

NCDAAAS ADULT DAY CARE/DAY HEALTH HCCBG MONITORING TOOL INSTRUCTIONS

Background

According to NC G.S. 131 D-6, all adult day care programs in NC must be certified by the NC DHHS regardless of the funding a certified program receives. The certification requirements are outlined in the North Carolina Division of Aging and Adult Services' Standards for Certification and address the areas that certified ADC/ADH programs must abide by including, but not limited to, facility requirements, staffing requirements, and programmatic requirements. Adult day care programs are recertified every 12 months (once per year) based on the month that the program was initially certified.

There are three models of adult day care certifications:

- Adult Day Care (Social Model Only) can only serve Adult Day Care participants
- Adult Day Health (Health Model Only) can only serve Adult Day Health participants
- Adult Day Care/Adult Day Health (Combination Model) can serve both Adult Day Care participants and Adult Day Health participants

All certified programs are monitored monthly by the County Department of Social Services to ensure compliance with the North Carolina Division of Aging and Adult Services' Standards for Certification.

Programs that are certified as Adult Day Health services or Adult Day Care/Day Health (Combination) are also monitored quarterly by the local Department of Health to ensure compliance with the North Carolina Division of Aging and Adult Services' Standards for Certification.

HCCBG ADC/ADH Monitoring Tool Instructions

The primary focus of HCCBG ADC/ADH monitoring is unit verification. The HCCBG ADC/ADH programmatic monitoring is limited to questions about the ADC/ADH program's current certification because the county monitors ensure that ADC/ADH programs comply with the North Carolina Division of Aging and Adult Services' Standards for Certification, as stated above.

The questions on the HCCBG ADC/ADH monitoring tool related to the program's current certification need to be completed when the unit verification is completed in order to ensure that eligible service units are being provided to eligible participants per the HCCBG ADC/ADH Service Standards. Therefore, most AAA Monitoring Plans' Exhibit 14s indicate that ADC/ADH programmatic monitoring and unit verification will be completed in the same year. This is not a requirement. However, ensuring that a program is currently certified is necessary to ensure eligible units are being provided to eligible participants.

I. Programmatic Monitoring

HCCBG ADC/ADH programmatic monitoring is addressed on page one of the HCCBG ADC/ADH Monitoring Tool. This item reviews the current certification status of the program being monitored.

The Division of Aging and Adult Services will notify the Area Agencies on Aging (AAAs) if the provider's certification status is provisional or withdrawn. AAA's will also be notified when a provider's provisional certification is reinstated to full certification.

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II. Unit Verification

HCCBG ADC/ADH monitoring primarily focuses on Unit Verification to ensure that eligible participants receive eligible units of service.

A. Selecting a Sample of Participants to Complete the Client Record Review and Unit Verification

The monitor should select a random sample of participants from each Site/Route/Worker Code. The sample size be selected based on the instructions in Section 308 of the AAA Policies and Procedures Manual. The manual can be accessed on the Monitoring Web Site on the DAAS website at: http://www.ncdhhs.gov/aging/monitor/sec308_AAA2013.pdf

Total Number of Clients Served By Service	Base Sample Size Per Service
1 – 10 clients	All clients served
11 – 100 clients	No less than 10 of the clients served
101 – 250 clients	10% of the clients served
251 – 500 clients	7% of the clients served
501 – 1000 clients	6% of the clients served
1001 – 2000 clients	4% of the clients served
2001 – or more clients	2.5% of the clients served

The monitor should also select a month to review the units that participants received in order to verify the units are eligible that were reimbursed.

If a provider receives funding for Daily Care and funding for ADC/ADH Transportation (ARMS codes 031 and 156, not ARMS code 250), separate random participant samples should be selected for each service.

The Units of Service Verification Report (ZGA-542) is used to select the random samples for monitoring, and should be included with the completed monitoring tool.

The month and the participants selected in each sample should be clearly identified on the ZGA542. Use of a highlighter to indicate the month and participants in the sample is acceptable.

B. Unit Verification for Daily Care

Reimbursable units are based on scheduled days rather than actual days attended. It is allowable to request reimbursement for up to a maximum of 10 consecutive scheduled days for participant absences. The absentee policy is found in DAAS Administrative Letter 07-15. The DAAS Administrative Letter 07-15 can be accessed on the DAAS website at: <http://www.ncdhhs.gov/aging/admltrs/2007/DAAS-07-15.pdf>

C. Unit Verification for ADC/ADH Transportation

For purposes of verifying rides reimbursed under the ADC and ADH allocation (ARMS service codes 031 and 156), source documentation that verifies an individual participant (client) rode one-way on a specific date of program attendance is acceptable, (similar to verification of HCCBG-funded transportation services for codes 250 and 030). Examples

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of source documents include a driver's log, vendor's itemized billing records of rides provided printout of pick-ups and drop-offs, or a monthly bill from a vendor that indicates dates and rides provided (one-way rides to and from the center).

III. Subcontractor Performance Monitoring

According to section 308 of the AAA Policies and Procedures Manual, the AAA must ensure that subcontractors in respective regions are in compliance with the HCCBG requirements and may elect to ensure this compliance in one of three ways.

If the Community Service Provider subcontracts for Adult Day Care/Adult Day Health, the AAA will determine how these subcontractors are monitored according to Section 308.2.F. of the AAA Policy and Procedures Manual.

http://www.ncdhhs.gov/aging/monitor/sec308_AAA2013.pdf

Subcontractor Monitoring Method 1	The AAA may monitor a subcontractor (optional: in the presence of the provider) to assure compliance for all service standard requirements that have been assigned to the subcontractor through a legally executed subcontract.
Subcontractor Monitoring Method 2	The AAA and the provider may monitor to assure compliance with all service standard requirements that have been assigned to the subcontractor through a legally executed subcontract.
Subcontractor Monitoring Method 3	The AAA may accept the completed DAAS Service Monitoring Tool(s) and backup source documentation from the monitoring of a subcontractor completed by the provider. This option would require the provider to complete the onsite monitoring of subcontractors prior to the monitoring visit of the AAA on a schedule determined by the annual risk monitoring.

Regardless of which of the three methods above the AAA opts to follow to ensure that their subcontractors are monitored, the HCCBG ADC/ADH Monitoring Tool must be completed. Additionally, the requirements outlined in Section 308.2 A. of the AAA Policy and Procedures Manual must be followed and attested to by the monitor on the HCCBG ADC/ADH Monitoring Tool, if applicable.