

**Alabama
Community Transition
Waiver
(ACT)
Scope of Services**

Oct. 2011

**SCOPE OF SERVICE
FOR
ADULT DAY HEALTH SERVICE
ACT WAIVER**

A. Definition

Adult Day Health (ADH) is a service that provides ACT Waiver clients with a variety of health, social, recreational, and support activities in a supervised group setting for four or more hours per day on a regular basis.

Transportation between the individual's place of residence and the adult day health center will be provided as a component part of Adult Day Health Service. The cost of this transportation is included in the rate paid to providers of Adult Day Health Service.

Adult Day Health is not an entitlement. It is based on the needs of the adult client.

B. Objective

The objective of Adult Day Health is to provide a continuing organized program of rehabilitative, therapeutic and supportive health and social services and activities to the ACT Waiver clients who are functionally impaired and who, due to the severity of their functional impairment, are not capable of living in the community independently.

C. Description of Adult Day Health Service to be Provided

The unit of service will be a client day of Adult Day Health Service consisting of four (4) or more hours at the center. The four (4) hour minimum for a client day does not include transportation time. The number of units authorized per visit must be stipulated on the Plan of Care and the Service Authorization Form.

Medicaid will not reimburse for services rendered by a provider that has not been approved by Medicaid's Waiver QA Program as an ADH Provider.

Medicaid will not reimburse for activities performed which are not within the scope of service.

Adult Day Health Service is provided within a maintenance model of care, which provides services that include the following health and social activities, needed to ensure optimal functioning of the client.

1. Observe the status of the individual health that includes support in carrying out physician orders as needed; monitoring of vital signs as needed; observing the functional level of the client and noting any changes in the physical condition of each individual; supervising medication and observing for possible reaction; teaching positive health measures and encouraging self-care; appropriately reporting to the caregiver and case manager any changes in the client's condition.
2. According to the Alabama Board of Nursing medications can be administered by a Registered Nurse (RN) or Licensed Practical Nurse (LPN) who is currently licensed by the Alabama State Board of Nursing to practice nursing. The medication must be filled by a pharmacy with physician instructions written on the label. The written instructions on the container are considered a physician order. However, the nurse has an additional obligation to keep a record of all medications given to a client in the client's file. This policy is applicable, if a nurse is on staff at the facility. Medications cannot be administered by any other staff member at the ADH center. However, the other staff member can remind a client to take medication when necessary.
3. Observe and assist the client to maintain good personal hygiene on a daily basis.
4. Provide planned therapeutic activities on a daily basis to stimulate the client's mental and physical activity, communication and self-expression. These include reality orientation exercises, crafts, music, educational and cultural program, and games, etc.
5. Provides a variety of opportunities for group socialization.
6. Observe and assist the client with meal and eating.
7. Develop a plan to address medical emergencies, fire, and natural disaster.
8. Assist in the development of self-care, personal hygiene, and social support services.
9. Provide nourishment appropriate to the number of hours he or she attends the Adult Day Health center, but not equal to a full nutritional regime (3 meals per day). Specific diet requirements should be encouraged.
10. No other waiver service, except Case Management, may be provided during the time the client is receiving Adult Day Health Service.

Note: Under no circumstances should the unlicensed Adult Day Health Workers perform any type of skilled medical or nursing service.

D. Staffing

The DSP must provide all of the following staff positions through employment or sub-contractual arrangements.

1. Director of Adult Day Health Centers

All Adult Day Health Center Directors must meet the following requirements:

- a. Have a statewide criminal background check;
- b. Have references which are verified thoroughly by the DSP and documented in the personnel file. References must include previous employers and the Nurse Aide Registry;
- c. Have sufficient education (high school diploma or equivalent) and language ability to communicate effectively, understand written instructions and write basic reports;
- d. Have the ability to evaluate Adult Day Health employees in terms of their ability to perform assigned duties and communicate with the clients;
- e. Have the ability to assume responsibility for orientation and in-service training for Adult Day Health Workers by individual instructions, group meetings, or workshops;
- f. Have the ability to provide appropriate follow-up regarding a client/caregiver and/or Case Managers dissatisfaction, complaints or grievances regarding the provision of Adult Day Health Service;
- g. Submit to a program for the testing, prevention, and control of tuberculosis annually;
- h. Possess a valid, picture identification.

