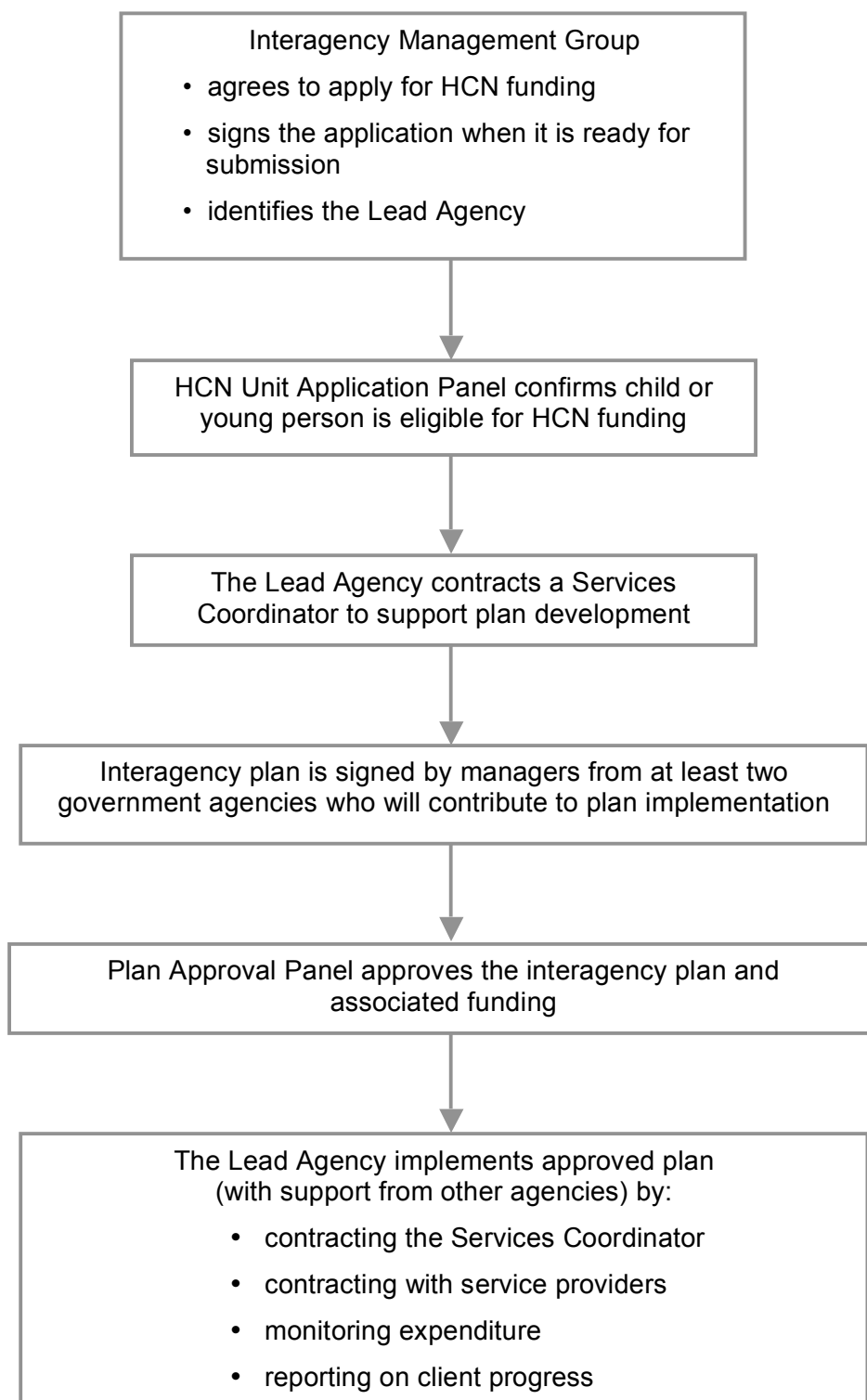


Lead Agency Manager Folder

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Application to implementation



Role of the Lead Agency Manager

As the Lead Agency Manager, you are responsible for the overall implementation of the interagency plan, including:

- managing the Services Coordinator – he or she reports to you
- meeting with the Services Coordinator regularly to ensure the interagency plan is on track
- managing the funding associated with the plan.

You support the implementation of the interagency plan by:

- identifying, engaging and contracting providers
- identifying a Finance Contact in your agency
- ensuring that quarterly reviews are completed
- participating when difficulties arise and helping find solutions.

