

(Respite and Unlicensed AFL Review Tool Guidelines)

ITEM	REVIEW ITEM WITH SUPPORTING CITATIONS	REVIEW GUIDELINES
1	<p>Facility & grounds are safe, clean, and free from offensive odors/insects/rodents.</p> <p>10A NCAC 27G .0303 (c) Each facility and its grounds shall be maintained in a safe, clean, attractive and orderly manner and shall be kept free from offensive odor; (d) Buildings shall be kept free from insects and rodents.</p> <p>27G .0304 (b) (1) Safety: Each facility shall be designed, constructed and equipped in a manner that ensures the physical safety of clients, staff and visitors. (1) All hallways, doorways, entrances, ramps, steps and corridors shall be kept clear and unobstructed at all times. (5) All indoor areas to which clients have routine access shall be well-lighted.</p>	<p>The reviewer should observe all areas of the house and grounds to ensure that there are no safety hazards identified, offensive odors or insects/rodents. Examples of items to check include but aren't limited to:</p> <ul style="list-style-type: none"> -No damage to doors, walls, floors, etc. (ex: no broken windows, holes in walls, trip hazards from rugs or torn carpet) -Electrical outlets member has access to are free from electrical hazards (covers in place/intact, no exposed wiring). -Adequate lighting. Lighting is sufficient for member to engage in normal & appropriate daily activities. Burned out bulbs have been replaced. No empty light sockets accessible to member. -Furniture in good repair (no concern for safety with normal use).
2	<p>All hallways, doorways, entrances, ramps, steps, and corridors shall be kept clear and unobstructed at all times.</p> <p>27G .0304 (b) (1) Safety: Each facility shall be designed, constructed and equipped in a manner that ensures the physical safety of clients, staff and visitors. (1) All hallways, doorways, entrances, ramps, steps and corridors shall be kept clear and unobstructed at all times. (5) All indoor areas to which clients have routine access shall be well-lighted.</p>	<p>Examples of issues to look for include, but aren't limited to:</p> <ul style="list-style-type: none"> -Areas are not obstructed by items lying in the path of use -Doors are not blocked by household items, windows aren't nailed shut -Overhead areas do not contain items that could potentially impede clearance or result in items falling. -Corridors, entry ways have adequate lighting to ensure they can be safely navigated. -Sturdy railing present on steps, porches, balconies, and ramps (if applicable). - Adequate seating is reviewed, but not scored - this should be captured in the comment section
3	<p>The home is equipped as needed to meet the member's physical accessibility needs (if applicable).</p> <p>BH I/DD Tailored Plan: The CONTRACTOR shall ensure compliance with Titles VI and VII of the Civil Rights Act of 1964, Section 503 and 504 of the Vocational Rehabilitation Act of 1973, the Age Discrimination Act of 1975, Executive Order 11246, and subsequent amendments and regulations developed pursuant thereto, to the effect that no person shall, on the grounds of sex, age, race, religious affiliation, handicap, or national</p>	<p>Evidence: Facility Accessibility: Contracted provider facilities must be accommodating if the member residing there has physical disabilities. Home should be observed for entrance ramps; wheelchair accommodating door widths; and bathrooms equipped with handicapped railing (if applicable).</p> <p>If the member requires adaptive equipment or a protective device, that equipment must be available and maintained properly. Look to see if the employees have received training on proper use and care of the equipment.</p>