2. Adult Day Health Workers

Staff, volunteer and paid employees must meet the following requirements:

- a. Be able to follow the Plan of Care with minimal supervision;
- b. Be able to read and write;

- c. Submit to a program for the testing, prevention, and control of tuberculosis annually;
- d. Have statewide criminal background check;
- e. Have references which are verified thoroughly by the DSP and documented in the personnel file. References must include previous employers and the Nurse Aide Registry;
- f. Have a valid Alabama driver's license if transporting Adult Day Health clients;
- g. Possess a valid, picture identification.

3. Training

The Adult Day Health training program should stress the physical, emotional and developmental needs of the population services, including the need for respect of the client, his/her privacy, and his/her property. The minimum training requirement must be completed prior to initiation of service with a client. The DSP is responsible for providing and/or conducting the training. The Adult Day Health training program must be approved by the Operating Agency. Proof of the training must be recorded in the Adult Day Health Worker personnel file.

Individual records will be maintained on each Adult Day Health Worker to document that each member of the staff has met the requirements below.

All Adult Day Health Workers must have at least six (6) hours in-service training annually. Training requirements must include the following areas:

- a. Behavioral interventions, acceptance, and accommodation;
- b. Providing care and supervision including individual safety and non-medical care;
- c. First aid in emergency situations;
- d. Documenting client's participation;
- e. Fire and safety measures;
- f. Confidentiality;

- g. Client rights;
- h. Needs of the elderly and disabled population;
- i. Basic infection control/Universal Standards;
- j. Communication skills;
- k. Other areas of training as appropriate or as mandated by the Operating Agencies

Documentation of the training provided shall include topic, name and title of trainer, objective of the training, date of the training, outline of content, length of training, list of trainees and location.

Topics for specific in-service training may be mandated by the Operating Agency.

In-service training may entail demonstration of providing care to the client. Additional training may be provided as deemed necessary by the DSP. Any self-study training programs must be approved for content and credit hours by the Operating Agency, prior to the planned training. The DSP shall submit proposed program(s) to the Operating Agency at least 45 days prior to the planned implementation. The in-service training is in addition to the required training prior to delivery of Adult Day Health Service.

The DSP must have an ongoing infection control program in effect and training on Universal Standards and an update on infection control shall be included as part of the six (6) hours required in-service training for all Adult Day Health Workers each calendar year.

The Adult Day Health center must maintain records on each employee, which must include the following:

- (1) Application for employment;
- (2) Job description;
- (3) Statewide criminal background check;
- (4) Have references which have been verified thoroughly by the DSP and documented in the personnel file;
- (5) Record of health (annual tuberculin tests);
- (6) Record of pre-employment and in-service training;

- (7) Orientation;
- (8) Evaluations;
- (9) Reference contacts;
- (10) Records of all complaints/incidents lodged by the client/family and action taken;
- (11) Other forms as required by state and federal law, including agreements regarding confidentiality.

4. Nursing Staff

A Registered Nurse(s) or Licensed Practical Nurse(s) who meets the following requirements:

- a. Currently licensed by the Alabama State Board of Nursing.
- b. At least two (2) years experience as a Registered Nurse or Licensed Practical Nurse in public health, hospital or long-term care nursing.
- c. Must submit to a program for the testing, prevention, and control of tuberculosis annually.
- d. Statewide criminal background check;
- e. Have references which are verified thoroughly by the DSP and documented in the personnel file. References must include previous employers and the Nurse Aide Registry;
- f. Possess a valid, picture identification.

E. Procedure of Service

1. The Case Manager will submit a Service Authorization Form and Plan of Care to the Adult Day Health center authorizing Adult Day Health Service designating the units, frequency, beginning date of service, and types of activities in accordance with the clients needs.
2. The Adult Day Health Provider will initiate Adult Day Health Service within three (3) working days of the designated START DATE on the Service Authorization Form in accordance with the following:

- a. Services must not be provided prior to the authorized start date as stated on the Service Authorization Form.
 - b. The Adult Day Health Provider will adhere to the services and schedule as authorized by the Case Manager on the Service Authorization Form. No payment will be made for services unless authorized and listed on the Plan of Care.
 - c. On the first day of service the provider will review the plan of care, provide the client written information regarding rights and responsibilities and how to register complaints, and discuss the provisions and supervision of the service(s).
3. Missed Visits
- a. A missed visit occurs when the client is scheduled but does not attend.
 - b. All client absences for the week must be reported in writing to the Case Manager on Monday of the new week.
4. Changes in Services
- a. The Adult Day Health Provider will notify the Case Manager within one (1) working day of a change in the client's condition, or if Plan of Care no longer meets the client's needs or the client no longer appears to need Adult Day Health Service.
 - (1) Client's condition and/or circumstances have changed and the Plan of Care no longer meets the client's needs;
 - (2) Client does not appear to need Adult Day Health Service;
 - (3) Client dies or moves out of the service area;
 - (4) Client indicates Adult Day Health Service is not wanted; and,
 - (5) Client loses Medicaid financial eligibility;
 - (6) When services can no longer be provided.
 - b. The Case Manager will notify the DSP immediately if a client becomes medically or financially ineligible for waiver services.