You need to sign:

- the interagency plan
- any Funding Change Requests
- the Financial Review.

You are **not** responsible for coordinating the interagency team – that is the role of the Services Coordinator.

Role of the Services Coordinator

The Services Coordinator supports you by:

- keeping you informed of progress
- ensuring the team is following the managers' direction
- alerting you to any issues that arise that cannot be managed within normal processes
- meeting with you prior to reviews being submitted to monitor progress and expenditure.

The Services Coordinator supports interagency team members to develop and implement the interagency plan by:

- establishing a team process
- developing a shared vision of the young person's strengths, the priorities for intervention and the barriers to progress
- conveying the team's direction for interventions in sufficient detail to allow the Plan Approval Panel to understand the rationale for what is proposed
- ensuring progress is reviewed regularly and that changes are made accordingly
- working through conflict, should it arise.

The Services Coordinator does not replace the need for usual agency responsibility and processes. The Services Coordinator is not:

- a caseworker
- an advocate for the team, young person, or their family
- a manager of team members
- responsible for resolving issues between agencies
- accountable for funding.

Role of the Finance Contact

As the Lead Agency Manager, you need to identify a Finance Contact from your agency who will work closely with the Services Coordinator once the plan is approved.

The role of the Finance Contact is to:

- create and maintain an individual client financial record
- process payments and update the individual client financial record
- seek reimbursement from the HCN Unit every month
- monitor expenditure against the approved interagency plan budget
- liaise with the Services Coordinator quarterly to complete the Financial Review.

A resource folder for Finance Contacts is available on the HCN website:
<http://www.hcn.govt.nz/publications.htm>

Role of the HCN Advisor

The HCN Advisor supports you by:

- providing advice to clarify the expectations of the Plan Approval Panel
- assisting you with identifying appropriate Services Coordinators
- inducting and supporting Services Coordinators
- providing clear advice regarding planning and funding processes
- reviewing information before it is submitted to the Plan Approval Panel
- providing feedback on the decisions of the Plan Approval Panel
- attending first and third quarterly review meetings, and others by arrangement with you or the team
- alerting you to any issues you need to be aware of.

The HCN Advisor does not:

- advocate at Plan Approval Panel meetings
- act as the team leader
- manage or employ Services Coordinator.

Role of the Interagency Management Group

The Interagency Management Group provides leadership in order to:

- build effective working relationships between agencies
- facilitate access to existing services and provide a problem solving forum for practitioners to seek assistance for individuals with complex needs
- identify and monitor progress of children and young people with high and complex needs
- provide opportunities for interagency liaison between practitioners
- identify service shortfalls and support applications for HCN funding.

Working with children and young people with a high level of complexity is challenging for even the most experienced practitioners. The Interagency Management Group has an important role in supporting them to access advice, guidance and resources at a local level, and, where appropriate, HCN funding.

The Interagency Management Group will receive a copy of the decision letters of both the Application Panel and the Plan Approval Panel. In some instances, managers may need to follow up with their staff.

Roles of the Clinical and Cultural Advisors

Clinical Advisor

A Clinical Advisor is usually someone who has expertise in the most pervasive area of need for the young person: for example, offending, drug and alcohol abuse, autism.

The Clinical Advisor should be able to provide impartial advice and guidance to all team members about appropriate interventions across all wellbeing domains.

This role may be filled by an expert within a government agency, but may also be usefully filled by someone working in a private capacity.

The Clinical Advisor occasionally may have a direct role with the young person, but more often will have a consultative role with team members, reviewing case notes and assisting the team to identify concerns and barriers to progress, as well as effective interventions.

Cultural Advisor

A Cultural Advisor is usually someone who has relevant expertise to the needs of the young person and close links to their culture. This role is especially important when children or young people do not have strong links to their culture.

The Cultural Advisor may be a kaumatua or kuia, or may be someone from an agency who has been identified for the role by their iwi. For non-Māori, Cultural Advisors are often linked to government agencies (refugee services, for example).

The role of the Cultural Advisor includes supporting the team in identifying culturally appropriate team processes to ensure that the young person and their family/whānau feel at ease as team members, and helping team members understand the cultural significance of matters that may arise.

It also includes ensuring that appropriate links are made to agencies, iwi or cultural groups who could support the young person, and that interventions enhance the young person's wellbeing as well as their cultural supports.