	<p>origin, be subjected to discrimination in the provision of any services or in employment practices. (page 11 of 358)</p>	
<p>4</p>	<p>The home is equipped with a fire extinguisher and smoke alarms.</p> <p>10A NCAC 27G .5104 In private home licensed respite services: (1) A minimum of one ionized smoke detector wired into the house current shall be installed and centrally located. Additional smoke detectors that are not wired into the house current shall be checked at least monthly by the provider. (2) A dry powder or CO(2) type fire extinguisher shall be located in the kitchen and shall be checked at least annually by the local fire department. Each provider of respite care shall receive instruction in its use prior to the initiation of service.</p> <p>Although there is no specific guideline in rule regarding placement of smoke detectors in a private home, the following could be used for recommendations: <u>NFPA 72, National Fire Alarm and Signaling Code</u>, has required as a minimum that smoke alarms be installed inside every sleep room (even for existing homes) in addition to requiring them outside each sleeping area and on every level of the home. (Additional smoke alarms are required for larger homes.)</p>	<p>Reviewer will ensure home has a working smoke alarms and a non-expired Fire Extinguisher.</p> <p>Reviewer will ensure staff have received instruction on use of fire extinguisher.</p>
<p>5</p>	<p>The member has a bedroom (with actual bed) and bathroom which allow for privacy.</p> <p>10A NCAC 27G .0304 (a) Privacy: Facilities shall be designed and constructed in a manner that will provide clients privacy while bathing, dressing or using toilet facilities. (d)(7) Minimum furnishings for client bedrooms shall include a separate bed, bedding, pillow, bedside table, and storage for personal belongings for each client.</p>	<p>Reviewer will verify member bedroom has adequate furniture including bed with sheets/blanket/pillow, etc. In addition, determine if furnishings meet member needs such as a nightstand if a lamp is needed. Look for appropriate storage space for clothing such as dresser and/or closet. Assure there is adequate storage for the member to keep personal belongings safe and accessible.</p> <p>Make sure that steps have been implemented to ensure that member privacy is assured especially in bedroom/bathroom portion of the home. Inquire if the individual has the opportunity to speak on the phone, use technology, open and read mail, and visit with others, privately and, where appropriate, overnight. Inquire if the individual can close and lock their bedroom door and if they have a key to their bedroom door. Ensure there are no outside locks on the bedroom door.</p> <p>In addition, observe for evidence the member has been able to decorate and maintain their bedroom in a personal way. Provide technical assistance if this seems lacking.</p>

6	<p>Evidence that meals/food/water is available and provided, based on staff and/or self-report of individuals served, and is confirmed by visual inspection/observation.</p> <p>10A NCAC 27G .0208 (c) Facilities that serve or prepare meals for clients shall ensure that the meals are nutritious.</p>	<p>Reviewer requests to see food supply to ensure there is an adequate supply, food is nutritious, and meals offered.</p> <p>Note: The reviewer can suggest that the home offer meals that meet cultural or religious needs, that children’s meals contain all major nutritional groups and that meals reflect any special dietary needs of the member (such as a food allergy or special health related diet)</p>
7	<p>First aid supplies are available and accessible for use.</p> <p>10A NCAC 27G .0207</p> <p>(d) Each facility shall have basic first aid supplies accessible for use.</p>	<p>Reviewer will request to view first aid supplies maintained in the house. There should be enough basic supplies for each member of the household. There is no requirement for the supplies to be kept in one container or in a specific location of the home. The reviewer should consider that this is a private residence, and the supplies can be in multiple rooms/locations in the home. The supplies should be accessible to those who would be using them.</p> <p>Examine supplies to assure items are in good condition/usable and that any wound care, wound treatment item, or medication is not past its expiration date. Check that sterile items are sealed.</p>
8	<p>There is a disaster preparedness plan including an evacuation plan specific to the member in the home. A disaster kit is prepared with food, water and other supplies and is easily accessible..</p> <p>10A NCAC 27G.0208 (a) a written fire plan for each facility and an area wide disaster plan shall be developed and approved by the appropriate local authority</p>	<p>Review disaster preparedness plan to determine if it is realistic to potential threats for the area where the home is located. Is the plan specific to the needs of the member (such as plan to assure prescription medication will not run out)?</p> <p>Some suggested items for a disaster kit include (these are recommendations, not requirements):</p> <ul style="list-style-type: none"> -One gallon of water per person per day for several days for drinking and sanitation -At least a 3-day supply of non-perishable food -Manual can opener -Flashlight (extra batteries) -Cell phone with chargers and backup battery -Tarps/duct tape -Battery power or hand crank radio -Whistle (to signal for help) <p>Is there a protocol in place to assure disaster kit items are kept up to date and are in usable condition when needed?</p>
9	<p>Emergency information, first aid, CPR, and poison control protocol or numbers are posted or easily accessible for staff and individuals to utilize.</p> <p>10A NCAC 27G.0207 (b) The plan shall be made available to all staff and evacuation procedures and routes shall be posted in the facility. (d) Each facility shall have basic first aid supplies accessible for use.</p>	<p>Visual inspection of posting or availability of emergency information, first aid, CPR, and poison control protocols/numbers.</p> <p>To score as Met, all items must be accessible, and staff in the facility must maintain knowledge of the location of this information.</p>

