

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

Oct. 2011

**SCOPE OF SERVICE
FOR
HOMEMAKER SERVICE
ACT WAIVER**

A. Definition

Homemaker Service provides assistance with general household activities such as meal preparation and routine housecleaning and tasks, such as, changing bed linens, doing laundry, dusting, vacuuming, mopping, sweeping, cleaning kitchen appliances and counters, removing trash, cleaning bathrooms, and washing dishes. This service may also include assistance with such activities as obtaining groceries and prescription medications, paying bills, and writing and mailing.

Homemaker Services is not an entitlement. It is based on the needs of individual client as reflected in the Plan of Care.

B. Objective

The objective of Homemaker Services (HM) are to preserve a safe and sanitary home environment, assist clients with home care management duties, to supplement and not replace care provided to clients, and to provide needed observation of clients participating in the ACT waiver.

C. Description of Service to be Provided

1. The unit of service is 15 minutes of direct Homemaker Service provided in the client's residence (except when shopping, laundry services, etc. must be done off-site). The amount of time authorized does not include the Homemaker's transportation time to or from the client's residence, or the Homemaker's break or mealtime.
2. The number of units and services provided to each client is dependent upon the individual client's needs as set forth in the Plan of Care.

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

3. No payment will be made for services that are not listed on the Plan of Care and the Service Authorization Form.
4. Homemaker Services duties include, but are not limited to, the following:
 - a. Meal or snack preparation, meal serving, cleaning up afterwards;

- b. General housekeeping includes cleaning (such as sweeping, vacuuming, mopping, dusting, taking out trash, changing bed linens, defrosting and cleaning the refrigerator, cleaning the stove or oven, cleaning bathrooms); laundry (washing clothes and linen, ironing, minor mending); and, other activities as needed to maintain the client in a safe and sanitary environment;
- c. Essential shopping for food and other essential household or personal supplies which may be purchased during the same trip, and picking up prescribed medication;
- d. Assistance with paying bills (which includes opening bills, writing checks but not signing them) and delivering payments to designated recipients on behalf of the client;
- e. Assistance with communication which includes placing phone within client's reach and physically assisting client with use of the phone, orientation to daily events, paying bills, and writing letters;
- f. Observing and reporting on client's condition;
- g. The homemaker is not allowed to transport the client by vehicle in the performance of their task;
- h. Reminding clients to take medications;
- i. Observing and reporting on home safety. The Homemaker service worker will insure that the client is residing in a safe environment. Insuring home safety means that the worker will have a general awareness of the home's surroundings and any concerns with safety issues will be reported to the Homemaker Supervisor as well as the case manager for follow up.

Note: Under no circumstances should any type of skilled medical or nursing service be performed by a Homemaker.

- 5. The Direct Service Provider (DSP) is not responsible for providing funds, supplies, or groceries to perform Homemaker Services.

D. Staffing

The DSP must provide all of the following staff positions through employment and/or subcontractual arrangements.

- 1. All Homemaker Supervisors will have the following qualifications:

- a. High school diploma or equivalent;
 - b. Be able to evaluate homemakers in terms of their ability to perform assigned duties and relate to the client;
 - c. Have the ability to coordinate or provide orientation and in-service training to Homemaker Workers on either an individual basis or in a group setting;
 - d. Submit to a program for the testing, prevention, and control of tuberculosis annually;
 - e. Must have references which will be verified thoroughly and documented in the DSP personnel file. References must include statewide criminal background checks, previous employers, and the Nurse Aide Registry;
 - f. Have the ability to provide appropriate follow-up regarding a client/caregiver and/or Case Manager's dissatisfaction, complaints or grievances regarding the provision of Homemaker service;
 - g. Have the ability to evaluate the Homemaker Worker (HM Worker) in terms of his/her ability to carry out assigned duties and relate to the client;
 - h. Possess a valid, picture identification.
2. All individuals providing Homemaker Service must meet the following qualifications:
- a. Be able to read and write;
 - b. Submit to a program for the testing, prevention, and control of tuberculosis annually;
 - c. Have references which will be verified thoroughly and documented in the DSP personnel file. References must include statewide background checks, previous employers, and the Nurse Aide Registry;
 - d. Be able to work independently on an established schedule;
 - e. Possess a valid, picture identification;
 - f. Be able to follow the Plan of Care with minimal supervision;

- g. Complete a probationary period determined by the employer with continued employment contingent on completion of a Homemaker in-service training program.

3. Minimum Training Requirements for Homemakers:

The Homemaker training program should stress the physical, emotional and developmental needs of the population served, 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 Homemaker training program must be approved by the Operating Agency. Proof of the training must be recorded in the personnel file.

