




Developmental Services
Behavior Assistant Services
 Monitoring Protocol

Behavior assistant services are one-on-one activities related to the delivery of behavior analysis services, as defined under Behavior Analysis Services and Assessment, and are designated in and required by a behavior analysis service plan. Activities include monitoring of behavior analysis services, the implementation of behavioral procedures for acquisition of replacement skills and reduction of problematic behaviors, data collection and display (e.g., graphics) as authorized by a recipient’s behavior analysis service plan and assist the person certified as a behavior analyst or licensed under Chapter 490 or 491, F.S., in training of caregivers. The behavior analysis service plan must be designed, implemented and monitored in accordance with 65B-4.030, Florida Administrative Code (F.A.C), and approved in accordance with 65B-4.029, F.A.C. Behavioral assistant services are designed for recipients for whom traditional residential habilitation services have been documented unsuccessful or are considered to be inappropriate for health or safety reasons and for children who require behavioral services but for whom providing services in the family home will likely be more effective and least restrictive. Services should be provided for a limited time and discontinued as the support persons gain skills and abilities to assist the recipient to function in more independent and less challenging ways. Behavioral assistant services for children should supplement and support, transfer stimulus control and generalize behavior change, the acquisition and reduction plans designed and implemented by the primary source of services for children, the education system.

Cite	Standard	Probes
Explanation of Monitoring Tool Symbols/Codes		
	Alert: Denotes a critical standard or cite relating to health, safety and rights. A deficiency requires a more intense corrective action and follow-up cycle.	
“W”	Weighted Element: A “W” followed by 2.0 or 4.0 in the Cite column denotes elements that have a greater impact on the monitoring score.	
“R”	Recoupment: An “R” in the Cite column denotes an element that is subject to recoupment of funds by the State if the element is “Not Met.”	

Cite	Standard	Probes
B. Provider Qualifications and Requirements		
<i>For all training related elements of performance appearing under this section: Review Area Office requirements for mandatory meetings and training documentation. Review provider's/staff member training records to determine if documentation is maintained, and at a minimum includes: The topic of the training; Length of the training session; Training dates; Participants' signature; Instructor's name; Objectives and/or a syllabus.</i>		
1	<p>High school diploma and be at least 18 years of age. Two years experience providing direct services to individuals with developmental disabilities</p> <p>Or</p> <p>At least 120 hours of direct services to individuals with complex behavior problems, as defined in Chapter 65B-4.031(2), F.A.C.,</p> <p>Or</p> <p>90 classroom hours of instruction in applied behavior analysis from non-university/college classes or university courses.</p>	<p>Review provider or a sample of provider staff personnel files, including qualifications, job descriptions and training records for evidence of the required qualifications.</p>
2	<p>Staff have twenty (20) contact hours of instruction in the following content areas:</p> <ol style="list-style-type: none"> a. Introduction to applied behavior analysis—basic principles and functions of behavior; b. Providing positive consequences, planned ignoring, and stop-redirect-reinforce techniques; c. Data collection and charting; and d. Either a certificate of completion or a college or university transcript and a course content description verifying the applicant completed the required instruction. 	<p>Review personnel files and other provider training records for evidence of required training prior to providing service.</p> <p><i>Note: The 20 hours of instruction may be obtained within the 90 hours of instruction used to meet the qualifications requirement.</i></p>