10	<p>Transportation - including accessibility of emergency information for an individual. Vehicle has equipment to meet the physical needs of the individual.</p> <p>10A NCAC 27G .0208 (d) When clients who have a physical handicap are transported, the vehicle shall be equipped with secure adaptive equipment.</p>	<p>Check to verify the AFL provider has emergency information in the vehicle when providing transportation. Ensure vehicle is equipped to meet needs of individuals served.</p> <p>Confirm that when transporting member information, it is kept in a secure place in a secure location in the vehicle.</p>
11	<p>A signed attestation confirming the AFL site is the primary residence of the AFL provider and includes the AFL home host/care provider is not serving any other client at this unlicensed AFL site. AFL ONLY</p>	<p>Review AFL Attestation form</p>
12	<p>A signed attestation indicating who lives in the home has been provided. AFL and RESPITE</p>	<p>Review Service Living in the Home Attestation statement</p>
13	<p>A signed attestation that there are no other clients in the home that receive services of any kind and that respite will not exceed 240 hours/month has been provided. (if unlicensed) RESPITE ONLY</p>	<p>Review Respite Attestation form</p>
	<p>MEDICATION: Applicable to ALL Providers</p>	
<p>ITEM</p>	<p>REVIEW ITEM WITH SUPPORTING CITATIONS</p>	<p>REVIEW GUIDELINES</p>

14	<p>Medications are stored according to 10A NCAC27G .0209 MEDICATION REQUIREMENTS (if applicable).</p> <p>10A NCAC27G .0209 MEDICATION REQUIREMENTS (e) Medication Storage: (1) (1) All medication shall be stored: (A) in a securely locked cabinet in a clean, well-lighted, ventilated room between 59° and 86° F.;</p> <p>(B) in a refrigerator, if required, between 36° and 46° F. If the refrigerator is used for food items, medications shall be kept in a separate, locked compartment or container;</p> <p>(C) separately for each client;</p> <p>(D) separately for external and internal use;</p> <p>(E) in a secure manner if approved by a physician for a client to self-medicate.</p>	<p>Virtual and onsite: Provider to show how where medications are stored. Inspect refrigerated medication storage area to ensure that medications are stored in a separate container from food.</p> <p>Medicines may be stored separately in Ziplocs/boxes/bags or other containers. Inspect non-refrigerated medication to assure it is stored in a secure place such as a locked cabinet. All areas need to be met in order for item to be scored as "met."</p>
15	<p>There is a written order for all prescription and non-prescription medications that can be administered to the member. (Standing order for non-prescription medications such as Tylenol, etc.).</p> <p>10A NCAC 27G. 0209 MEDICATION REQUIREMENTS (c) Medication Administration (1) Prescription and non-prescription drugs shall only be administered to a client on the written order of a person authorized by law to prescribe drugs.</p>	<p>Provider to submit medication orders for review (virtual) or have medication orders available for review (onsite)</p> <p>Review prescription medication orders. Request to see orders for any over the counter medications that may potentially need to be used (this includes oral medication such as Tylenol or Immodium as well as topical medication such as Cortizone Cream).</p>
16	<p>Medical preparedness plan to be utilized in a medical emergency.</p> <p>10A NCAC 27G .0201 - Governing Policies - (12) medical preparedness plan to be utilized in a medical emergency.</p>	<p>Review the home's medical preparedness plan for reasonably expected medical emergencies. Does the plan reflect medical issues that may potentially arise for the person served (ex: if the member has diabetes, does the plan reflect how to address high/low blood sugar for the member and how to recognize if medical attention is needed)? Review staff training on the plan. Note: There is no rule or regulation that specifies the any required content or criteria for the medical preparedness plan.</p>
17	<p>Documentation of individual's ability to self-administer medication (if applicable) is present.</p> <p>10A NCAC 27G .0209 (2) Medications shall be self-administered by clients only when authorized in writing by the client's physician.</p>	<p>Provider to submit orders that allow the individual to self-administer medications.</p> <p>If an individual self-administers medications, there is a corresponding order for the medication and a signed note by a physician to indicate that the individual may administer the medication without assistance. Self-administration means that the individual initiates the medication time, obtains the medication,</p>