- c. If the DSP identifies additional duties that may be beneficial to the client's care, but are not specified on the Plan of Care, the DSP shall contact the Case Manager to discuss having these duties added.
 - (1) The Case Manager will review the DSP's request to modify services and respond within one (1) working day of the request.
 - (2) The Case Manager will approve any modification of duties to be performed by the Adult Day Health Worker and re-issue the Service Authorization Form accordingly, if he/she concurs with the request.
 - (3) Documentation of any change in a Plan of Care will be maintained in the client's file.
 - (a) If the total number of hours of service is changed, a new Service Authorization Form is required from the Case Manager.
 - (b) If the types or times of services are changed, a new Service Authorization Form is required from the Case Manager.
 - (c) If an individual declines Adult Day Health Service or has become ineligible for services, a Service Authorization Form for termination is required from the Case Manager.

5. Documentation Record-Keeping

The Adult Day Health Provider will maintain a record-keeping system, which establishes a client profile based on the Service Authorization Form.

The DSP shall maintain a file on each client, which shall include the following:

- (1) A current HCBS application;
- (2) Both current and historical Service Authorization Forms;
- (3) Documentation of all care and services provided;
- (4) Records of all complaints lodged by clients or family members/responsible parties and any action taken;

- (5) All service logs;
- (6) Any notification to Case Manager;
- (7) Daily attendance records must be kept in each individual client file. The attendance record should be initialed daily and signed weekly by the client. In the event the client is not able to sign and family member or responsible party is not present to sign, the Adult Day Health center must document on the attendance record the reason the attendance record was not signed in the client file. The attendance record must be reviewed and initialed by the Adult Day Health Center Director at least every two (2) weeks.

The Adult Day Health Provider should notify the Case Manager in writing regarding any report or indication from the Adult Day Health Worker regarding a significant change in the client's physical, mental or emotional health. The Adult Day Health Supervisor should document such action in the DSP client file.

6. The Adult Day Health Provider must submit to the Case Manager, every 60 days a brief summary of the client's condition, an evaluation of the effectiveness of the service as it relates to the Plan of Care, and suggestions relative to the client's needs. The activities the client participates in should be included in the brief summary.
7. The Adult Day Health Provider shall comply with federal and state confidentiality laws and regulations in regard to client and personnel file.
8. The Case Manager will request Adult Day Health Service by authorizing the amount, beginning dates of service, and frequency of service for clients in accordance with the client's Plan of Care which will be developed in consultation with the client.
9. The Case Manager will notify the Adult Day Health Provider immediately if a client becomes medically or financially ineligible for Adult Day Health Service.
10. The number of days a client attends each week is dependent upon the individual client's needs as set forth in the Plan of Care established by the case manager.
11. No payment will be made for services not documented on the Plan of Care and the Service Authorization Form.

12. Medicaid will not reimburse for activities performed which are not within the scope of services.

F. Conditions of Participation

1. The Adult Day Health Provider must maintain a current Adult Day Health approval issued from the Alabama Medicaid Agency. (The Alabama Medicaid Agency issues approval for only those Adult Day Health centers that participate in the ACT Waiver program.) Approval depends upon compliance with the Adult Day Care Standards in Appendix B.2.a and the Adult Day Health Service requirements in the approved ACT Waiver document. The approval will be issued by the Alabama Medicaid Agency after an on-site visit by the Quality Assurance Unit. The Adult Day Health center will be issued an approval for the facility to participate in the ACT Waiver program for a period of no more than two (2) years if all requirements are met. Requirements for approval are as follows:
 - a. The Adult Day Health center must meet the standards in waiver document Appendix C-3:9;
 - b. The Adult Day Health center must meet the requirements in the approved waiver document;
 - c. Services must be delivered consistent with the Plan of Care;
 - d. The clients needs must be met.