Recruiting the Services Coordinator

The Services Coordinator role is estimated to be 0.2 FTE for each interagency plan. You should use your normal recruitment and vetting processes (i.e. police and referee checks) and contracts for employing contractors on a fixed term contract.

A job description and sample contract for Services Coordinators can be found on the HCN website: <http://www.hcn.govt.nz/formtemps.htm>

Competencies for the role are:

- planning and organisation
- leadership
- teamwork and facilitation
- relationship management
- problem-solving and judgement
- technical skill and knowledge
- writing skill and attention to detail
- client focus
- information gathering and analysis.

Draft advertisement for Services Coordinators

Key concepts for an advertisement for a Services Coordinator:

Do you have experience working with children and young people? Do you have experience working as part of a team? Are you solution-focused?

We are seeking an experienced, highly organised professional with good attention to detail and proven facilitation skills to provide support and coordination to a multi-disciplinary team working with a young person with high and complex needs.

This is a fixed-term, part-time position. You need a drivers license, good written communication skills, IT literacy, and the commitment to see the young person realise his or her potential.

We encourage the Interagency Management Group to regularly consider who is available in their area who would be suitable for the Services Coordinator role.

Welcome letter for Services Coordinators

SAMPLE

Dear (insert name),

Welcome to your new role as Services Coordinator for [client name]. You will be responsible for facilitating the development of the interagency plan and, once this is approved, facilitating and coordinating the implementation of the plan. The central purpose of your role is the leadership, coordination and facilitation of the team, including professionals, the family or caregiver and the young person so that the best possible outcomes for [insert name] are achieved.

You are employed by and will be accountable to me. You will need to invoice [Lead Agency] for payment every month, as per your employment contract. [Include details of how this is to occur.]

There are a number of resources available to help you in your new role, including:

- an introductory, step-by-step resource folder which contains all the specific information for your role
- team planning resources to assist with plan development:
www.hcn.govt.nz/teamplanning.htm
- the HCN Advisor, who is available to help clarify HCN processes - [HCN Advisor's name] will provide support and guidance with plans and reviews.

Information is also available on the HCN website: www.hcn.govt.nz

Once again, I'd like to welcome you to your new role. I'm sure you will find working to improve the lives of children with high and complex needs rewarding.

Yours sincerely,

Manager

This template can be found on the HCN Unit website:
<http://www.hcn.govt.nz/formtemps.htm>

How to support the Services Coordinator

You should:

- welcome the Services Coordinator to the office
- introduce them to key people
- work through the details of their contract and ensure they are clear about the process for payment
- show them a desk and computer they can use
- show them how and where to access resources (i.e. photocopier, courier, etc.)
- make certain they know how to book meeting rooms
- introduce them to the Finance Contact
- discuss with them how best to liaise with you (i.e. face-to-face, regular meetings, via email, etc.)
- discuss the direction provided by the Interagency Management Group
- confirm interagency team membership
- arrange to meet with them regularly.

You will also need to negotiate how you will support the Services Coordinator with costs for:

- photocopying
- couriating documents
- travel
- access to training from the HCN Unit.

Paying the Services Coordinator

You should have a contract in place for the Services Coordinator.

The HCN Unit contributes the following amounts for work by Services Coordinators:

- \$3,360 (excluding GST) as a one-off payment to the Lead Agency to work with the interagency team to develop the interagency plan, once the application is approved.
- \$13,968 per annum, or \$1,164 per month (excluding GST) for a 12 month interagency plan, once the plan is approved.

The Services Coordinator needs to submit invoices for their work to your agency every month.

If Child, Youth and Family Services is the Lead Agency, the HCN Unit will credit payments for services coordination to your site cost centre at the end of each month for the duration of the plan.

If education, health and disability services are the Lead Agency, the HCN Unit will need to be invoiced every month for reimbursement of the HCN Unit's contribution for services coordination.

NB. If a client has a second plan with HCN funding, the HCN Unit does not make a second plan development contribution, as this is normally completed within the life of the first plan.

Promoting successful team planning

The HCN Unit has developed resources to assist Services Coordinators work with teams to develop robust interagency plans. They address key areas that we know contribute to successful outcomes for children and young people, and include:

- a guide to team planning
- booklets for practitioners, the family/caregiver, and the young person
- a team analysis framework
- a guide to goal setting
- a guide to measuring progress.

