

**NC DHHS – NC DMH/DD/SAS
Psychosocial Rehabilitation (PSR)
Endorsement Check Sheet Instructions**

Introduction

Prior to site and service endorsement, business verification must take place. In the process of business verification, the business information presented on the DMA CIS (Community Intervention Services) application is validated. At that time, the provider organization submits a self study of the core rules (10A NCAC 27G .0201-.0204) verifying that they have met all the requirements therein. (The provider is not required to submit this if nationally accredited, licensed with DFS or has had a compliance review from NC Council of Community Programs within the past three years.) The documents created in adherence with the core rules should be utilized as evidence of provider compliance where noted in the check sheet and instructions.

The following set of instructions is to serve as general guidelines to facilitate the review of providers for endorsement. Service definition, core rules (as noted above), staff definitions (10A NCAC 27G .104) and other DHHS communications (e.g. Service Records Manual, Communication Bulletins, Implementation Updates and other publications) should be used to support the reviewer's determination of compliance. In addition, the Business Entity Type Reference document (attached) assists to clarify the requirements for different business entities such as corporations, partnerships and limited liability corporations and partnerships.

Provider Requirements

In this section, the provider is reviewed to ascertain that requirements are met in order for services to be provided. The provision of services is addressed later in this endorsement process.

- a (1).** Review identified documents for evidence that provider meets DMH/DD/SAS and/or DMA standards as related to administration responsibilities, financial oversight, clinical services and quality improvement. These standards include, but are not limited to, policies and procedures (contents of which are mandated in 10A NCAC 27G .0201 – Governing Body Policies) and the key documents required by law for the formation of the business entity. (Refer to attachment titled Business Entity Type.)

- a (2).** Review DMA enrollment document to verify provider's date of enrollment. Once the provider has been enrolled with DMA for a period of three years, a certification of national accreditation or some other evidence supporting the provider organization's achievement of national accreditation must be produced and validated.

- a (3).** Review documentation that demonstrates provider is a legal US business entity. Documentation should indicate the business entity is currently registered with the local municipality **or** the office of the NC Secretary of State, that the information registered with the local municipality **or** the Secretary of State is current, and that there are no dissolution, revocation or revenue suspension findings currently attached to the provider entity. Also review corporate documentation demonstrating registration to operate a business in NC. Information for corporate entities may be verified on the web site for the Secretary of State. (Refer to key documents section of attachment titled Business Entity Type.)

Staffing Requirements

In this section, the reviewer is primarily concerned with the hiring practices of the provider and ensuring that all employees in place are equipped with the education, training and experience to work with the population served in the capacity and at the level of intervention for which they were hired. The Director

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of a PSR Program must be a qualified mental health professional. However the other staff may be paraprofessionals, associate professionals or qualified professionals.

- a. Review the Program Director job description to verify that it addresses responsibilities for directing the PSR program and that it specifies responsibilities for staff supervision. Review program director's employment application, resume, license, certification, or other documentation for evidence of degree and work experience to verify that the program director is a Qualified Professional. Review employee training plans or other documentation demonstrating training has been scheduled and/or received according to core rules, consistent with the role of the program director of the Psychosocial Rehabilitation Program. Ensure that the program director understands and implement supervision of the other PSR staff. Review supervision plans to ensure that they are individualized, appropriate for the level of education and experience of staff and that supervision is provided by the Qualified Professional. In addition to the above, review notes, schedule or other supporting documentation that demonstrate on-going supervision by the Qualified Professional.

If the PSR program employs associate professionals

- b. Review the job description for Associate Professionals and review the Program Description and Personnel Manual to determine the role and responsibilities of such staff and the expectation regarding supervision. Review employment application, resume, license, certification, or other documentation for evidence of degree and work experience to verify that the individual is an Associate Professional. Review supervision plans to ensure that each Associate Professional has a supervision plan and review notes, schedule and other supporting documentation that demonstrate on-going supervision by the Qualified Professional.

If the PSR program employs paraprofessionals

Review the job description for paraprofessionals and review the Program Description and Personnel Manual to determine the role and responsibilities of such staff and the expectation regarding supervision. Review the following for each paraprofessional: employment application, resume, or other documentation for evidence of at least a GED or high school diploma. Each paraprofessional must have an individualized supervision plan that is carried out by a Qualified Professional or an Associate Professional. Review supervision plans to ensure that each paraprofessional is receiving supervision and review notes, schedule and other supporting documentation that demonstrate on-going supervision by the Qualified Professional or Associate Professional.

- c. Review program description. Review planned staffing and anticipated daily attendance to determine that the 1 staff for each eight or fewer average daily participant attendance will be met. Review staff schedule for being on-site at the PSR program compared to the participants' attendance roster to verify, based on average daily attendance, that the 1 staff per 8 participants is met.

Service Type/Setting

The elements in this section pertain to the provider's having an understanding of the PSR service and the service delivery system.

- a. Review program description which should be based on principles of recovery and helping participants function in environments of their choice with the least amount of ongoing professional intervention. Program description should include activities for skills development, educational, and pre-vocational activities such as community living (housekeeping, shopping,

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cooking, use of transportation facilities, money management); personal care (health care, medication self-management, grooming); social relationships; use of leisure time; educational activities (e.g. assisting individual to participate in adult basic education or special interest courses); and prevocational activities focused on development of positive work habits that are not to be job specific vocational training.

Observe program activities to verify that they are consistent with the examples of activities listed above. Review the participants' PCPs and service notes to verify that the programming is consistent with individual needs (as indicated in the PCP). Programming/interventions should include activities that provide opportunities for consumers to learn skills, emphasizing self-determination, using natural supports and community supports. Programming may be done in groups providing individualized interventions as needed.

- b. Review program description which should be based on principles of recovery, including equipping consumers with skills, emphasizing self-determination, using natural and community supports, providing individualized interventions when appropriate, emphasizing functioning and support in real world environments. .

Observe program activities to verify that they are consistent with the examples of activities listed above. Review the participants' PCPs and service notes to verify that the programming is consistent with individual needs (as indicated in the PCP). Programming/interventions should include activities that provide opportunities for consumers to learn skills, emphasizing self-determination, using natural supports and community supports. Programming may be done in groups providing individualized interventions as needed.

- c. Review and verify the appropriate license is current.

Program/Clinical Requirements

It is important that consumers are served in accordance with the service definition according to individual needs identified in the PCP in regard to the frequency with which they attend PSR, the number of hours they attend, and type of therapeutic, recovery focused interventions that the person is engaged in while receiving PSR services.

- a. Review program description and operational schedule to verify that the service is available at least five hours per day at least five days per week exclusive of transportation time. It may be provided on weekends or in the evening but this is not required.

Review program description and actual operational schedule to verify that the service is available at least five hours per day at least five days per week exclusive of transportation time.

- b. Review program description which should include activities that are based on psychosocial rehabilitation and recovery principles.

Compare individuals' PCPs with their attendance records and service notes to verify that PSR participation is consistent with PCP.

Documentation Requirements

Effective April 2006, the PSR documentation requirement changed from a monthly note to a daily note for PSR. A grid log is not acceptable as a daily note. However, it is permissible for PSR the PSR daily note to be brief. An example of how to document all required elements in a time efficient manner is attached to these instructions.

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Review the provider's Policy and Procedure Manual to verify that documentation requirements are consistent with requirements of a daily full service note that includes all required elements. Review PCP and service notes to verify that documentation is consistent with requirements.