

Developmental Services
In-Home Support
 Monitoring Checklist

Provider Number: _____

Provider Name: _____

Review Date: _____




Provider Address: _____

Reviewer Name: _____

District: _____

Location: _____

Agency Provider Solo Provider Onsite Review Desk

Cite	Standard	Met	Not Met	N/A
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.”				
B. Provider Qualifications and Requirements				
1	Independent providers or employees of an agency must be at least 18 years of age and have at least one year of experience working in a medical, psychiatric, nursing or child-care setting, or working with individuals who have a developmental disability			
2	Proof of current training and certification is available for all independent vendors and agency staff in Cardiopulmonary Resuscitation (CPR).			
3	Proof of current training is available for independent vendors and agency staff in AIDS and infection control.			
4  W4.0	Level two background screenings are complete for all direct service employees.			
5  W4.0	All employees undergo background re-screening every 5 years.			
6	The provider attends mandatory meetings and training scheduled by the Area Office and/or Agency.			
7 NEW	Direct service staff has received training in the Agency’s Direct Care Core Competencies Training.			

Cite	Standard	Met	Not Met	N/A
8 W2.0	Independent providers and agency staff receive training on responsibilities and procedures for maintaining health, safety and well-being of individuals served.			
9 W2.0	Independent vendors and agency staff receive training on medication administration and on supervising individuals in the self-administration of medication.			
10	Independent providers and agency staff receive training on required documentation for service(s) rendered.			
11	Independent providers and agency staff receive training on responsibilities under the Core Assurances.			
12	Independent providers and agency staff receive training on responsibilities under the requirements of specific services offered.			
13	Independent providers and agency staff receive training on use of personal outcomes to establish a person-centered approach to service delivery.			
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.			
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			
C. Service Limits and Times				
16	Providers render 4 to 24-hour assistance to individuals.			
17 NEW	Provider or provider's immediate family is not the recipient's landlord or has any ownership of the housing unit.			
18 R	Provider is not rendering in-home support services to individuals receiving personal care, companion or residential habilitation services.			
19	Provider is authorized to render in-home support services.			
20	Provider renders services and supports at a frequency and intensity as defined in the service authorization.			
21	Providers are not reimbursed separately for transportation and travel costs			

Cite	Standard	Met	Not Met	N/A
D. Documentation				
22 R	Provider has at a minimum copies of service logs.			
23 W2.0	Provider has at a minimum copies of the monthly summary notes for the period being reviewed.			
24 W2.0	If the individual is receiving In-home Supports and Supported Living Coaching, there is evidence of coordination between the services. <i>Note: If the individual is not receiving supported living coaching, score this element as Not Applicable.</i>			
E. Payment and Billing				
25	If the In-home support provider lives with the individual and shares expenses, the support worker does not pay rent or other cost of living expenses directly to the individual. (New 2003) <i>[Note: If the worker is not a live-in support staff, score this element Not Applicable.]</i>			
Standard: Personal funds are appropriately maintained and are accounted for accurately. (New 2003) <i>Note: Determine if the provider manages, stores and/or retains funds belonging to an individual. If no, score cites 26-33 'Not Applicable.' If yes, determine if the conditions outlined in cites 26-33 are being met.</i>				
26 W2.0	Separate checking or savings accounts are maintained for individual's personal funds.			
27	If a single trust account is maintained for personal funds of all individuals, there is separate accounting for each individual.			
28 W2.0	Account(s) is reconciled monthly to the account total as noted on the bank statement.			
29 W2.0	Account statements and reconciliation records are retained for review.			
30	Individual and provider funds are not commingled.			
31	There is no indication that the provider, or any employee of a provider, is named beneficiary on a Life Insurance Policy for an individual.			
32	There is no indication that the provider or its employees borrow or use money from an individual or their personal funds.			
33 W2.0	The provider has written consent to manage funds or act as fiscal agent.			

Cite	Standard	Met	Not Met	N/A
<p>Note: Score the following elements of performance ONLY when providers of this service are being reviewed as part of an onsite quality assurance review. If conducting a Desk Review, score these elements of performance Not Applicable.</p> <p>If the provider is not rendering services to individuals that have problems with behavior such as those that follow, score the elements in this section Not Applicable.</p> <p><u>Types of Problems with Behavior:</u></p> <p>Actions of the individual which, without behavioral, physical, or chemical intervention</p> <ol style="list-style-type: none"> 1. Have resulted in self-inflicted, detectable, external or internal damage requiring medical attention or are expected to increase in frequency, duration, or intensity resulting in self-inflicted, external or internal damage requiring medical attention. 2. Have occurred or are expected to occur with sufficient frequency, duration or magnitude that a life-threatening situation might result, including excessive eating or drinking, vomiting, ruminating, eating non-nutritive substances, refusing to eat, holding one's breath, or swallowing excessive amounts of air. 3. Have resulted in external or internal damage to other people that require medical attention or are expected to increase in frequency, duration or intensity resulting in external or internal damage to other persons that requires medical attention. 4. Have resulted or are expected to result in major property damage or destruction. 5. Have resulted or are expected to result in arrest and confinement by law enforcement personnel 				
<p>Standard: Behavioral Services result in objective and measurable improvements in behavior that are consistent with the individual's outcomes.</p>				
34	When rendering services and supports to individuals identified as having problems with behavior, the provider is assisted by a qualified professional or professionals who meet the requirements in the Medicaid Handbook for the type of service the professional is providing.			
35	Behavior Service goal(s) are consistent with and relate directly to the individual's personal outcomes/goals.			
36	The individual has a written, individual plan developed by a certified or licensed professional that clearly identifies what will change as a result of intervention, the intervention(s) to be used and how progress will be measured.			
37 W2.0	Written consent to use the plan was obtained from the individual or guardian.			
38	Implementers (provider staff) of the plan are able to carry out the plan as written.			
39 W2.0	A system is in place to assure that procedures are carried out as designed.			
40 W2.0	There is evidence of progress or lack thereof in reducing the problem with behavior.			

Cite	Standard	Met	Not Met	N/A
41	Emergency procedures (e.g., reactive strategies, crisis management procedures) used by the provider for problems with behavior are developed and implemented under the guidance of certified or licensed behavioral services professionals.			
42	Staff is able to use the procedure when and as designed.			
43	Records are kept on the use of the emergency procedure and occurrences of the problem behavior.			

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 REV 11-01-01; 12.06.02; 01.03; 02.03.03; 02.04.03; 02-10-03; 11-27-05