**Instructions for Completing Care Management Monitoring Tool – HCCBG/ARPA**

This tool has been modified to include monitoring for HCCBG and/or ARPA funding of the service.

**For programmatic monitoring of HCCBG code 610 and/or ARPA code 963:**

Complete pages 2 – 4, page 5 - Fiscal Verification, and Client Record Review Excel Spreadsheet. Check the appropriate funding box(es) on pages 2, 4, and 5.

**Note:** If a provider is conducting a self-assessment on part or all of the monitoring tool, a signed and dated attestation statement should be included with the completed monitoring tool.

**NC DIVISION OF AGING AND ADULT SERVICES**

**NC AREA AGENCIES ON AGING**

**CARE MANAGEMENT MONITORING TOOL**

**Part I: Program Verification**

Provider Agency:

Review Date:       State Fiscal Year:

Agency Staff Interviewed:

Signature of Reviewer(s):

Funding Source (check all that apply):  HCCBG [610]  ARPA [963]

1. The Care Management unit has a Social Worker

and a Registered Nurse. Yes  No

* 1. The Registered Nurse holds a current license

issued by the North Carolina Board of Nursing. Yes  No

* 1. The Social Worker has a BSW or MSW or meets

State Personnel requirements for a Social Worker. Yes  No

(VIII.A. 1. & 2). (p. 8 Care Management Service Standards)

Documentation reviewed/Comments:

1. The agency completes a screening/intake instrument in

person or by phone that addresses the following:

* 1. Client’s identifying information Yes  No
  2. Client’s ability to perform activities

of daily living Yes  No

* 1. Client’s ability to perform instrumental

activities of daily living Yes  No

* 1. Client’s perception of health problems Yes  No
  2. Client’s perception of well-being

(e.g. happy, sad, forgetful, confused) Yes  No

* 1. Client’s living arrangement

(alone/with family) Yes  No

* 1. Availability of caregiver support Yes  No
  2. Services currently being received Yes  No

(V.A.1.a.-h.) (pp. 3-4 Care Management Service Standards)

Documentation reviewed/Comments:

1. The agency uses a comprehensive in-home\* assessment tool that addresses the following:
   1. Client’s identifying information Yes  No
   2. Client’s functional capacity (ADLs, IADLs) Yes  No
   3. Client’s medical status Yes  No
   4. Client’s social status Yes  No
   5. Client’s mental status Yes  No
   6. Client’s economic status Yes  No
   7. Client’s environmental status Yes  No

(V.A.2.a.-h.) (pp. 4-5 Care Management Service Standards)

Documentation reviewed/Comments:

1. Care plan forms contain the following elements:
2. Outcome oriented goal statements and conditions

for case closure Yes  No

b. Both informal and formal services to be provided Yes  No

c. Agencies responsible for service provision Yes  No

d. Frequency of service provision Yes  No

e. Duration of service provision Yes  No

f. Signature of the client/designated representative

indicating agreement with the care plan Yes  No

1. Signature of the Registered Nurse and the

Social Worker developing the care plan Yes  No

1. Date of the care plan development Yes  No

(V.A.3.a.-h.) (pp. 5-6 Care Management Service Standards)

Documentation reviewed/Comments:

**Part II: SUMMARY OF CLIENT RECORD REVIEW**

For the client record review section, pull a random sample of based on Section 308.2 B. and Administrative Letter No. 22-09. Attach ZGA-542 for Code 610 and Code 963 as applicable. Use the accompanying Client Record Review Worksheet to record results of each client file review. After reviewing the client files, complete the questions listed below to summarize the client record information. Select a client sample from both funding sources if applicable.

Check all that apply:  HCCBG  ARPA

Of the       (number) client files reviewed,

1. Out of       (number) clients needing registration information updated,        (number) had registration information updated. (IX A.) (p. 9)

1. (number) contained a completed screening/intake instrument. (V.A.1.) (pp. 3-4)

1. (number) contained a completed comprehensive multidimensional assessment signed and dated by the Registered Nurse and the Social Worker. (V.A.2.) (pp. 4-5)
2. Out of       (number) clients needing reassessments,      (number) were completed, signed and dated by the Registered Nurse and the Social Worker. (V.A.2.) (p. 5)

1. (number) care plans were developed within 12 working days of the initial screening/intake. (V.A.3.) (p. 5)
2. (number) care plans were signed and dated by the Registered Nurse and the Social Worker.

1. (number) care plans were reviewed quarterly by the Registered Nurse and the Social Worker. (V.A.3.) (p. 6)

1. (number) indicated that monthly contacts to the client were made. (V.A.4.a.) (p. 6)
2. (number) indicated that at least a quarterly in-home visit was made. (V.A.4.a) (p. 6)
3. Out of      (number) clients having health related needs,       (number) had the Registered Nurse conducting the quarterly home visits. (V.A.4.b.) (p. 6)

11.       (number) clients were made aware of Client/Patient Rights. (VI.) (p. 8)

12. Out of       (number) clients referred for service,       (number) had

signed a Release of Information form.

Additional Comments:

**Fiscal Verification- Part III**

Agency:       Date:

Agency Staff Interviewed:

Signature of Reviewer(s):

Check all that apply:  HCCBG funds [610]  ARPA funds [963]

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1. Agency budget (e.g., DAAS 732 A) shows monies

(Including match if applicable) are used to support

the Care Management service.Yes  No  N/A

Documentation reviewed/Comments:

2. If positions are funded, Agency budget (e.g., DAAS 732 A1)

shows Care Management designated position(s) and

% of position(s) funded for Care Management. Yes  No  N/A

Documentation reviewed/Comments:

3. If the agency has collected consumer contributions,

the ZGA 370 YTD matches the agency’s YTD

financial records.Yes  No  N/A

Documentation reviewed/Comments:

4. At the time of the review, the % utilization rate is

consistent with budget projections for the fiscal year.

*(E.g., ZGA 370-YTD)*  Yes  No  N/A

Documentation reviewed/Comments:

If not, describe any extenuating circumstances and/or

planned adjustments.

5. Any expenses for Care Management (e.g., payroll

records, invoice for purchases) can be attached to a

function of the Care Management service.

*(Select a month of reimbursement in ARMS and*

*document that reimbursement correlates with actual*

*expenses.)*  Yes  No  N/A

Documentation reviewed/Comments: