

QUALITY ASSURANCE COMPLIANCE REVIEW

ADMINISTRATIVE

Provider _____ Date _____

Provider Staff Present _____ Generations Staff Present _____

REQUIREMENTS	C	NC	N/A	COMMENTS
I. Contract Compliance/Administrative Standards				
A. Vendor receives authorization from the Area Agency five (5) working days prior to date of service unless extenuating circumstances warrant immediate service to client.				
B. Following the delivery of authorized service, the Vendor submits claims in a timely fashion as directed by the Area Agency.				
C. All claims submitted by Vendor and payments made to Vendor by the Area Agency are in accordance with the unit rates specified on Attachment A of the MOA/contract.				
D. Vendor has not imposed fees upon the recipients of services rendered by Vendor pursuant to the MOA/contract.				
E. Vendor agrees that all information, including but not limited to client information, received from the Area Agency is maintained in a confidential manner.				
F. Vendor maintains books, records, documents and other evidence and follows generally accepted accounting procedures and practices which sufficiently and properly reflect all costs attributable to each service provided pursuant to the MOA/contract.				
G. Vendor retains fiscal records according to the Area Agency standards as set forth in the MOA/contract.				
H. A system of back-up is in place to assure trained workers are available to fill in when employees are vacationing, ill, terminated, etc.				
I. Vendor surveys clients annually to determine satisfaction and has a procedure in place to address client response to survey.				
J. Client files are kept in locked files and retained for amount of time specified by the Area Agency.				

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Administrative cont.

REQUIREMENTS	C	NC	N/A	COMMENTS
II. Policy and Procedure Review				
A. The following written policies/procedures are enforced and, where applicable, posted in a conspicuous place: <ul style="list-style-type: none"> • Conflict of Interest Policy (for staff, board, and sub-contracted agencies) • Employee grievance and appeal process • Client grievance and appeal process • Communicable and Infectious Disease Policy • 24-Hour Accessibility to Management Personnel Procedure • Referral Process Procedure • Affirmative Action Policy • Equal Opportunity Employer Policy • Non-Discrimination Policy <ul style="list-style-type: none"> ◆ also disclosed in brochures and written materials given to client/public 	 ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____	 ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____	 ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____ ____	
B. Agency has employee disciplinary policy including, but not limited to, falsifying client records, revealing confidential information, improper treatment of client, being intoxicated, stealing from client or agency, repeated absenteeism and unexcused 'no-shows'.				
C. Written policies include quality assurance goals, standards, and mission statements.				
D. The agency has documentation that quality of service is monitored _____ times in a _____ period.				
E. The agency has documentation that client satisfaction is monitored _____ times in a _____ period.				

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Administrative cont.

REQUIREMENTS	C	NC	N/A	COMMENTS
III. Training Standards				
A. Agency has written orientation plan which includes training on universal precautions, confidentiality, allowable & non-allowable activities, Agency policies and procedures, as well as, skill testing and supervised training.				
B. Agency has written annual training plan which includes dates, topics, presenters, goals to be accomplished, and staff required to attend.				
C. Annual training plan includes, but is not limited to, the following topics, with all appropriate staff in attendance: <ul style="list-style-type: none"> • First Aid • CPR • Aging Process/Working with the Elderly • Confidentiality • Disaster/Emergency Procedures • Communication Techniques • Proper Food Handling/Sanitation Techniques • Proper Transfers (Direct Care and Transportation Providers) • Defensive Driving (Transportation Providers) 	_____ _____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____	
D. Sign-in sheets are utilized and available for review for all required training and in-service sessions.				
IV. Personnel Review				
A. Vendor has written personnel/staff training manual.				
B. Where applicable, personnel files have documentation of the following: <ul style="list-style-type: none"> • Orientation/training • Reference checks • Criminal background checks • Current Job Description • Certification/Licensing • Proficiency Testing • Annual performance evaluations • In-service/Staff training attendance • Current Mantoux Test and Physical Exam (kept in separate file) 	_____ _____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____	

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Administrative cont.

REQUIREMENTS	C	NC	N/A	COMMENTS
V. Service Provision Regulations				
A. When more than one type of service is being provided (i.e. HMK/ATTC), Agency makes clear the distinction of each worker’s tasks on the schedule.				
B. If one service is being provided under two or more funding sources (i.e. CHOICE, Title III, MAW) the Agency makes a clear distinction by: <ul style="list-style-type: none"> • Always using CHOICE funding last • Clearly documenting time billed to each source • Providing only tasks requested on the authorization 	_____ _____ _____	_____ _____ _____	_____ _____ _____	
C. For Title III funds, Agency assures all “Matching Funds” are included in budget calculation.				
D. For Title III funds, Agency’s quarterly report reflects a true unduplicated number of people served.				
VI. Client File/Billing Review				
A. Client’s file contains the following information sent from Area Agency: <ul style="list-style-type: none"> • Completed assessment (Plan of Care) • Authorization to provide services (Notice of Service Action) • Modification/Cancellation Notices 	_____ _____ _____	_____ _____ _____	_____ _____ _____	
B. Evidence of coordination/communication between Vendor and Area Agency include case notes, progress reports, and other correspondence.				
C. Individual Client Service Plan includes the following: <ul style="list-style-type: none"> • Documentation that client/primary caregiver agrees to the service plan • Indicates authorized service, frequency, and duration • Written plan of care is signed by physician prior to service delivery 	_____ _____ _____	_____ _____ _____	_____ _____ _____	
D. For verification of service claim, the following are documented: <ul style="list-style-type: none"> • Date of service • Arrival and departure time • Tasks performed • Signatures of client and service provider • Units logged match billing claim • Evidence is present of client notification when regular worker or appointment was changed. 	_____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____	

What are some of the strengths of Generations?

What can Generations do to strengthen our partnership?