		obtains the appropriate dosage of medication, and takes the medication without staff assistance
18	<p>All orders for medication are signed or countersigned and dated by the prescribing physician/physician extender. [This item is automatically scored based on results from the Medication Review worksheet]</p> <p>10A NCAC 27G .0209 MEDICATION REQUIREMENTS</p> <p>(a) Medication dispensing:</p> <p>(1) Medications shall be dispensed only on the written order of a physician or other practitioner licensed to prescribe.</p>	<p>Provider to submit medication orders for review (virtual) or have medication orders available for review (onsite)</p> <p>Orders must meet NCAC27G.0209 a (1)</p> <p>Annual Reviews Only, mark as NA for Initial Reviews</p>
19	<p>Review medication label to match physician's order</p> <p>10A NCAC 27G .0209 MEDICATION REQUIREMENTS</p> <p>(b) Medication packaging and labeling:</p> <p>(1) Non-prescription drug containers not dispensed by a pharmacist shall retain the manufacturer's label with expiration dates clearly visible;</p> <p>(2) Prescription medications, whether purchased or obtained as samples, shall be dispensed in tamper-resistant packaging that will minimize the risk of accidental ingestion by children. Such packaging includes plastic or glass bottles/vials with tamper-resistant caps, or in the case of unit of use packaged drugs, a zip-lock plastic bag may be adequate;</p> <p>(3) The packaging label of each prescription drug dispensed must include the following:</p> <p>(A) the client's name;</p> <p>(B) the prescriber's name;</p> <p>(C) the current dispensing date;</p> <p>(D) clear directions for self-administration;</p> <p>(E) the name, strength, quantity, and expiration date of the prescribed drug; and</p> <p>(F) the name, address, and phone number of the pharmacy or dispensing location (e.g.,mh/dd/sa center), and the name of the dispensing practitioner.</p>	<p>Provider to submit pictures of medications bottles (virtual review) or will have bottles available for review (onsite).</p> <p>Review medication bottle label to match physician's orders and meets NCAC 27G.0209 Medication Requirements.</p> <p>Annual Reviews Only, mark as NA for Initial Reviews</p>
20	<p>The medication listed on the MAR matches the physician's order, and the MAR is completed correctly in accordance with the physician's order. [This item is automatically scored based on results from the Medication Review worksheet]</p>	<p>Provider to submit MAR and Physicians orders for review (virtual) or have available when onsite</p> <p>Review MAR and Physician's order to ensure they match.</p>

10A NCAC 27G .0209 MEDICATION REQUIREMENTS

(4) A Medication Administration Record (MAR) of all drugs administered to each client must be kept current. Medications administered shall be recorded immediately after administration. The MAR is to include the following:

- (A) client's name;
- (B) name, strength, and quantity of the drug;
- (C) instructions for administering the drug;
- (D) date and time the drug is administered; and
- (E) name or initials of person administering the drug.

Make note of any missing initials and if any medications were not administered per orders.

Review MAR for signature and initials for staff administering medications.

Annual Reviews Only, mark as NA for Initial Reviews

PERSONNEL

ITEM	REVIEW ITEM WITH SUPPORTING CITATIONS	REVIEW GUIDELINES
21	<p>Criminal background check for any person(s) in the home providing services..</p> <p>10A NCAC 27G .0202 PERSONNEL REQUIREMENTS: APSM 45-2 Chapter 1: Personnel Records - Community service providers must maintain personnel records that identify the required educational, licensure, credentials, and other qualifications of staff performing the service. This includes evidence of any required criminal background checks and/or criminal record disclosures as applicable per rule, statute, and/or Medicaid waiver, and evidence that sanctions from professional boards and/or health care registry have been reviewed when applicable.</p> <p>G.S. 122C-80: b) Requirement. - An offer of employment by a provider licensed under this Chapter to an applicant to fill a position that does not require the applicant to have an occupational license is conditioned on consent to a State and national criminal history record check of the applicant. If the applicant has been a resident of this State for less than five years, then the offer of employment is conditioned on consent to a State and national criminal history record check of the applicant. The national criminal history record check shall include a check of the applicant's fingerprints. If the applicant has been a resident of this State for five years or more, then the offer is conditioned on consent to a State criminal history record check of the applicant. A provider shall not employ an applicant who refuses to consent to a criminal history record check required by this section. Except as otherwise provided in this subsection, within five business days of making the conditional offer of employment, a provider shall submit a request to the Department of Justice under</p> <p>G.S. 114-19.10 to conduct a criminal history record check required by this section or shall submit a request to a private entity to conduct a State criminal history record check required by this section.</p> <p>Clinical Coverage 8-P Agency staff that work with beneficiaries: c. Criminal background check presents no health and safety risk to beneficiary</p>	<ul style="list-style-type: none"> • Determine date of hire for any employee. • A criminal history record check required for applicants as indicated in NC G.S. § 122C-80 NC General Statutes. • For an applicant who has been a resident of NC for less than five (5) years, he/she must have consented to a State and National (national checks conducted by the Department of Justice with fingerprints) record check before conditional employment. • For an applicant who has been a resident of NC for five (5) years or more, he/she must have consented to a State record check before conditional employment. <p>The provider, within five (5) business days of making a conditional offer for employment, must submit a request to the Dept. of Public Safety to conduct a criminal record check. A county that has adopted an appropriate local ordinance and has access to the Department of Public Safety data bank may conduct on behalf of a provider a State criminal history record check required by this section without the provider having to submit a request to the Department of Justice. In such a case, the county shall commence with the State criminal history record check required by this section within five business days of the conditional offer of employment by the provider. To verify compliance with this requirement, the auditor need only see the request; we do not need to see the results. For purposes of the audit, a CRC must have been completed prior to the date of service reviewed.</p>

