

**North Carolina Department of Health and Human Services
Division of Aging and Adult Services**


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Director

DAAS Administrative Letter No. 11-18

To: Adult Day Care/Adult Day Health Providers, Directors of Department of Social Services, Adult Day Care Coordinators, Adult Service Supervisors, Area Agency on Aging Directors, Adult Program Representatives, Program Compliance Representatives

From: Dennis W. Streets 

Subject: Required Documentation for the Revised Home and Community Care Block Grant (HCCBG) Adult Day Care/Adult Day Health (ADC/ADH) Monitoring Tool

Date: November 10, 2011

The intent of this letter is to (1) provide clarification regarding required client file documentation needed to complete the daily care and transportation unit verification portions of the revised HCCBG ADC/ADH Monitoring Tool and (2) to provide clarification regarding client file documentation for ADC/ADH sub-contracted service providers.

HCCBG ADC/ADH monitoring may be completed by monitor(s) from either the Area Agency on Aging (AAA) or the Program Compliance Representative (PCR) with the Adult Services Section of DAAS, depending upon which entity is identified as the HCCBG provider receiving the HCCBG allocation to provide ADC/ADH services.

I. Where should this documentation be located and reviewed?

HCCBG providers receiving the HCCBG allocation for adult day care and/or adult day health services are responsible for ensuring that the required client file documentation is on site for the monitor during the monitoring visit unless **prior** arrangements have been made with the monitor to review the required client file documentation at another site.

Please review the following examples below for further direction.

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Example 1: A County Department of Social Services is the HCCBG Provider for ADC/ADH Services:

When the AAA contracts with a county DSS and the county DSS receives the HCCBG allocation, the county DSS is the HCCBG provider. If the county DSS then contracts with ABC Adult Day Care to provide the service, the ABC Adult Day Care is the sub-contractor. Therefore, the PCR from DAAS would monitor the county DSS for use of the HCCBG allocation to provide adult day care and adult day health via the ABC Day Care which is the sub-contractor. Therefore, in this example, the county DSS would be responsible for ensuring that the required client file documentation was on site for the monitor to review during his/her monitoring visit UNLESS other arrangements were made prior to the monitoring visit with the monitor to review the client file documentation at another location.

Example 2: A Council on Aging is the HCCBG Provider for ADC/ADH Services:

X Council on Aging receives the HCCBG allocation for ADC/ADH services for a county and sub-contracts with ABC Adult Day Care to provide adult day care and adult day health services to participants. Therefore, in this example, the HCCBG provider would be the X Council on Aging and would be responsible for ensuring that the required client file documentation was on site for the monitor to review during his/her monitoring visit UNLESS other arrangements were made prior to the monitoring visit with the monitor to review the client file documentation at another location. The AAA monitor would monitor the X Council on Aging's monitoring of the ABC Adult Day Care.

II. What is the Required Client File Documentation?

The required client file documentation needed to complete the daily care and transportation unit verification portions of the revised HCCBG ADC/ADH Monitoring Tool are:

- participant service plans and
- transportation documentation depending on how the provider has set up the transportation service (driver's log and/or transportation vendor bill).

III. Participant Service Plans

All certified ADC/ADH providers are required to perform a comprehensive assessment and written service plan for each participant within 30 days of the participant's enrollment (See the North Carolina Adult Day Care and Day Health Services Standards for Certification, IV. A. 2.). These service plans are to be reviewed and updated at a minimum of every six months, and to indicate the days that the participant is scheduled to attend the program (See the North Carolina Adult Day Care and Day Health Services Standards for Certification, V. A. 1. g.).

IV. HCCBG ADC/ADH Transportation Documentation for ARMS codes 031 and 156

A. Required Transportation Documentation

In accordance with Administrative Letter 11-01, ADC/ADH providers that directly provide participant transportation to and/or from the program site or that contract with a

transportation vendor to provide transportation to and from the program site are required to maintain transportation documentation for the Unit Verification of the HCCBG ADC/ADH Monitoring Tool to be completed for ARMS codes 031 and 156. Please see: (<http://www.ncdhhs.gov/aging/admltrs/2011/DAAS-11-01.pdf>)

B. Documentation for ADC/ADH Providers Directly Providing Transportation

If an ADC/ADH provider directly provides transportation to participants to and/or from the program site, the ADC/ADH provider will have to maintain a driver's log in accordance with the guidelines outlined in Administrative Letter 11-01. Please see: (<http://www.ncdhhs.gov/aging/admltrs/2011/DAAS-11-01.pdf>)

C. Documentation for ADC/ADH Providers Contracting or Arranging Transportation with a Transportation Vendor

As indicated in Administrative Letter 11-01, if an ADC/ADH provider arranges transportation through contract provision with a vendor, documentation reflecting which participants received either a one-way trip or round trip on the days that the participant attended the program is required. Examples of this documentation are the monthly invoice from the transportation vendor to the program that includes participant information, dates and rides provided or a vendor print out including participant information and pick-ups and drop-offs.

V. Contracts between the AAA and the HCCBG Providers receiving the HCCBG allocation

The contract between the AAA and the HCCBG provider receiving the HCCBG allocation is to address the documentation requirements outlined in this Administrative Letter (requiring HCCBG providers receiving the HCCBG allocation to have service plans and transportation documentation for these participants available to the monitor during the monitoring site visit for his/her review).

VI. Effective Date of the Requirements in this Administrative Letter

The requirements in this Administrative Letter become effective January 1, 2012.

If you have any questions regarding this administrative letter, please contact Heather Carter at 919-733-0440 or heather.carter@dhhs.nc.gov or Glenda Artis at 919-733-0440 or glenda.artis@dhhs.nc.gov