

5.5. Monitoring of Waiver Services

Responsible Office: Regional Community Services

Reference: ADMH Administrative Code 580-3-23-.13 through 580-3-23-.15

Statement: Regional Community Services (RCS) staff in each Fiscal Region observe and assess provision of Waiver services (Residential, Day and Supports) twice annually.

Purpose/Intent: Waiver services (Residential, Day and Supports) are monitored twice annually to ensure they are administered according to CMS and ADMH standards.

Scope: Regional Community Services; Director of Community Program

Definitions: CMS (Centers for Medicare and Medicaid Standards); RCS (Regional Community Services); CSD (Community Services Director); POA (Plan of Action); DDD (Division of Developmental Disabilities)

Procedures:

1. The Regional Monitor monitors every certified DMH/DD setting twice annually, once each during periods April 1 – September 30 and October 1 – March 31.
2. The Regional Monitor arrives to the setting unannounced, if possible. In the event two unannounced visits are attempted at disparate times, but no one is available at the setting, the Regional Monitor may contact the Provider directly to arrange a time when Waiver-served individuals and Provider staff members will be present.
3. The Regional Monitor uses the corresponding Monitoring Tool (e.g., Residential, Day, or Supports) to complete the monitoring assignment, comprehensively addressing each item included and verifying with direct observation of substantiating documentation, interviews, and/or visual inspection, as appropriate.
4. In the event the monitoring visit yields findings that indicate immediate risks to health, safety or security, the Regional Monitor will immediately notify the Community Services Director (CSD) for determination of a safe and appropriate time frame for addressing the emergent finding(s) (e.g., 24 hours, immediately, etc.). It may be that the individuals served at the setting should be temporarily relocated while the emergent findings are rectified. The Regional Monitor will then notify the Provider director/supervisor of the time frame for addressing the emergent findings and whether the individuals served at the setting must be relocated until they are addressed.
5. The Regional Monitor completes the monitoring report and transmits to the Provider via email within ten (10) business days, delineating those findings requiring follow-up. The CSD/designee is to be copied on this email.
6. If the Provider receives a monitoring report that requires follow-up response(s), the Provider must address those findings and respond directly to the Regional Monitor within ten (10) business days with evidence of resolution for each.
 - a. Note that any emergent findings that were resolved during or before that 10-day period must be reflected in the Provider's response as resolved.
 - b. If there are findings that require more than 10 business days to resolve, the Provider is required to submit to RCS within the allotted 10 business days a Plan of Action (POA) for those findings, to include method and specific time frame of resolution.
7. If there are no findings requiring follow-up, or when all findings are fully and satisfactorily addressed, the Regional Monitor provides the closed monitoring report and, as applicable, substantiating documentation/evidence to the CSD/designee for review and notation of completion.

8. If the Provider does not satisfactorily address all findings within the allotted 10 business days, or if the POA submitted for any outstanding items is inadequate, inappropriate, or not satisfactorily resolved within the Provider's specified time frame(s), the Regional Monitor transmits a single prompt to the Provider on the eleventh business day after they were notified of the findings, with detailed explanation(s) and requesting final resolution. The CSD/designee is to be copied on this email.
 - a. If the Provider does not respond to this prompt within five (5) business days, the Regional Monitor will notify the CSD and designee (if applicable) on the sixth business day.
 - b. The CSD will meet with the designee (if applicable) and the Regional Monitor to review the unresolved findings and to identify appropriate topics of Technical Assistance for the Provider.
 - c. The Regional Office will require the Provider to participate in the assigned Technical Assistance and then resolve the outstanding findings/provide substantiating evidence within 30 days.
 - d. If the Provider does not satisfactorily resolve all findings following provision of Technical Assistance, the provider's initial Monitoring Report and POA (if applicable) will be reviewed by the CSD for recommendation of a "For Cause Review" by DMH certification.
9. If a "For Cause Review" is warranted by DDD Certification, the provider will be placed on Provisional status. At this time, the provider will be required to follow the procedures specified in ADMH Administrative Code 580-3-23-.13 through 580-3-23-.15.
10. For accountability purposes, the CSD/designee maintains a database of expected and actual Provider response/POA receipt dates.