The annual in-service training is in addition to the training required prior to the provision of care.

All Homemakers must have at least six (6) hours, in-service training annually from the following areas:

- a. Maintaining a safe and clean environment;
- b. Providing care including individual safety, laundry, serve and prepare meals, and household management;
- c. First aid in emergency situations;
- d. Fire and safety measures;
- e. Client rights;
- f. Record keeping; such as,
 - A service log signed by the client or family member/responsible person and Homemaker Worker to document what services were provided for the client in relation to the Plan of Care.
 - Submitting a written summary to the Homemaker Worker Supervisor of any problems with client, client's home or family. The Supervisor in return should notify the Case Manager.
- g. Communication skills;
- h. Basic infection control/Universal Standards;

- i. Other areas of training as appropriate or as mandated by the Operating Agency.
4. The DSP will be responsible for providing a minimum of six (6) hours of relevant in-service training per calendar year for each Homemaker Worker. In-service training is in addition to Homemaker Worker orientation training. For Homemaker Workers hired during the calendar year, this in-service requirement may be prorated based on date of employment as a Homemaker Worker.
5. Documentation of the training provided shall include topic, date, name and title of trainer, objective of the training, outline of content, length of training, list of trainees and location.
6. Topics for specific in-service training may be mandated by Medicaid or the Operating Agency.
7. In-service training may entail demonstration of maintaining a safe and clean environment for the client. Additional training may be provided as deemed necessary by the DSP. Any self-study training programs are limited to four (4) hours annually and must be approved for content and credit hours by Medicaid and 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.
8. 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 for all Homemaker Workers each calendar year.
9. The DSP Agency shall maintain records on each employee, which shall include the following:
 - a. Application for employment;
 - b. Job description;
 - c. Statewide criminal background checks and references;
 - d. Record of health (annual tuberculin tests);
 - e. Record of pre-employment and in-service training;
 - f. Orientation;

- g. Evaluations;
- h. Supervisory visits;
- i. Copy of photo identification;
- j. Records of all complaints/incidents lodged by the client/family/responsible party and action taken;
- k. Reference contacts;
- l. Other forms as required by state and federal law, including agreements regarding confidentiality.

E. Procedures for Service

- 1. The Case Manager will submit a Service Authorization Form and Plan of Care to the DSP Agency authorizing Homemaker Service and designating the units, frequency, beginning date of service, and types of duties in accordance with the individual client's needs.
- 2. The DSP Agency will initiate Homemaker 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 DSP Agency 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.
- 3. The DSP Agency may recommend to the Case Manager any changes in the hours, times, or specified duties requested. The Case Manager will review a client's Plan of Care within one (1) working day of the DSP's request to modify the Plan of Care. A change in the Service Authorization Form will be submitted to the DSP Agency if the Case Manager concurs with the request.
- 4. Homemakers will maintain a separate service log to document their delivery of services.
 - a. The Homemaker shall complete a service log daily. The service log will reflect the types of services provided, the number of hours of service, and the times of service.

- b. The service log must be signed upon each visit by the client, or family member/responsible party and the Homemaker Worker. In the event the client is not physically able to sign and the family member/responsible party is not present to sign, then the Homemaker must document the reason the log was not signed by the client or family member/responsible party.
 - c. The service log will be reviewed and signed by the Homemaker Supervisor at least once every two (2) weeks. Service logs will be retained in the client's file.
 - d. Client visits may be recorded electronically via telephony. Electric documentation will originate from the client's residence as indicated by the phone number at the residence. A monthly report of phone number exceptions will be maintained with written documentation giving the reason the electronic documentation did not originate at the client's residence, e.g., phone line down, client does not have phone. These electronic records may be utilized in place of client signatures.
5. Provision of Service Authorized:
- a. Homemaker Service cannot be provided at the same time as other authorized waiver services are being provided, except for case management.
 - b. Services provided by relatives or friends may be covered only if relatives or friends meet the qualifications as providers of care. However, providers of service cannot be a parent/step-parent/legal guardian of a minor or a spouse of the individual receiving services, when the services are those that these persons are legally obligated to provide. There must be strict controls to ensure that payment is made to the relatives or friends as providers only in return for homemaker services. Additionally, there must be adequate justification as to why the relative or friend is the provider of care and there is documentation in the case management file showing that the family member is a qualified provider and the lack of other qualified providers in remote areas. The case manager will conduct an initial assessment of qualified providers in the area of which the client will be informed. The case manager must document in the client's file the attempts made to secure other qualified providers before a relative or friend is considered. The case manager, along with the DSPs, will review the compiled information in determining the lack of qualified providers for client's living in a remote area.

