**Provider Name:**

**Interview Date:**

**Surveyor(s) and Provider Representative(s) Present: (name and title for provider representatives)**

**Financial:**

What is the date range for your fiscal year?

 Was an audit submitted to the Department? (6-004.01)

 If so, when was it submitted? *(If not, refer this information to* *DHHS.DDcostreports@Nebraska.gov* *; as the contact point* [*https://dhhs.ne.gov/licensure/Documents/ProviderContactPoints.pdf*](https://dhhs.ne.gov/licensure/Documents/ProviderContactPoints.pdf) *)*

How do you fulfill the regulatory requirements for a written notice of costs to individuals/guardians? (5-001.09)

**Policies and Procedures: (4-002.03)**

 When are the agency’s policies and procedures given to staff? (4-002.03) (1) And if they are revised? (4-002.03) (4)

 Where and how are policies and procedures available to staff after initial training? (4-002.03) (1)

How often are policies and procedures reviewed for compliance with Title 404 NAC? (4-002.03) (4)

Explain your process to make changes to policies and procedures.

**Community Involvement:**

 How do you support individuals choosing and accessing community events, social activities and other opportunities?

How do you ensure the individuals’ safety and health including infections while providing person centered, activities in the community?

**Background checks:**

What process is employed to ensure staff do not work alone with individuals until they are permitted to do so? (4-003.01)

How do you track and document when staff begin working with individuals alone? Who is responsible for doing this for all new hires?

How are staff expected to inform the agency if they have a conviction after hire?

How do you ensure you retain the results of the background checks for a year following the termination of employment? (4-003) (7)

How often do you perform background checks on direct care staff and subcontractors or household members? How old do the household members need to be in order to perform background checks? (18 years old) (4-003) (4)

When do you perform Central Registry of Children Protective and Adult Protective Cases? Do you conduct them any other times? (Annually) Is this done at the annual hire date or annually with all staff at the same time? How old do the household members need to be in order to perform APS/CPS checks? (13 years old) (4-003) (5)

When do you perform the Nebraska Sex Offender Registry check? Do you conduct them any other times? (Annually) (4-003) (6) Is this done at the annual hire date or annually with all staff at the same time?

How old must staff be to work to provide direct care services? (18 years old) (4-003) (3)

**Injuries and Incidents:**

Who needs to be notified for a medium or high-level GER? (Provider management, the Department.,the individual who receives services involved in the incident, family member or legal representative as appropriate, Child and Adult Abuse and Neglect in the Department (if necessary) Law enforcement (if necessary) (4-002.11) (D) (i) (ii) (iii) (iv) (v)

How soon should the Department be notified for a medium or high level GER? (verbally upon becoming aware) (4-002.11) (E) (i)

How soon should a GER be completed? (within 24 hours of the verbal report) (4-002.011) (ii)

Who or what entity is responsible for reviewing patterns or trends regarding injuries and incidents?

Where can I find evidence of this?

**Restrictions:**

 How do you protect individual’s rights when they are restricted? (4-007)

Who must give consents to restrictions? (Guardian, team, Rights Review Committee) (4-007) (4-007.01)

**Rights Review Committee**

 How often does your Rights Review Committee meet? (4-002.05) (C)

What topics are discussed at your Rights Review committee meetings? (ESI’s, allegations of abuse/neglect, restrictions, the use of certain psychotropic medications, and any situation where violation of a participant’s rights occurred. (4-002.05) (4-002.05) (F)

Who is designated to give interim approval? When can interim approval be given? (Does final approval need to be given at the next Rights Review Committee meeting?) (4-002.5) (E)

**Abuse and Neglect:**

Who decides what allegations of abuse/neglect/exploitation are reported and investigated? (5-004)

Who is in charge of your agency’s internal investigations? (5-004)

How soon should a written summary of the provider’s investigation and action taken be submitted to the Department? (14 days) (4-002.11) (iii)

How do you ensure GERs are submitted within the regulatory timelines and the needed notifications conducted? (4-002.11)

How do you ensure the recommended follow-up actions to GERs and internal investigations actually occur? (4-002.11) (5-004)4-

**Quality Assurance:**

How are individuals, family members, and/or guardians, as applicable, involved in the QA process? (4-004.(3)

What are your quality assurance activities indicating?

How has the agency looked for significant areas of concern, identified concerns, and taken action to correct them on a system-wide basis? Can you show me evidence of your quality assurance activities?

**Complaints/Grievances:**

Have there been any grievances filed with the agency since the last certification review? (5-003)

Describe the process you follow for complaints or grievances.

I will be reviewing your documentation for the most recent complaint or grievance that was filed as part of the certification review. (Request file now if you had not already done so during the entrance conference). If no complaints or grievances were filed since the last review, no file review is necessary unless other information indicates there had been 1 or more complaints or grievances since the last review. If this was the case, a focus review would be indicated.

**Health Services: NAC Title 172 Chapters 95, 96 and 99** [**https://dhhs.ne.gov/Pages/Title-172.aspx**](https://dhhs.ne.gov/Pages/Title-172.aspx)

 Who is responsible for providing direction and monitoring of medication aides?

How do they ensure compliance with regulations for licensed medication aides?

How do you ensure this person is doing their job well? Who monitors them?

(Interview person named above to confirm and clarify the competence and monitoring including how they track certification. It is suggested that asking a staff who is a licensed medication aide who provides their competence testing and monitoring is another opportunity to confirm the process is operationalized)