Using these resources, the Services Coordinator will work with the team to:

- ensure meeting protocols are established
- develop a shared understanding of the young person's needs
- identify and prioritise the areas to be addressed by the plan
- develop specific, detailed interventions so that all team members know who will be accountable for what.

It takes teams approximately 10 weeks to develop a detailed interagency plan.

The team planning resources are available on our website:

www.hcn.govt.nz/teamplanning.htm

Addressing potential conflicts of interest

Conflicts of interest arise when one or more of the contributors to the plan might benefit financially from HCN funding. This most commonly occurs with private providers, but also occurs when fund-holders (such as special schools) are team members.

The risk is, when private providers are contracted to support plans, they have the potential to profit directly. This could occur if they are able to direct the team regarding how much of their service is required, or how they will deliver it. It is therefore important that the team, and not the provider, takes responsibility for plan direction and decides on the appropriate frequency and intensity of support from providers. As Lead Agency Manager, you might need to take an active role in managing potential conflicts of interest.

The team should have completed its analysis and planning processes and be clear about what is needed before discussion with provider(s) occurs. It needs to be made clear that the final decision regarding potential providers' services will be made by you, as Lead Agency Manager, (once the plan has been approved) and that you will enter into a contract with them for service provision.

Potential conflicts of interest are best managed by clarifying the role of the provider at the beginning of the process. Usually their role in the team would be to:

- inform team members of what services they are able to provide
- make recommendations regarding the intensity of service the young person requires
- provide quotes for services
- provide written reports to the team regarding progress, at time of review
- provide regular updates to the team.

The Services Coordinator will work with the team to set up processes that ensure that decisions about the plan direction, appropriate interventions and associated costs occur once providers have left the meeting.

Benchmark Pricing Tool

The HCN Unit has developed a set of service price benchmarks to support the development and pricing of interagency plans. These guide the Plan Approval Panel's assessment of interagency plan funding requests at the approval stage.

The price benchmarks are indicative only. Circumstances that may influence price (both positively and negatively) are indicated. Where prices are above the benchmark indicated, the case for that higher price will need to be clearly articulated in the plan.

The Benchmark Pricing Tool is available on the HCN website:

<http://www.hcn.govt.nz/funding.htm> under the heading *HCN Benchmark Pricing Tool*.

The Plan Approval Panel

The Plan Approval Panel is chaired by the HCN Unit Manager and includes practice leaders and managers from Child, Youth and Family, CAMHS, Special Education and the disability sector. HCN Advisors also participate by providing information to the Panel, but they do not participate in decision-making for any plans they advise on.

The Plan Approval Panel has a key role in decision making regarding the funding of interagency plans for children and young people with high and complex needs. The Panel's role is to:

- assess whether the interagency plan is likely to meet the needs of the young person
- assess whether interventions are likely to, or are, making a positive difference
- assist teams by making suggestions or recommendations that are aligned with current knowledge of best practice
- confirm that the funding requested is an appropriate use of public funding.

The Plan Approval Panel considers the following questions when reviewing interagency plans:

- are the right people/agencies on the team?
- are any potential provider conflicts of interest being avoided?
- is the child/young person appropriately engaged with the plan direction?
- have any Application Panel recommendations been addressed?
- does the plan address the needs identified in the application?
- are the client goals specific, measurable and achievable?
- are the interventions consistent with good practice?
- are the interventions culturally appropriate?
- is the team clear how they will measure progress towards goals?
- are agency contributions reasonable?
- is the funding requested reasonable?

Plan Approval Panel decisions

Within five working days of the Plan Approval Panel's meeting, you will receive a letter, budget and funding summary electronically.

The letter:

- will be addressed to you
- will be copied to the team
- will be copied to the Interagency Management Group.

The letter may include recommendations from the Panel. The HCN Advisor will be able to discuss the Panel's feedback with you and the team. The team does not have to agree with the Panel's recommendations but the rationale for the team's decision should be provided.

The Panel will look for a response to its recommendations at the next review – if this does not occur, related Funding Change Requests may be jeopardised.

The budget:

- will only go to you, the Finance Contact and the Services Coordinator
- may differ from the original request, in which case there will be commentary explaining the Panel's rationale for the change.

The funding summary:

- will only go to you, the Finance Contact and the Services Coordinator
- will be sent in PDF and Excel
- the Excel version should be used by the Finance Contact to create an individual client record against which invoice payment can be recorded.

