

Appendix T

Training and Documentation Requirements for Waiver Funded Supportive Home Care and Respite Care

I. Purpose

Appendix T describes the standards for training and the required documentation of training for Supportive Home Care (SHC) and Respite Care providers. The training standards ensure that waiver program participants receive safe, quality care and services that are provided by well trained, competent providers. The training standards also assure that care and service providers better understand the individual participant as a whole person and become familiar with the policies and procedures of the county waiver agency and the SHC contract agency.

II. Scope

Service providers covered by these standards include those who perform:

- A. **Personal services:** Examples include assistance with activities of daily living; providing hands on help with feeding, bathing, grooming, dressing, transfers, assistance with therapy and exercise as well as with the use of adaptive, communication or mobility aids. Such services may also include attendant care to provide general monitoring, assistance and/or supervision.
- B. **Household/Chore Services:** Examples include routine indoor housekeeping chores, such as general house cleaning tasks, laundry, changing bedding and meal preparation as well as tasks related to managing the home such as shopping and errands. Household/chore service also includes routine outdoor chores related to exterior upkeep, as well as lawn mowing and snow removal.

III. Personal Services – Provider Training Requirements

A. Content of Training

The county waiver agency shall assure that all persons providing personal services receive training in **all** of the following subject areas:

1. The county waiver agency and SHC contract agency policies, procedures and expectations for providers including confidentiality of participant information.

Training must address billing and payment processes, record keeping, reporting, arranging of back up services and must include the name and telephone number of both the waiver agency care manager/support and service coordinator and the primary contact person at the SHC agency.

2. Safely providing services, so as not to endanger the participant.
3. Recognizing and appropriate responding in the event of an emergency, including a protocol for contacting local emergency response systems and the prompt notification of the county waiver agency.
4. Participant-specific information, including individual needs, functional capacities, strengths, abilities and preferences. Understanding and respecting participant preferences in the provision of assistance with activities of daily living including such services as bathing, feeding, grooming, dressing, transfer, ambulation and the use of adaptive aids and equipment.
5. General information about the target population(s) which are applicable to the individuals the provider intends to serve.
6. Working effectively with participants. Developing professional ethics and interpersonal skills. Understanding and respecting participant direction, individuality, independence, and rights. Understanding procedures for handling conflict and complaints. Respecting personal property, cultural differences and family relationships.
7. Providing quality homemaking and household services, including understanding good nutrition, special diets and meal planning and preparation. Understanding and maintaining a clean, safe and healthy home environment. Respecting participant preferences in housekeeping, shopping and homemaking tasks.

B. Exemption To Personal Services Training Requirements

All SHC/Respite providers **must receive** (may not be exempted from) the training requirements described in items 1, 2, 3 and 4 above. However, exemptions to the personal services training requirements described in numbers 5,6 and 7 of Section A above may be given. Exemptions are allowed only in those circumstances where it is documented that the provider has met the “**training comparability standards.**”

1. Prior to employment, the county waiver agency or SHC contract agency may exempt a prospective service provider from the personal services training requirements (5, 6 and 7 above) when it is determined that the provider already has sufficient comparable knowledge or experience.
 - a. The rationale for exempting a prospective provider from the personal services training requirements (5, 6 and 7 above) must be described in writing. A copy of the exemption and the written rationale shall be maintained in the participant record or in another central location, as determined by the county waiver agency.
 - b. When the participant/guardian functions as the employer s/he may exercise the authority to exempt providers from training requirements for reasons described above. However, the county waiver agency must document and maintain the written rationale for the exemption (See Section V below).
2. A provider who is a Medicaid certified personal care worker, a home health aide, a certified nursing assistant, a licensed practical nurse, or a registered nurse automatically meets the **training comparability standards**. Providers who have met the training comparability standard do not need a written rationale for the exemption from training requirements. However, the county waiver agency shall assure that copies of credentials, certification or other documentation establishing that the provider meets the comparability of training standards must be available for review.

Note: All providers must receive the general training described in numbers 1, 2, 3 and 4 above.

C. Completing and Documenting Training

1. Personal service providers shall complete the applicable required training within six months of beginning their employment. The county waiver agency is responsible for assuring that each individual provider has either received the applicable training or has met the exemption requirements.
2. Documentation that the appropriate training requirements have been met must be signed and dated by the care manager/support and service coordinator. Documentation shall list the training content along with the date such training occurred.

