Intermediary must get service use information from the other agencies on a monthly basis in compliance with Administrative Memorandum 2022-06 (ADM #2022-06 Direct Provider Purchased/Agency Supported/Contract Services Delivered by Providers Who are Not the Fiscal Intermediary FI).

- ❒ Where the FI suspects documentation has been falsified, Fiscal Intermediary staff should follow their agency's false claims reporting procedures. Technical assistance is available on

the Office for People With Developmental Disabilities' website: App B False Claims Recovery for Contractors

- ❒ Generate Monthly Expenditure Reports and make them available to the person self-directing their services or their designee of record, the Support Broker, and any other party chosen by the person self-directing their services or the Office for People With Developmental Disabilities.

- ❒ Work with the person self-directing their services to make sure that any advertisements for self-hired staff comply with equal opportunity employment standards.

- ❒ According to Office for People With Developmental Disabilities regulation, make sure all self-hired and contracted staff are fingerprinted and get criminal background checks **before** being hired. The results of the criminal background check must be kept on file with the Fiscal Intermediary.

- ❒ Make sure appropriate incident management procedures are established and followed. See The Part 624 Handbook and Part 624 Handbook FAQs, at: final-part-624-handbook-updated-with-memo-2_16_23.pdf

- ❒ Make sure all staff have completed Office for People With Developmental Disabilities approved basic agency mandatory training, including incident reporting. Training may be provided by the Fiscal Intermediary or any other approved source.

- ❒ Help with arranging or providing additional staff training as agreed upon with the person.

- ❒ Provide ongoing education to the person self-directing their services and their Circle of Support related to co-employment.

- ❒ Make sure that paychecks to employees and reimbursements to the person or vendors are issued in a timely manner and that fringe benefits are provided to self-hired staff as applicable.

- ❒ Make sure that all staff paid through the Fiscal Intermediary get appropriate wage and tax statements.