If the Panel is unable to approve the plan, you will receive a phone call from the HCN Unit Manager prior to the letter being sent. This allows you to understand the rationale for the Panel's decision and work with the team to assist their understanding.

Preparing for plan implementation

Once the interagency plan is approved, the funding is available from the first day of the following month. This allows you time to:

- set up contracts with providers according to the approved budget
- confirm the approved funding to the relevant agencies and providers
- meet with the Services Coordinator to discuss the Plan Approval Panel letter and any follow-up that might be necessary
- schedule meetings with the Services Coordinator, at least every quarter, to discuss client progress and reviews
- liaise with the Interagency Management Group to discuss any Plan Approval Panel recommendations, and to ensure that the case continues to be monitored by the Interagency Management Group
- confirm the Finance Contact.

You will also need to identify and liaise with the Finance Contact to ensure that:

- they understand their role
- an individual client financial record has been created
- the importance of the HCN Business Rules has been discussed
- they understand your agency's process for seeking monthly reimbursement for invoices/journals
- a liaison between the Financial Contact and the Services Coordinator has been established
- the processes for providing quarterly Financial Reviews are in place.

The Finance folder contains information specifically for the Finance Contact, including examples, and is available on our website:

<http://www.hcn.govt.nz/publications.htm>

HCN Unit Business Rules

As the Lead Agency Manager, you are accountable for managing the approved HCN funding. The Finance Contact will do this on your behalf.

Here are the business rules we expect you to follow:

- interagency plan funding starts on the first of the month following plan approval
- every three months a review is due that includes:
 - a summary of the client's progress
 - a report on the use of funding (Financial Review)
- invoices/journals are expected monthly for reimbursement
- the HCN Unit will not reimburse invoices that are more than 90 days old
- if a review is more than a month late, we'll remind you it is overdue; if it is more than two months overdue, funding will cease
- the HCN Unit does not fund retrospectively
- the HCN Unit does not fund capital items.

Selecting and contracting with providers

You will usually be able to take advice from the interagency team as to the characteristics required of the provider, and as to whether any particular provider (or group of potential providers) may be suitable to deliver aspects of the interagency plan.

You should use your agency's usual procurement processes to identify service providers. Those processes will usually be the selective purchasing processes with a preferred supplier, but there may be rare occasions where a competitive tender process is required.

Whatever procurement processes are used, as agents of the Crown, you need to ensure that you act, and are seen to be acting, in a fair, open and unbiased manner when procuring services for interagency plans with HCN funding.

For more information on the procurement processes please refer to the website: <http://www.hcn.govt.nz/funding.htm> - scroll down to the HCN Funding Process Handbook link.

You will need to enter into contracts with the private providers of services to the interagency plan as this helps to:

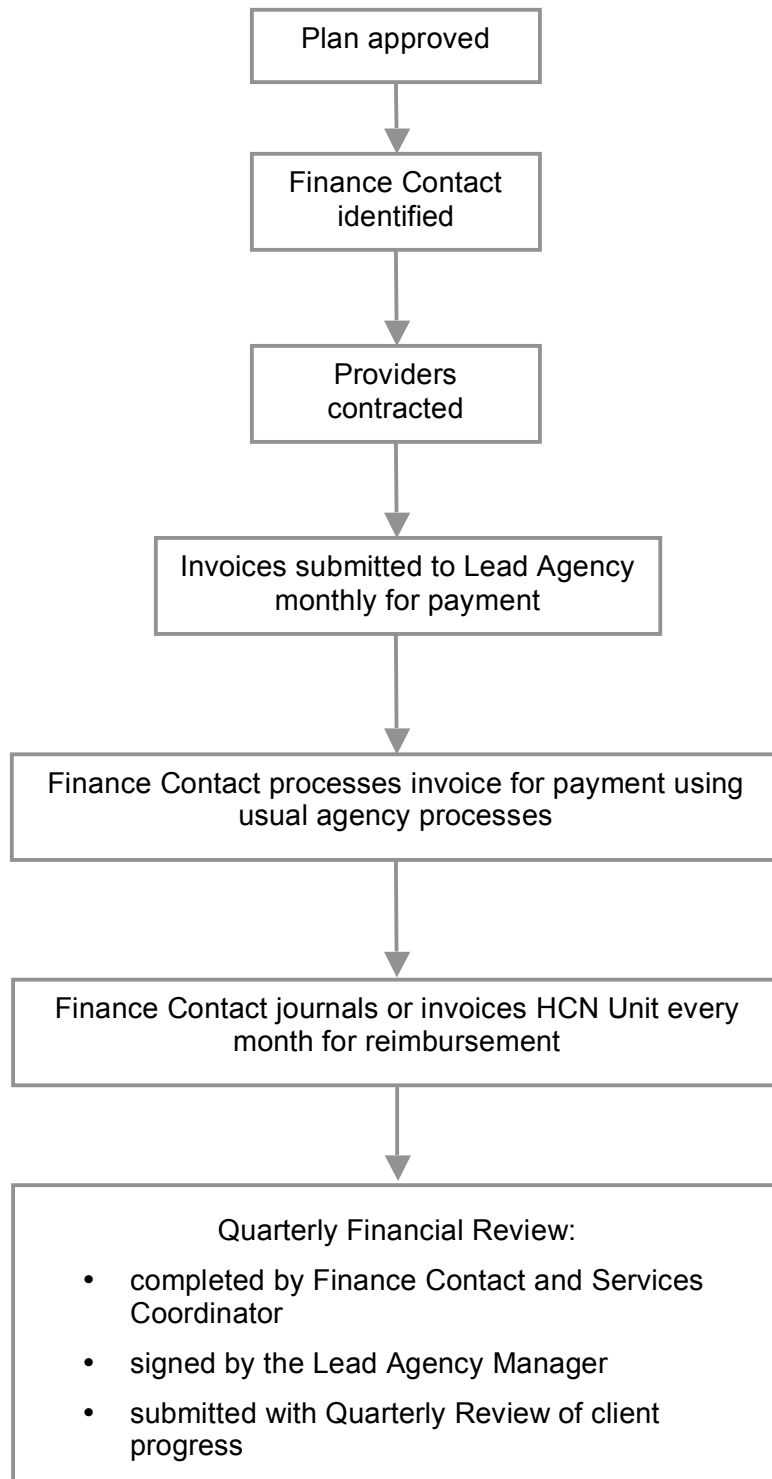
- ensure clarity regarding the services to be provided
- protect the young person from sudden change and your agency from unexpected expenses
- ensure timely reporting and invoicing.

You should ensure the contract with the provider addresses the following key points:

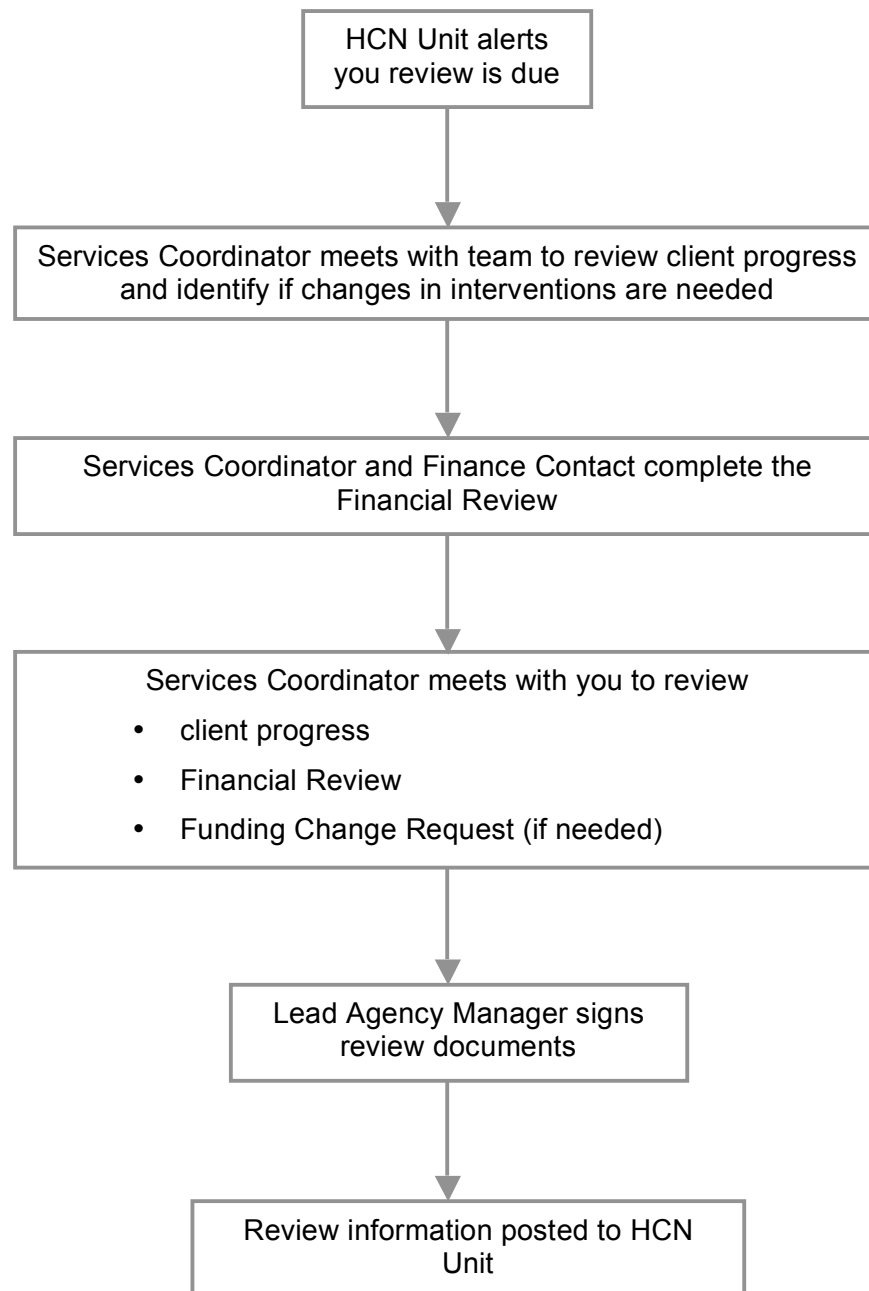
- that they are contracted to only provide the services detailed in the interagency plan
- that they are required to invoice you monthly to ensure they are paid for their services
- that potential provider conflicts of interest are managed
- that reporting requirements are clear: usually a provider is asked to prepare reports for quarterly reviews, as well as regular feedback to the team regarding the young person's progress
- that there is a clause explaining what will happen if the agreement breaks down (i.e. the young person removes himself/herself from placement/service or goes to a residential facility). For example, your agency might agree to pay them for one month following the breakdown.