3. Documentation verifying provider qualifications and the completion of training may be maintained in the participant file or may be kept in another central location. This documentation must be readily accessible and available to federal, state (or state-contracted) quality assurance reviewers.
4. The documentation of training is SHC provider-specific. Except for participant specific information (see Section A - 4 above), once the required training has been completed and documented, the training does not have to be repeated for each program participant served. However, training documentation must be maintained and be made available for each participant served. In addition, the county waiver agency shall ensure that appropriate additional training is completed as the provider's job duty changes.

IV. Household/Chore Services – Provider Training Requirements

A. Content of Training

Providers of services that consist of household chores relating primarily to the care and/or upkeep of the interior or exterior of the participant's residence must receive training in the following areas:

1. The county waiver agency and SHC contract agency policies, procedures and expectations for providers; confidentiality of participant information and other provider responsibilities and expectations. Training must address billing and payment processes, record keeping, reporting, arranging of back up services and must include the name and telephone number of both the waiver agency care manager/support and service coordinator and the primary contact person at the SHC agency.
2. A discussion of the safe provision of services, so as to not endanger the participant.
3. Recognizing and appropriately responding in the event of an emergency, including a protocol for contacting local emergency response systems and the prompt notification of the county waiver agency.
4. Participant specific information only to the extent that it is necessary and is directly related to performing the tasks of household/chore service.

NOTE: While all four areas above must be addressed in the training of household services providers, the type and depth of information provided may not need to be as extensive as for personal services.

B. Completing and Documenting Training

1. Household/chore service providers shall complete the required training within six months of beginning waiver-funded employment.
2. The county waiver agency is responsible for assuring that each service provider has received the applicable training.
3. Documentation that the appropriate training requirements have been met must be signed and dated by the care manager/support and service coordinator. Documentation shall list the training content along with the date such training occurred.
4. Documentation verifying provider qualifications and the completion of training may be maintained in the participant file or may be kept in a central location. This documentation must be readily accessible and available to federal, state (or state-contracted) quality assurance reviewers.

V. Participant Provided Training

Each participant should be empowered to provide as much of the required training as they are able. The county waiver agency has the responsibility to make a participant specific determination as to the capability and willingness of each participant to provide the required training.

A. Content of Training

1. Participant provided training the must meet the same content requirements as does agency provided training (see previous sections above).
2. The county waiver agency shall ensure that all required training is provided. In circumstances where the participant is unable to provide any part of the required training the county waiver agency will act to supplement the participant provided training to meet the content requirements.

B. Completion and Documentation of Training

1. Participants who provide training may exempt a service provider that meets the “**comparability of training standard**” for the service to be provided. In such circumstances the county agency must document in writing the rationale for the exemption (Please see Section III, B for the limits on what training may be exempted).
2. The participant’s agreement to provide the required training must be documented in the participant record or held centrally within the county waiver agency.
3. All service providers shall complete the applicable required training within six months of beginning their employment. The county waiver agency is responsible for assuring that each individual provider has either received the applicable training or has met the exemption requirements.
4. Documentation that the appropriate training requirements have been met must be signed and dated by the care manager/support and service coordinator. Documentation shall list the training content along with the date such training occurred.
5. Documentation verifying provider qualifications and the completion of training may be maintained in the participant file or may be kept in another central location. This documentation must be readily accessible and available to federal, state (or state-contracted) quality assurance reviewers.

VI. General Requirements

A. Contracts or Written Agreements Required

1. A contract or other written agreement must exist between the waiver administering agency and the provider (sub-contractor or participant) of supportive home care or personal services or respite services. The contract must address the following issues:
 - a. Allowable or Covered services
 - b. Training and certification of individual providers
 - c. Comparability of training use and documentation
 - d. Maintaining documentation of the completion of required training
 - e. Emergency and back-up service plans
 - f. Billing and payment procedures

B. Other Requirements

All other requirements of the Medicaid Waivers Manual applying to waiver services apply to waiver-funded supportive home care and applicable respite services. These include:

1. The prohibition on paying participants directly. This does not mean that a capable participant may not function as the employer. In this circumstance the county may:
 - a. Issue payment directly to the provider, ensuring all applicable withholding responsibilities are met, or;
 - b. Contract with a fiscal intermediary to issue payments to providers after the participant authorizes payment.
2. The requirement to complete background checks as applicable.
3. The requirement that payments not be made to a participant's spouse or to the parent of a minor child who is a participant.
4. The requirement that the county waiver agency assure that the number of units of support provided under the services of supportive home care or respite is recorded on an at least monthly basis in the proper unit format.