<p>22</p>	<p>Healthcare Registry Check for any person(s) in the home providing services. G.S. § 131e-256 (d2) Health Care Personnel Registry: Before hiring health care personnel into a health care facility or service, every employer at a health care facility shall access the Health Care Personnel Registry and shall note each incident of access in the appropriate business files.</p> <p>10A NCAC 27G .0206 (b) Personnel Policies: The agency shall have a personnel file for each employee (full-time, part-time, and contracted) which includes (8) results of the search of the North Carolina Health Care Personnel Registry (pursuant to G.S. 131E 256)</p> <p>10A NCAC 70F .0207 (k) Staff: Every two years as long as the employee is employed, a certified criminal record check for each employee shall be obtained, and a search conducted by the North Carolina Sex Offender and Public Protection Registry and North Carolina Health Care Personnel Registry (pursuant to G.S. 131E-256) are completed.</p> <p>NCGS 131E-256: Health Care Personnel Registry</p> <p>Clinical Coverage 8-PAgency staff that work with beneficiaries: d. Not listed in the North Carolina Health Care Abuse Registry</p>	<p>During the Review: (1) Ensure the HCPR being reviewed belongs to the individual who provided the service, e.g., by SS#, name, etc. (2) Ensure the HCPR check is completed prior to the date of service reviewed.</p> <p>Note: Health Care Personnel Registry Checks are not required for licensed professionals.</p> <p>Scoring: There may be no substantiated finding of abuse or neglect listed on the NC Health Care Personnel Registry for unlicensed providers.</p>
<p>23</p>	<p>All employees providing service are up to date on required training/certifications:</p>	<p>Mark this line as N/A and answer each individual personnel question below. If an item is not met below, please indicate which employee(s) are not in compliance in the comments section of the tool and any specifics regarding the reason (ex. training has expired, unable to locate evidence of it occurring)</p>
<p>23a</p>	<p>Training to meet the needs of the member as specified in the ISP.</p> <p>10A NCAC 27G .0202 PERSONNEL REQUIREMENTS (g) Employee training programs shall be provided and, at a minimum, shall consist of the following:(3) training to meet the mh/dd/sa needs of the client as specified in the treatment/habilitation plan</p> <p>Clinical Coverage 8-P</p> <p>Agency staff that work with beneficiaries: g. Staff that work with beneficiaries must be qualified in the customized needs of the beneficiary as described in the ISP.</p>	<p>In review of the training documentation, does the training appear to be specific to the person served? Is the training date recent enough to reflect the employee would be up to date on the member’s current habilitative needs? *If the agency has placed member identification in an employee personnel record, please provide technical assistance and ask that no member information be in a personnel record.</p>