6. Monitoring of Service

Homemaker Service must be provided under the supervision of the individual who meets the qualifications in D.1. and will:

- a. Make the initial visit prior to the start of Homemaker Service for the purpose of reviewing the plan of care, providing the client written information regarding rights and responsibilities and how to register complaints, and discussing the provision and supervision of the service(s).”

The initial visit should be held at the client’s place of residence and should include the Case Manager, the Homemaker Supervisor, the client and caregiver if feasible. It is advisable to also include the Homemaker Worker in the initial visit.

- b. Be immediately accessible by phone during the time Homemaker Service is being provided. Any deviation from this requirement must be prior approved in writing by the Operating Agency and the Alabama Medicaid Agency. If this position becomes vacant the Operating Agency and the Alabama Medicaid Agency must be notified within 24 hours when the position becomes vacant.
- c. Provide and document supervision of, training for, and evaluation of Homemaker Workers according to the requirements in the approved waiver document.
- d. Provide on-site (client's residence) supervision of the Homemaker Worker at a minimum of every 60 days for each client. Supervisory visits must be documented in the individual client record. Supervisors will conduct on-site supervision more frequently if warranted by complaints or suspicion of substandard performances by the Homemaker Worker. In the event the on-site supervisory visit cannot be completed in a timely manner due to the client’s being inaccessible, the supervisory visit must be completed within five (5) working days following resumption of Homemaker Service. Documentation regarding this action should be in the DSP client record.
- e. The DSP must complete the 60 day supervisory review which includes, at a minimum, assurance that the services are being delivered consistent with the Plan of Care and the Service Authorization Form in an appropriate manner, assurance that the client’s needs are being met, and a brief statement regarding the client’s condition. A copy of the

supervisory visit must be submitted to the Case Manager within 10 calendar days after the 60 day supervisory review.

- f. Assist Homemaker Workers as necessary as they provide individual Homemaker Service as outlined in the Plan of Care. Any supervision/assistance given must be documented in the individual client's record.
- g. The Homemaker Supervisor must provide direct supervision of each Homemaker Worker with at least one (1) assigned client at a minimum of every six (6) months. Direct supervisory visits must be documented in the Homemaker Worker's personnel record.
 - (1) Direct supervision may be carried out in conjunction with an on-site supervisory visit.

The Homemaker Supervisor will provide and document the supervision, training, and evaluation of Homemaker Workers according to the requirements in the approved Waiver Document.

7. Missed Visits and Attempted Visits

- a. Missed Visits
 - (1) A missed visit occurs when the client is at home waiting for scheduled services, but the services are not delivered.
 - (2) The DSP shall have a written policy assuring that when a Homemaker Worker is unavailable, the Supervisor assesses the need for services and makes arrangements for a substitute to provide services as necessary.
- b. Clients who are designated by the Case Manager as being at-risk should be given first priority when Homemaker Service visits must be temporarily prioritized and/or reduced by the DSP.
 - (1) If the Supervisor sends a substitute, the substitute will complete and sign the daily log after finishing duties. If a substitute Homemaker Worker was offered to the client/caregiver, but refused, this should be documented in the DSP client record on the "Weekly Missed/Attempted Visit Report."
 - (2) If the Supervisor does not send a substitute, the Supervisor will contact the client and inform them of the unavailability of the Homemaker Worker.

- (3) The DSP will document missed visits in the client's files.
- (4) Whenever the DSP determines that services cannot be provided to an at-risk client as authorized, the Case Manager must be notified by telephone immediately. All missed/attempted visits for one week and the reason for the missed/attempted visit must be reported in writing on the "Weekly Missed/ Attempted Visit Report" form to the Case Manager on Monday of each week. Any exception to the use of this form must be approved by the Operating Agency and the Alabama Medicaid Agency.
- (5) The DSP may not bill for missed visits.

c. Attempted Visits

- (1) An attempted visit occurs when the Homemaker Worker arrives at the home and is unable to provide services because the client is not at home or refuses services.
- (2) If an attempted visit occurs:
 - (a) The DSP may not bill for the attempted visits.
 - (b) The Supervisor will contact the client or family member to determine the reason why the client was not present or why services were refused. Documentation of this discussion must be in the client's file.
 - (c) The DSP will notify the case manager within one (1) working day after the second attempted visit whenever two (2) attempted visits occur within the SAME week.