Cite	Standard	Probes
3	Proof of current training and certification is available for all independent providers and agency staff in Cardiopulmonary Resuscitation (CPR).	<p>Review personnel files and other provider training records for evidence of required training.</p> <ul style="list-style-type: none"> • Provider/staff have 30 days from initially providing the service to complete training. • Determine if the provider and staff receives retraining according to the requirements established by the sponsoring organization. <p><i>Note: A certified trainer must provide CPR training.</i></p>
4	Proof of current training is available for all independent providers and agency staff in AIDS and infection control.	<p>Review personnel files and other provider training records for evidence of required training.</p> <ul style="list-style-type: none"> • Provider/staff have 30 days from initially providing the service to complete training. • Determine if the provider and staff receives retraining according to the requirements established by the sponsoring organization. <p><i>Note: American Red Cross <u>First Aid</u> Training does not meet the requirement for AIDS training.</i></p> <p><i>Note: The Area Office is not the sole source for a provider to find training programs and activities referred to in the Core Assurances. Providers may develop their own curriculum for their staff; provider and their staff may attend a program offered through another provider or sponsored by another organization such as the American Red Cross.</i></p>
5  W4.0	Level two background screenings are complete for all direct service employees.	<p>Review personnel files for evidence of:</p> <ul style="list-style-type: none"> • Notarized affidavit of good moral character; • Proof of local background check • Documentation of fingerprints submitted to FDLE for screening and screening reports on file; • Criminal records that include possible disqualifiers have been resolved through court dispositions. • If this is an agency, look for evidence that the provider has used the screening information to identify any potentially disqualifying offenses and to make a determination of eligibility of the employee to render services and supports. As appropriate, look for evidence of Area Office exemptions on disqualifying offenses.

Cite	Standard	Probes
6  W4.0	Provider undergoes background re-screening every 5 years.	<ul style="list-style-type: none"> • Review available personnel files or records to verify that provider and staff, as applicable, undergo background re-screening at least every 5 years. • Look for evidence of completion and submission of an FDLE Form, identified as either attachment 3 or 4. <p><i>Note: Fingerprint cards are not required on resubmission.</i></p>
7	The provider attends mandatory meetings and training scheduled by the Area Office and/or Agency.	<p>If this is an onsite visit:</p> <ul style="list-style-type: none"> • Ask the provider if they are aware of Area Office and Agency mandatory meeting and training schedules. Ask the provider if they can produce any notices, announcements or agendas received about meetings or training. • Ask the provider what Area Office and Agency meetings or training they have attended during the review period. • Ask the provider for any evidence they have to verify attending the meeting or training. <p>If this is a desk review</p> <ul style="list-style-type: none"> • Look for evidence in documents supplied by the provider of attendance at Area Office and Agency meetings, such as notes in personnel files or other records. <p><i>Note to Reviewers: If the Area Office has not sponsored any mandatory meetings or training, score this element Not Applicable.</i></p>
8 NEW	Direct service staff has received training in the Agency's Direct Care Core Competencies Training.	<p>Look for documented evidence that direct service staff have received this training or an equivalent which has been approved by the Agency.</p> <p>Training was received within the required timeframes as developed by the Agency.</p> <p>This training may be completed using the Agency's web-based instruction, self-paced instruction or classroom-led instruction. Self-paced instruction must be approved by the Area Office prior to use.</p>

Cite	Standard	Probes
9 W2.0	Independent providers and agency staff receive training on responsibilities and procedures for maintaining health, safety and well-being of individuals served.	<p>Review provider personnel files or training records for evidence of this type of training.</p> <p>Ask the provider and/or their staff about what types of training programs they have and continue to attend.</p> <p>Training on health, safety and well-being of individuals could include such topics as:</p> <ul style="list-style-type: none"> • Fire safety for the environment; • Evacuation procedures in the event of natural or other disasters; • Training on what to do in the event of personal health emergencies involving consumers; • Basic infection control training, e.g., hand washing before and after all contact with consumers; • Appropriate mealtime interventions; • Positioning requirements, as applicable. <p>Refer also to the provider’s policy in this area to determine compliance.</p> <p><i>Note: The Area Office is not the sole source for a provider to find training programs and activities referred to in the Core Assurances. Providers may develop their own curriculum for their staff; providers and their staff may attend a program offered through another provider.</i></p>
10	Independent providers and agency staff receive training on required documentation for service(s) rendered.	<p>Look for evidence that the provider and/or staff have received training on the type and format of documentation that is required for the services and supports that they render.</p> <p>Examples of this training could include:</p> <ul style="list-style-type: none"> • The proper format and content of a progress note, • Recording data related to an individual’s progress towards achieving goals, • Documenting the activities that individuals participate in during their time with the provider. • Instruction on documentation that is required for reimbursement and monitoring purposes. <p><i>NOTE: The Area Office is not the sole source for a provider to find training programs and activities referred to in the Core Assurances. Providers may develop their own curriculum for their staff; provider and their staff may attend a program offered through another provider.</i></p>