23b	<p>Current certification in CPR.</p> <p>10A NCAC 27G .0202 PERSONNEL REQUIREMENTS (h) Except as permitted under 10a NCAC 27G .5602(b) of this Subchapter, at least one staff member shall be available in the facility at all times when a client is present. That staff member shall be trained in basic first aid including seizure management, currently trained to provide cardiopulmonary resuscitation and trained in the Heimlich maneuver or other first aid techniques such as those provided by Red Cross, the American Heart Association or their equivalence for relieving airway obstruction.</p> <p>Clinical Coverage 8-P Agency staff that work with beneficiaries: e. Qualified in CPR and First Aid</p>	<p>Verify date of certification. If the individual receiving services is under the age of 12, make certain the employees are trained in child CPR as well as adult CPR.</p>
23c	<p>Annual training in Infectious Disease and Bloodborne Pathogens.</p> <p>10A NCAC 27G .0202 PERSONNEL REQUIREMENTS (g) Employee training programs shall be provided and, at a minimum, shall consist of the following: (4) training in infectious diseases and bloodborne pathogens.</p>	<p>Verify training dates.</p>
23d	<p>Current certification in First Aid.</p> <p>10A NCAC 27G .0202 PERSONNEL REQUIREMENTS (h) Except as permitted under 10a NCAC 27G .5602(b) of this Subchapter, at least one staff member shall be available in the facility at all times when a client is present. That staff member shall be trained in basic first aid including seizure management, currently trained to provide cardiopulmonary resuscitation and trained in the Heimlich maneuver or other first aid techniques such as those provided by Red Cross, the American Heart Association or their equivalence for relieving airway obstruction.</p> <p>Clinical Coverage 8-P Agency staff that work with beneficiaries: e. Qualified in CPR and First Aid</p>	<p>Verify date of certification</p>
23e	<p>All employees administering medication have current Medication Administration Certification.</p> <p>10A NCAC 27G .0209 MEDICATION REQUIREMENTS (c) Medication administration: (3) Medications, including injections, shall be administered</p>	<p>Verify the trainer for the certification meets the criteria of someone who legally qualifies to provide this instruction for unlicensed persons. Verify date of certification.</p>

	<p>only by licensed persons, or by unlicensed persons trained by a registered nurse, pharmacist or other legally qualified person and privileged to prepare and administer medications.</p>	<p>Note that Medication Administration training does not have to be completed annually, but if the agency policy states it is to be completed annually, or the certificate indicates it expires, assure the certification is current.</p>
<p>23f</p>	<p>Current certification in Alternatives to Restrictive Interventions.</p> <p>10A NCAC 27E .0107 TRAINING ON ALTERNATIVES TO RESTRICTIVE INTERVENTIONS(b) Prior to providing services to people with disabilities, staff including service providers, employees, students or volunteers, shall demonstrate competence by successfully completing training in communication skills and other strategies for creating an environment in which the likelihood of imminent danger of abuse or injury to a person with disabilities or others or property damage is prevented.</p> <p>(c) Provider agencies shall establish training based on state competencies, monitor for internal compliance and demonstrate they acted on data gathered.</p> <p>(d) The training shall be competency-based, include measurable learning objectives, measurable testing (written and by observation of behavior) on those objectives and measurable methods to determine passing or failing the course.</p> <p>(e) Formal refresher training must be completed by each service provider periodically (minimum annually).</p> <p>(f) Content of the training that the service provider wishes to employ must be approved by the Division of MH/DD/SAS pursuant to Paragraph (g) of this Rule.</p> <p>(g) Staff shall demonstrate competence in the following core areas:</p> <ol style="list-style-type: none"> (1) knowledge and understanding of the people being served; (2) recognizing and interpreting human behavior; (3) recognizing the effect of internal and external stressors that may affect people with disabilities; (4) strategies for building positive relationships with persons with disabilities; (5) recognizing cultural, environmental and organizational factors that may affect people with disabilities; (6) recognizing the importance of and assisting in the person's involvement in making decisions about their life; (7) skills in assessing individual risk for escalating behavior; 	<p>Confirm training certification is current. Verify the level of intervention an employee is certified to provide matches the potential level of intervention the member may require.</p>

