

Quality Management Employer of Record Review Tool

CAUTION: This worksheet contains protected health information (PHI) and must be stored in a secure location and encrypted/password-

Employer of Record (EOR):				SCORE					COMMENTS
Representative, if applicable:									
Reviewer(s):									
Date:									
PERSONNEL REVIEW ITEMS	[STAFF NAME]	[STAFF NAME]	[STAFF NAME]	# Met	% Met	# Not Met	% Not Met	# N/A	PERSONNEL REVIEW ITEMS
1. Each staff has an individual record that is kept secure.				0	0%	0	0%	0	
2. Each staff meets the following qualifications:									
2a. Documentation of completed employee application.				0	0%	0	0%	0	
2b. Disclosure of any criminal conviction by staff prior to provision of services.				0	0%	0	0%	0	
2c. Staff criminal history record check completed prior to provision of services.				0	0%	0	0%	0	
2d. Staff Health Care Personnel Registry check completed prior to provision of services.				0	0%	0	0%	0	
2e. Copy of staff's high school diploma, equivalency, or college diploma/transcript(s).				0	0%	0	0%	0	
2f. If providing transportation, staff has a valid NC driver's license or other valid driver's license, a safe driving record, and an acceptable level of automobile liability insurance.				0	0%	0	0%	0	
2g. Signed and dated Employee Support Agreement/ Supervision Plan for staff. Staff supervision plans are reviewed a minimum of annually.				0	0%	0	0%	0	
2h. Documentation of staff supervision based on individual staff supervision plan.				0	0%	0	0%	0	
2i. Documentation that staff meets any Service Specific requirements as specified in the NC Innovations waiver, Clinical Coverage Policy 8P, and/or specific requirements outlined in the member's plan of care, also known as an Individual Support Plan (ISP).				0	0%	0	0%	0	
2j. Relative as Direct Support Employees (RADSE) reporting requirements are met for staff that are relatives living in the home providing direct services to members.				0	0%	0	0%	0	
3. Each staff meets the following training requirements:									
3a. First Aid				0	0%	0	0%	0	
3b. CPR				0	0%	0	0%	0	
3c. Orientation to Employer's Expectations				0	0%	0	0%	0	
3d. Medication Administration (if staff administers medications)				0	0%	0	0%	0	
3e. State-approved Alternatives to Restrictive Interventions training (i.e. NCI Plus, PMAB, "Positive Behavior Support - Getting It Right from the Start")				0	0%	0	0%	0	
3f. State-approved physical restrictive intervention curriculum (if listed in crisis plan or Plan of Care, also known as Individual Support Plan [ISP], including a Behavior Support Plan)				0	0%	0	0%	0	
3g. Service Documentation				0	0%	0	0%	0	
3h. Client's Rights				0	0%	0	0%	0	
3i. Confidentiality				0	0%	0	0%	0	
3j. Infectious Diseases and Bloodborne Pathogens				0	0%	0	0%	0	
3k. Customized needs of the individual as specified in the ISP				0	0%	0	0%	0	
4. Staff record includes evidence that staff was offered opportunity to accept or decline the hepatitis B vaccination series.				0	0%	0	0%	0	
5. Staff has a job description that meets all rule requirements.				0	0%	0	0%	0	

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MEMBER RECORD REVIEW ITEMS		[MEMBER NAME/ RECORD #]	[MEMBER NAME/ RECORD #]	[MEMBER NAME/ RECORD #]						MEMBER RECORD REVIEW ITEMS			
6. Member has an individual record that is kept secure.					0	0%	0	0%	0				
7. Member's ISP and all revisions, including long-range outcomes, the Individual Budget, and all budget revisions are present in record.					0	0%	0	0%	0				
8. Member's short-range goals and strategies/task analyses are present to meet the long-range outcomes/goals in the ISP and any ISP updates.					0	0%	0	0%	0				
9. Member's service documentation is present and meets service documentation requirements.					0	0%	0	0%	0				
SERVICE DEVIATIONS, DURATION, TIME, AND BILLING													
10. There is documentation present explaining any member service deviations.					0	0%	0	0%	0				
11. Duration on service documentation matches reported units on staff billing and time punch sheet.					0	0%	0	0%	0				
EMPLOYER HEALTH AND SAFETY REVIEW ITEMS		EMPLOYER HEALTH AND SAFETY REVIEW								EMPLOYER HEALTH AND SAFETY REVIEW ITEMS			
12. Level II and Level III incident reports are completed and reported as required.					0	0%	0	0%	0				
13. All Level I incidents are reported and classified appropriately according to 10A NCAC 27G .0602-0604.					0	0%	0	0%	0				
14. Back-up staffing/coverage plan is present and is reviewed every three months.					0	0%	0	0%	0				
Overall:					0	0%	0	0%	0				