Cite	Standard	Probes
11	Independent provider and agency staff receive training on responsibilities under the Core Assurances.	<p>Look for evidence that the provider and/or staff have been familiarized with and have had some training related to the Core Assurances section of their Waiver Services Agreement and the DS Waiver Services Florida Medicaid Coverage and Limitations handbook.</p> <p>Examples of this training could include instruction on:</p> <ul style="list-style-type: none"> • The rights of individuals in the program and how the provider respects these rights; • Maintaining confidentiality of consumer information; • Offering individual’s choice of services and supports; • Recognizing and reporting of suspected abuse, neglect or exploitation; • Assisting individuals in achieving personal goals and desired outcomes; • Rendering services in an ethical manner. <p><i>NOTE: The Area Office is not the sole source for a provider to find training programs and activities referred to in the Core Assurances. Providers may develop their own curriculum for their staff; provider and their staff may attend a program offered through another provider.</i></p>
12	Independent providers and agency staff receive training on responsibilities under the requirements of specific services offered.	<p>Look for evidence that the provider and/or staff have been familiarized with and have had training related to the service specific sections of their Waiver Services Agreement and DS Waiver Services Florida Medicaid Coverage and Limitations handbook.</p> <p>Examples of this training could include instruction on:</p> <ul style="list-style-type: none"> • Specifics of rendering services and supports; • Service limitations; • Service documentation requirements; and • Billing for services. <p><i>NOTE: The Area Office is not the sole source for a provider to find training programs and activities referred to in the Core Assurances. Providers may develop their own curriculum for their staff; provider and their staff may attend a program offered through another provider.</i></p>

Cite	Standard	Probes
13	Independent providers and agency staff receive training on use of personal outcomes to establish a person-centered approach to service delivery.	<p>Look for evidence that the provider and/or staff have received training on using desired outcomes for individuals as the guide for rendering services and supports.</p> <p>Examples of this training could include instruction on:</p> <ul style="list-style-type: none"> • Performing one-on-one activities related to implementation of the individual’s behavior analysis service plan; • Implementing behavioral procedures; • Monitoring individual’s behavior analysis services from the standpoint of the outcome that is desired by the individual and/or family. • Use of personal Outcome Measures, or another person-centered planning approach. • Individualizing service delivery methods. <p>Also refer to the provider’s policy in this area to determine specified training.</p> <p><i>Note: This does not mean that the provider must have received the official Personal Outcome Measures training (with the exception of Support Coordinators). Other person-centered approaches are acceptable.</i></p> <p><i>The Area Office is not the sole source for a provider to find training programs and activities referred to in the Core Assurances. Providers may develop their own curriculum for their staff; provider and their staff may attend a program offered through another provider.</i></p>

Cite	Standard	Probes
14 W2.0	Independent providers and agency staff receive other training specific to the needs or characteristics of the individual as required to successfully provide services and supports.	<p>Look for evidence that the provider and/or staff assigned to render services and supports to individuals have received some orientation to an individual and their unique characteristics and needs.</p> <p>The family or guardian, a physician or nurse, other providers or people who are in regular contact with and understand the unique characteristics and needs of the individual can provide this orientation.</p> <p>Examples of this training could include instruction on:</p> <ul style="list-style-type: none"> • Communicating with the individual; • Positioning requirements for the individual, as applicable; • Instruction on a behavior program, if applicable to the individual; <p>This training will typically be one-on-one in nature, and therefore documentation may not take the form of an agenda, or curriculum with handouts and outline. Also look for evidence in the consumers record, such as in progress notes or other provider documentation.</p>
15	Proof of required training in recognition of abuse and neglect to include domestic violence and sexual assault, and the required reporting procedures is available for all independent vendors and agency staff.	<ul style="list-style-type: none"> • Review personnel files and other provider training records for evidence of required training. • If applicable, ask staff about the in-service training that they have received. • Training should include prevention, detection and reporting requirements.
C. Service Limits and Times		
16	Provider is authorized to render behavior assistant services.	Review provider records for a service authorization.
17	Provider renders services and supports at a frequency and intensity as defined in the service authorization.	<p>Review provider records for a service authorization and behavior analysis service plan and compare these to the provider's service log, claims data and monthly summary.</p> <p>Services are rendered in the setting(s) relevant to the behavior problems being addressed.</p>