	<p>(8) communication strategies for defusing and de-escalating potentially dangerous behavior; and</p> <p>(9) positive behavioral supports (providing means for people with disabilities to choose activities which directly oppose or replace behaviors which are unsafe).</p> <p>(h) Service providers shall maintain documentation of initial and refresher training for at least three years</p>	
<p>23g</p>	<p>Training in Client Rights.</p> <p>10A NCAC 27G .0202 PERSONNEL REQUIREMENTS (g) Employee training programs shall be provided and, at a minimum, shall consist of the following:</p> <p>(2) training on client rights and confidentiality as delineated in 10A NCAC 27C, 27D, 27E, 27F and 10A NCAC 26B;</p>	<p>Verify training date(s).</p>
<p>23h</p>	<p>Staff receive training in confidentiality of member information.</p> <p>10A NCAC 26B .0108 ASSURANCE OF CONFIDENTIALITY (a) The area or state facility director shall make known to all employees, students, volunteers and all other individuals with access to confidential information the provisions of the rules in this Subchapter and G.S. 122C-52 through 122C-56. The facility shall develop written policies and procedures in accordance with the rules of this Subchapter and applicable statutes and provide training to all individuals with access to confidential information.</p> <p>45 C.F.R. § 164.530 HIPAA - Administrative requirements (b)(1) Standard: Training. A covered entity must train all members of its workforce on the policies and procedures with respect to protected health information required by this subpart, as necessary and appropriate for the members of the workforce to carry out their function within the covered entity. (2) Implementation specifications: Training. (i) A covered entity must provide training that meets the requirements of paragraph (b)(1) of this section, as follows: (A) To each member of the covered entity's workforce by no later than the compliance date for the covered entity; (B) Thereafter, to each new member of the workforce within a reasonable period of time after the person joins the covered entity's workforce; and (C) To each member of the covered entity's workforce whose functions are affected by a material change in the policies or procedures required by this subpart, within a reasonable period of time after the material change becomes effective in accordance with paragraph (i) of this section. (ii) A covered entity must document that the training as described in paragraph</p>	<p>Review training on confidentiality of individual/member protected health information for staff who have access to the clinical records. Observe for actual training having occurred to assist in employee understanding, not just an employee signed statement indicating they will maintain confidentiality. Scoring: Provider must provide evidence of training to score as "Met."</p>

	(b)(2)(i) of this section has been provided, as required by paragraph (j) of this section.	
24	Back-up staffing plan for caregiver illness/emergency.	<p>Required for individuals receiving NC Innovation Services. Provider has a back-up staffing plan in place for emergency situations, caregiver illness, etc. Non-applicable for non-Innovation services.</p> <p>If the back-up staff is a direct relative (such as the spouse), as technical assistance, you might suggest a back-up employee of no relation in case an emergency arises that would impact both the provider and back-up.</p>
FUNDS MANAGEMENT: Applicable to UAFL		
ITEM	REVIEW ITEM WITH SUPPORTING CITATIONS	REVIEW GUIDELINES
25	<p>Applicable only to 24 hour facilities that see a Client for more than 30 days, including unlicensed AFLs - On a quarterly basis, the individual and/or legally responsible person is provided with a financial record which contains an accurate accounting record of deposits, withdrawals, fund status, interest earned, specific expenditures, type and amount of disbursements, and date of disbursements.</p> <p>10A NCAC 27F .0105 (d)(c) If funds are managed for a client by a facility employee, management of the funds shall occur in accordance with policy and procedures that: (1) assure to the client the right to deposit and withdraw money; (2) regulate the receipt and distribution of funds in a personal fund account; (3) provide for the receipt of deposits made by friends, relatives or others; (4) provide for the keeping of adequate financial records on all transactions affecting funds on deposit in personal fund account; (5) assure that a client's personal funds will be kept separate from any operating funds of the facility; (6) provide for the deduction from a personal fund account payment for treatment or habilitation services when authorized by the client or legally responsible person upon or subsequent to admission of the client; (7) provide for the issuance of receipts to persons depositing or withdrawing funds; and (8) provide the client with a quarterly</p>	<p>Evidence: Request the most recent quarterly accounting statement for all records included in the sample. (Note - these records may not be contained in the clinical/service record as they are financial information.) Review to ensure the accounting statement reflects all transactions (deposits, withdrawals, expenditures, balance) related to the person's account. Also ensure that each person's money is managed separately from the agency's funds and accounts.</p> <p>Scoring: There must be an accounting statement present for each person/record, which includes at a minimum a summary of financial transactions including deposits and expenditures in order for this item to be scored as met.</p>

accounting of his personal fund account. (d) Authorization by the client or legally responsible person is required before a deduction can be made from a personal fund account for any amount owed or alleged to be owed for damages done or alleged to have been done by the client: (1) to the facility; (2) an employee of the facility; (3) to a visitor of the facility; or (4) to another client of the facility.