8. Changes in Services

- a. The DSP will notify the Case Manager within one (1) working day of the following changes:
 - (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 Homemaker Service;
 - (3) Client dies or moves out of the service area;
 - (4) Client indicates Homemaker Service is not wanted;

- (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 HMW and re-issue the Service Authorization Form accordingly, if he/she concurs with the request.
 - (3) Documentation of any change in the Plan of Care or Service Authorization Form will be maintained in the client's file.
 - (a) If the total number of hours or types of services are changed, a new Service Authorization Form is required from the Case Manager.
 - (b) If an individual declines Homemaker Service or has become ineligible for services, a Service Authorization Form for termination is required from the Case Manager.

9. Documentation and Record-Keeping

- a. The DSP shall maintain a record keeping system for each client that documents the units of service delivered based on the Service Authorization Form. The client's file shall be made available to Medicaid, the operating agencies, or other agencies contractually required to review information upon request.
- b. 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 specifying units, services, and schedule of Homemaker visits for the client;
 - (3) Documentation of client specific assistance and/or training rendered by the Supervisor to a Homemaker Worker;
 - (4) All service logs;
 - (a) The service log must be reviewed and initialed by the Homemaker Supervisor at least once every two (2) weeks.
 - (5) Records of all missed or attempted visits;
 - (6) Records of all complaints lodged by clients or family members/responsible parties and any actions taken; and,
 - (7) Evaluations from all 60 day on-site supervisory visits to the client;
 - (8) The Service Authorization Form notifying the DSP Agency of termination, if applicable;
 - (9) Initial visit for in-home services;
 - (10) Any other notification to Case Manager;
 - (11) Permission statements to release confidential information, as applicable.
- c. The DSP will retain a client's file for at least five (5) years after services are terminated.
 - d. The DSP Agency shall comply with federal and state confidentiality laws and regulations in regard to client and employee files.

F. Rights, Responsibilities, and Service Complaints

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

2. The DSP Agency will inform the client/responsible party of their right to lodge a complaint about the quality of Homemaker Service provided and will provide information about how to register a complaint with the Case Manager as well as the Alabama Medicaid Agency.
 - a. Complaints which are made against HMW will be investigated by the DSP Agency and documented in the client's file.
 - b. All complaints which are to be investigated will be referred to the HMW Supervisor who will take appropriate action.
 - c. The HMW Supervisor will take any action necessary and document the action taken in the client's and/or the employee's files, whichever is most appropriate based on the nature of the complaint.
 - d. The HMW Supervisor will contact the Case Manager by letter or telephone about any complaint and any corrective action taken.
3. The DSP 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.

G. Administrative Requirements

In addition to all conditions and requirements contained in the Scope of Services as well as in the contract, the DSP shall be required to adhere to the following stipulations:

1. The DSP Agency shall designate an individual to serve as the agency administrator who shall employ qualified personnel and ensure adequate staff education, in-services training and perform employee evaluations. 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 DSP Agency. The DSP Agency shall notify the Operating Agency within three (3) working days of a change in the agency administrator, address, phone number or an extended absence of the agency administrator.
2. The DSP 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 will be readily accessible to all staff. 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 DSP Agency and the Operating Agency.

3. Administrative and supervisory functions shall not be delegated to another agency or organization.
4. A list of the members of the DSP's governing body shall be made available to the Operating Agency and/or the Alabama Medicaid Agency upon request.
5. The DSP Agency must maintain an annual operating budget which shall be made available to the Operating Agency and/or the Alabama Medicaid Agency upon request.
6. The DSP Agency shall 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 agency. Upon request, the DSP Agency shall furnish a copy of the insurance policy to the Operating Agency and/or the Alabama Medicaid Agency.
7. The DSP Agency 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.
8. The DSP Agency shall maintain an office which is open during normal business hours and staffed with qualified personnel.
9. The Direct Service Provider (DSP) shall provide its regularly scheduled holidays to the Operating Agency. The DSP Agency must not be closed for more than four (4) consecutive days at a time and then only if a holiday falls in conjunction with a weekend. The DSP shall also provide the regular hours of business operation. If a service is needed on a scheduled holiday, the service provider will ensure that the service is rendered.
10. The DSP Agency will maintain a Policy and Procedures Manual to describe how activities will be performed in accordance with the terms of the Operating Agency contract and the Waiver Document. The Policy and Procedure Manual should include the organization's Emergency Plan regarding service delivery.

H. Provider Experience

Providers of Homemaker Service must meet all provider qualifications prior to rendering the Homemaker Service.

All personnel with direct client contact or access to client information must have complete reference verification and statewide criminal background checks on file prior to client contact or access to client information.