Contract templates are available on the HCN website: <http://www.hcn.govt.nz/formtemps.htm>

Payment and reimbursement process



Quarterly Review process



Reviewing client progress

The HCN Unit expects that the interagency team will review client progress on a regular basis. Every three months a summary of progress against the goals set must be submitted to the Plan Approval Panel who monitor the effectiveness of the plan. The dates of the review are listed in the initial Plan Approval Panel letter.

The Services Coordinator needs to work with the team to:

- update the client information
- report on progress against the identified goals
- address barriers to progress if they become apparent
- identify if interventions need to change
- obtain the young person's views and the views of their family
- help the team reflect on how the collaboration between team members is working
- respond to Panel feedback.

Any Funding Change Requests should be identified as a result of the review and be submitted on the Funding Change Request Form along with the review and the Financial Review.

There are three parts of a review that you need to sign:

- review of client progress (Services Coordinator and team)
- Financial Review (reconciling records)
- Funding Change Request (if needed).

The Financial Review

Three weeks before each review is due, the HCN Unit will send out a Funding Summary for each client which shows all approvals and reimbursements to date, according to HCN Unit records. It will be sent to you and copied to:

- the Finance Contact
- the Services Coordinator.

The Services Coordinator will help the Finance Contact to complete the Financial Review. On receipt of the Funding Summary, the Finance Contact should:

- check that the approvals and reimbursements detailed in the summary match the Lead Agency's records
- identify where there are differences.

The amount currently available according to local records needs to match the amount currently available according to HCN Unit records.

The Financial Review allows you to advise the HCN Unit of interventions that have occurred and any invoices which have been received and/or paid locally, but which have not yet been reimbursed. This allows the HCN Unit to accrue these costs in its system. This should be done by completing the Financial Review form and attaching copies of the invoices.

Once the Financial Review is completed, it should be discussed with you (along with the interagency plan review of client progress) before you sign the documents and send them in hard copy to the HCN Unit.

Funding Change Requests

During the review, changes required to the approved funding should be identified and a Funding Change Request Form submitted to the Plan Approval Panel. This form should be used to:

- identify funding no longer required
- request additional funding
- re-phase approved funding if interventions did not occur when planned.

Following the Panel decision the Finance Contact will:

- receive a copy of the letter and a Budget detailing the amounts approved (excluding GST); the Budget provides a rationale if the funding approved is different than the request
- need to update the individual financial record for the client with any changes.