Cite	Standard	Probes
18 W2.0	The responsible Behavior Analysis Services Local Review Committee chairperson approves behavioral Assistant services.	Review provider records for evidence that the Local Review Committee (LRC) has approved services. Behavior assistant services and activities are designated in and required by an Behavior Analysis Service Plan.
19	A person certified in behavior analysis monitors Behavioral Assistant services.	Review provider records for evidence that their services are monitored by a certified behavior analyst (CBA). Review copy of monitoring plan and proof of monitoring.
20 W2.0	Training for caregivers is part of the services rendered when these persons are integral to the implementation or monitoring of a behavior analysis services plan.	Review provider records for documentation that training of appropriate caregivers has occurred as required to implement or monitor the behavior analysis services plan.
21	Providers of incidental transportation comply with program requirements.	<p><i>(Incidental transportation is considered that which is outside of the transportation for disadvantaged program.)</i></p> <ul style="list-style-type: none"> • Determine if the provider transports individuals. If yes, determine if the provider is following program requirements including: <ul style="list-style-type: none"> ➤ If transportation is provided in personal cars and/or agency vehicles, check personnel files to verify that valid licenses, vehicle registration and proof of insurance coverage are on file and current. ➤ The Area Office should be notified immediately of any traffic violations, with the exception of parking tickets. ➤ Ask the provider about their system to ensure vehicle safety.

Cite	Standard	Probes
D. Documentation		
22 R	Provider has at a minimum a copy of the behavior analysis service plan.	<p>Review provider records to determine if a behavior analysis services plan is present.</p> <p>Look for evidence that the behavioral support plan has been sent to the support coordinator.</p> <p>This Cite is subject to recoupment as reimbursement documentation if not available.</p>
23 R	Provider has at a minimum a copy of service logs for the period being reviewed.	<p>Review provider records to determine if they contain service logs that include the required information.</p> <p>Determine from documentation that the provider is</p> <ul style="list-style-type: none"> ➤ Monitoring behavior analysis services ➤ Implementing behavioral procedures ➤ Training other caregivers ➤ Collecting data on an individual's progress. <p>Service logs are to be submitted to the waiver support coordinator on a monthly basis.</p> <p><i>Note: A service log contains the individual's name, social security number, Medicaid ID number, the description of the service, activities, supplies or equipment provided and corresponding procedure code, times and dates service was rendered.</i></p> <p>This Cite is subject to recoupment as reimbursement documentation if not available.</p>

Cite	Standard	Probes
24 R	Provider has at a minimum copies of all monthly summary notes.	<p>Review provider records to determine if they contain a summary note of the month's activities indicating the individual's progress toward achieving their support plan goals for the month billed.</p> <p>For Behavior Assistant Services the monthly summary must include a statement of what was accomplished during the preceding billing period with reference to The specific behavioral interventions, behaviors targeted for change and monitoring requirements that are described in the client's behavior analysis services plan.</p> <p>Monthly summaries are to be submitted to the waiver support coordinator at the time of claims submission.</p> <p>This Cite is subject to recoupment as reimbursement documentation if not available.</p>

Behavioral Assistant 11-22-05.doc
REV 10-26-01; 10-30-01; 11-01-01; 10.21.02; 11.20.02; 02.03.03; 02.04.03; 10-24-05; 11-22-05