There should be no deviation from these requirements.

2. The Adult Day Health Provider will incorporate in the procedures for operation of the center adequate safeguards to protect the health and safety of the clients in the event of a medical or other emergency.
3. The Adult Day Health Provider must maintain a current (within past 12 months) fire inspection.
4. The ADH provider must conduct and document (monthly) fire and or weather drills. Documentation of drills shall include date, time, duration, number of clients' participation, number of staff participating and name of staff conducting the drill.
5. The Adult Day Health Provider must maintain a current (within past 12 months) health inspection if food is prepared and an approval from the Health Department (within 12 months) if receiving catered food.

6. The Adult Day Health Provider must maintain adequate staff for the number of clients served in the center.
 - a. One Adult Day Health Worker plus the director for 1-10 clients.
 - b. Two Adult Day Health Workers plus the director for 11-25 clients.
 - c. Three Adult Day Health Workers plus the director for 26-35 clients.
 - d. Four Adult Day Health Workers plus the director for 36-43 clients.

Add one Adult Day Health Worker for each additional 8 clients.

7. The Adult Day Health Provider must have at least two staff members certified in CPR and First Aid.
8. The Adult Day Health Provider must have one person trained to act on behalf of the Adult Day Health Director in his or her absence.
9. The Adult Day Health Provider must have a registered nurse (RN) or license practical nurse (LPN) available monthly for consultation. Monthly health screens include, but are not limited to: checking vital signs, weighing clients if applicable, and monthly health and nutritional teaching.

G. Rights, Responsibilities, and Service Complaints

The Operating Agency has the responsibility of ensuring that the Adult Day Health Provider has fulfilled its duty of properly informing the client of all rights and responsibilities and the manner in which service complaints may be registered.

The DSP Agency will inform the client/responsible party of their right to lodge a complaint about the quality of Adult Day Health Service provided and will provide information about how to register a complaint with the Case Manager as well as the Alabama Medicaid Agency.

1. Complaints that are made against Adult Day Health Workers will be investigated by the Adult Day Health Provider and documented in the client's file.
2. All complaints that are to be investigated will be referred to the Adult Day Health Director who will take appropriate action.
3. The Adult Day Health Director will take any action necessary and document the action taken in the client and employee's files.

4. The Adult Day Health Director will contact the Case Manager by letter or telephone about any complaint and any corrective action taken.
5. The Adult Day Health Provider must maintain documentation of all complaints, follow-up, and corrective action regarding the investigation of those complaints and documentation showing that they have complied with the requirements of this section.

H. Administrative Requirements

In addition to all conditions and requirements contained elsewhere in this Scope of Services as well as in the Adult Day Care standards and the contract, the Adult Day Health Provider shall be required to adhere to the following stipulations:

1. The Adult Day Health Provider shall designate an individual to serve as the agency administrator. This does not have to be a full time position; however, the designated administrator must have the authority and responsibility for the direction of the Adult Day Health Center. The Adult Day Health Provider shall notify the Operating Agency within three (3) working days in the event of a change in the agency administrator, address, or phone number.
2. The agency will maintain an organizational chart indicating the administrative control and lines of authority for the delegation of responsibility down to the "hands-on" client care level staff shall be set forth in writing. This information shall be readily accessible to all staff and shall include an organizational chart. A copy of this information shall be forwarded to the Operating Agency at the time the contract is implemented. Any future revisions or modifications shall be distributed to all staff of the Adult Day Health Provider and to the Operating Agency.
3. The Adult Day Health Provider shall ensure that key agency staff, including the agency administrator or the DSP Supervisor, be present during compliance review audits conducted by Medicaid, the Operating Agency and/or its agents.
4. Administrative and supervisory functions shall not be delegated to another agency or organization.
5. A governing body or designated persons so functioning shall assume full legal authority for the operation of the Adult Day Health center. A list of the members of the governing body will be made available to the Operating Agency and the Alabama Medicaid Agency upon request.

6. The Adult Day Health Provider must maintain an annual operating budget, which will be made available to the Operating Agency or the Alabama Medicaid Agency upon request.
7. The Adult Day Health Provider will acquire and maintain during the life of the contract liability insurance to protect all paid and volunteer staff including board members, from liability incurred while acting on behalf of the Adult Day Health Center. Upon request, the Adult Day Health Provider will furnish a copy of the insurance policy to the Operating Agency and the Alabama Medicaid Agency.