Before signing the review

Before you sign the review documentation, you will need to ensure that:

- recommendations from the Plan Approval Panel have been responded to
- the views of the child/young person and their family/caregivers are included
- progress against the identified goals has been reported
- any new concerns have been addressed
- the Financial Review has been completed and balances with the HCN Unit records
- any Funding Change Requests have a clear rationale, are reasonable and are consistent with the plan direction
- the HCN Advisor's feedback has been considered.

End of Financial Year

June is the end of the HCN Unit's financial year, and the HCN Unit needs to be informed of any costs that have been incurred and any services that have been provided so that it can pay for these services from the right financial year, even if invoices for them are received in the new financial year.

You need to ensure that the Finance Contact and the Services Coordinator complete the End of Financial Year Form for each client with HCN funding. The form should include:

- detail of any invoices received by the Lead Agency that will not be reimbursed by the HCN Unit for before the end of June
- copies of invoices listed on the End of Financial Year Form
- an estimated cost for interventions that have occurred, but that have not yet been invoiced.

You will receive a letter from the HCN Unit at the beginning of June reminding you this process is due.

The End of the Financial Year Form can be found on the HCN Unit's website (www.hcn.govt.nz/formtemps.htm).

Considering further funding

HCN funding is for short term intensive interventions aimed at addressing underlying issues for the child or young person so they can make lasting changes. While many plans can be completed within one to two years there are a few that require a longer period of HCN funding.

The third review is the time to identify if funding needs to continue for another twelve months or for a three or six month transition plan.

To agree to a further period of funding, the Plan Approval Panel needs evidence that:

- the plan direction is successful
- the young person continues to have needs that cannot be met by local services
- there is potential for significant change
- intensity of interventions will reduce over time.

The need for further funding should be discussed with the Interagency Management Group. If necessary, direction should be given regarding whether:

- a further 12 months of funding is necessary, if significant interventions continue to be indicated
- a three- to six-month transition plan is needed, if local services can meet the need after this time.

Longer duration of HCN funding requires evidence at different levels of interagency agreement, as outlined below:

- Year 2 – team, Lead Agency Manager and Plan Approval Panel.
- Year 3 – team, Lead Agency Manager, Interagency Management Group and Plan Approval Panel.
- Year 4 – reapplication, supported by team, Lead Agency Manager, Interagency Management Group and Application Panel.

Plans should be developed and submitted during the fourth quarter of the plan cycle to ensure continuity of funding.

Reapplication

If a young person has received three years of HCN funding, or if they have previously had HCN funding and now a further plan is indicated, then a reapplication is required.

When considering a reapplication, the Application Panel needs to agree:

- there is continued complexity of need across two government agencies
- local services are unable to meet the need.

In addition, they look for:

- understanding and analysis of why previous interventions have not created lasting changes
- what would be different with a further plan
- the likelihood of benefit for the child or young person.

Completing the Final Review

The Final Review form should be completed when HCN funding ceases. It is designed to assist the whole team to reflect on the progress that has occurred as a result of the interagency plan(s).

The Final Review is an opportunity for the whole team, as well as you and the Interagency Management Group, to look back on the goals set at the beginning of HCN funding and reflect on the progress that has occurred, which interventions have been most effective and to identify anything that could have been done differently.

Contributions from you and the Interagency Management Group help the HCN Unit reflect on its processes and identify resources that could be changed or developed to better support you, the Interagency Management Group, and other teams.

The information provided is also used by the HCN Unit to identify what contributes to:

- successful interventions
- successful collaboration
- assisting teams to overcome barriers.

Transition between geographic areas

Good communication is essential when children and young people accessing HCN funding move between areas at any stage of the application, plan development, or plan implementation process. If a young person moves areas you should:

- contact your counterpart manager in the receiving area to discuss the identified needs and service shortfalls
- alert the HCN Advisor of the change
- arrange to discuss the case with the Interagency Management Group in the receiving area (your counterpart manager should know when the next meeting is) and be able to facilitate this discussion
- arrange for the Services Coordinator and/or team members to liaise with the new managers and team members during the transition process and ensure appropriate services are in place to allow the plan to continue.

In the receiving area, agencies are likely to have different capacities to meet client needs. The Interagency Management Group in the receiving area needs to identify potential changes in service shortfall

The transition should be completed within one quarter of the plan.