

APPENDIX E:

North Carolina Department of Mental Health, Developmental Disabilities and Substance Abuse Services Provider Monitoring Master List of Domains and Key Elements and Crosswalk with the Frequency Extent of Monitoring (FEM) Tool

Updated: December 2008

NOTE: Non-shaded areas identify Key Elements that align with the Measures in the FEM

Domain	Provider Monitoring Worksheets					
	Provider Documentation Review	Personnel Record Documentation	Personnel Interview	Service Record Documentation	Individual Interview	Incidents and Complaints Documentation
1. Quality Management	1A. The provider has a current written quality management plan that is shared with staff and integrates QA/QI throughout the agency		1A. The provider has a current written quality management plan that is shared with staff and integrates QA/QI throughout the agency			
	1B. The provider has a QM committee that is actively involved in the provider's QA/QI activities					
	1C. The provider's QM committee and uses data to monitor quality, develop/ implement improvement initiatives, monitor progress, and make needed adjustments					
	1D. The provider uses incident/complaint data for identifying and mitigating systemic risk issues		1D. The provider uses incident/complaint data for identifying and mitigating systemic risk issues			
	1E. The provider has a system to protect and review the rights of individuals for service improvement					
2. Protection from harm						2A. The provider reports incidents according to DMH/DD/SAS requirements

Provider Monitoring Worksheets						
Domain	Provider Documentation Review	Personnel Record Documentation	Personnel Interview	Service Record Documentation	Individual Interview	Incidents and Complaints Documentation
						2B. Incident reports submitted by the provider are timely
			2C. The provider's response to incidents is appropriate and timely			2C. The provider's response to incidents is appropriate and timely.
						2D. The provider's response to complaints is appropriate and timely.
						2E. The provider submits and implements plans of correction (POC) for substantiated complaints when requested
3. Staff competencies and experience		3A. Upon hire, staff who will be providing care and treatment have the necessary qualifications and experience to support individuals				
		3B. The provider demonstrates that background checks are conducted prior to employment				
		3C. Provider staff and clinical supervisors understand the requirements of their positions	3C. Provider staff and clinical supervisors understand the requirements of their positions			
		3D. Associate professional and paraprofessional staff receive ongoing supervision	3D. Associate professional and paraprofessional staff receive ongoing supervision			
			3E. Staff are competent to support all individuals to whom they are assigned			
		3F. The provider has	3F. The provider has			

Provider Monitoring Worksheets						
Domain	Provider Documentation Review	Personnel Record Documentation	Personnel Interview	Service Record Documentation	Individual Interview	Incidents and Complaints Documentation
		an employee training program	an employee training program			
4. Person-centered planning				4A. Upon admission, the Qualified Professional (QP) assures that the Introductory PCP including a Crisis Plan is completed using natural and community supports		
				4B. Information gathered through interviews and assessments was incorporated into the Complete service plan		
				4C. The QP assures that the service plan reflects individuals' needs (including any health and safety risks) and preferences	4C. The QP assures that the service plan reflects individuals' needs (including any health and safety risks) and preferences	
				4D. Individual's crisis prevention/crisis response plans are effective		
				4E. The QP monitors implementation of the service plan and revises the plan when needed	4E. The QP monitors implementation of the service plan and revises the plan when needed	

Worksheets						
Domain	Provider Documentation Review	Personnel Record Documentation	Personnel Interview	Service Record Documentation	Individual Interview	Incidents and Complaints Documentation
5. Person-centered services and supports				5A. Services are person-centered and implemented according to the plan and service definitions	5A. Services are person-centered and implemented according to the plan and service definitions	
				5B. The provider communicates and coordinates with other providers for continuity of care		
				5C. The provider identifies individual changing needs and communicates with the Qualified Professional when needed		
6. Individual rights				6B. Individuals are informed of their rights in a manner suited to their learning style and level of comprehension	6B. Individuals are informed of their rights in a manner suited to their learning style and level of comprehension	
					6A. The provider informs individuals and legally responsible persons about the process for filing a grievance/complaint and is open to and responsive to complaints	
				6C. The provider has a system for accounting for and safeguarding individuals' funds and possessions (if applicable)	6C. The provider has a system for accounting for and safeguarding individuals' funds and possessions (if applicable)	
				6D. Use of restrictive interventions are in accordance with rules		

