

Requirements for Conducting Site Visits

Background

- Under the benefits offered to members enrolled in VNS Health Health Plans Managed Long Term Care Plan (“MLTC”) and Dual Medicaid Advantage Plus (“Total”). The Plan offers its eligible members the ability to receive social day care services from social adult day care service providers (“SADCs”) as a substitute for in-home personal care services and to
- offer these members a structured comprehensive program that provides socialization, supervision, monitoring, personal care and nutrition in a protective setting.
- The Plan must annually perform site assessment visits for each of its SADCs pursuant to contract with New York MLTC Medicaid contract and must also conduct credentialing site visits with subsequent recredentialing visits every three years for each SADC pursuant to the New York State Office for the Aging (“SOFA”) regulations (each visit, a “Site Visit”). Annual visits and credentialing obligations require submission of several of the same documents, many of which have already been collected as part of the credentialing and recredentialing process. The Annual Site Visit Documentation Checklist provided on the following pages streamlines collection of some of these documents to avoid repeated requests and collections.
- The DOH Social Adult Day Care suggested Site Evaluation Tool complies, [Site Evaluation Tool \(SADC\)](#), with all statutory, regulatory, sub-regulatory and contractual requirements applicable to the credentialing, recredentialing and monitoring of SADCs participating in the Plan’s provider network and guides each VNS Health Health Plan staffer making a Site Visit (a “Site Visitor”) with respect to appropriate documentation and standards necessary to apprise compliance for each SADC visited.
- These instructions, in conjunction with the DOH Social Adult Day Care suggested Site Evaluation Tool, are intended to guide Site Visitors in preparing for and conducting Site Visits to ensure compliance with all applicable legal requirements.
- All Site Visitors must be trained to the Plan’s Fraud, Waste and Abuse.

Instructions

Document Collection

1. At least 10 days before the Site Visit, contact the Senior Contract Auditor to obtain copies of documents listed on the Document Collection Checklist on the following page.
 - a. Upon receipt of documents, review each document for an expiration date.
 - b. If the document has expired, please request an updated document from the SADC pursuant to the procedures set forth below.
 - c. If the Senior Contract Auditor does *not* have a copy of any documents listed on the Document Collection Checklist, please request these documents from the SADC pursuant to the procedures set forth below.
2. At least 10 days before the Site Visit, contact the SADC via phone and email to obtain copies of the documents listed as Documents To Be Obtained from SADC in Advance of Site Visit on the Document

Collection Checklist on the following page, as well as any missing or outdated documents from the Provider Services Document Collection Checklist.

- a. If the SADC fails to provide the required document(s), contact the SADC again to request the document(s) at least 3 days before the Site Visit.
 - b. If the SADC is unable to provide the required document(s) in advance of the SADC Site Visit, request the document(s) again at the time of the Site Visit.
3. Bring copies, either paper or electronic, of all documents collected before the Site Visit for reference during the Site Visit.
4. Certain documents, identified as Documents To Be Obtained During Site Visit on the Document Checklist, must be collected at the time of the Site Visit. As part of your initial contact with the SADC, provide the SADC with this list of documents and communicate your expectation to collect and evaluate the documents as part of your Site Visit.
5. For items regarding member records for annual visits and recredentialing applications, review ten (10) percent, up to 5

randomly chosen Plan's member records. The same records may be used for all questions. If site has fewer than five VNS Health Health Plan's members, review all members' records.

6. For initial credentialing applications, review blank member record forms.

Documentation of Findings

1. Use the DOH Social Adult Day Care suggested Site Evaluation Tool to guide your Site Visit, documenting the answers to each question and taking notes when applicable.
2. Where indicated in the DOH Social Adult Day Care suggested Site Evaluation Tool, and if you wish to document additional findings during your Site Visit, please document in the best way possible.

Site Visit Follow-Up Items and Referrals:

1. Any identified Fraud, Waste and Abuse issues must be referred to the Special Investigations Unit at [212-760-3274] immediately upon completion of the Site Visit Survey, consistent with the Plan's Special Investigations Unit and Fraud, Waste and Abuse Policy.
2. Provider Services or Credentialing will determine how many days that a SADC will have after the Site Visit to provide a copy of any requested documentation to VNS Health Health Plans, if not already provided.

Social Adult Day Care Initial Site Visit and Annual Documentation Checklist

- ☐ Current General/Professional/Automobile (if applicable)/Worker's Compensation Liability Insurance Certificate copies (**General Liability is 1-3, Worker's Comp is based on state 500K**)
- ☐ Written notification to local fire jurisdiction
- ☐ Certificate of Occupancy
- ☐ Activity Calendar (Review Community Integration and Individualized Activities)
- ☐ Most Recent OMIG Certification Confirmation Notice (**Registered Annually**)
- ☐ Most Recent NYC DFTA Certification Confirmation Notice
- ☐ SADC's current breakfast and lunch menu(s). Alternative meals are to be detailed and stated at the bottom of the menu. Must be signed by the Registered Dietician (RD)
- ☐ Staff and Volunteer List with Titles and working schedules (**All employees to be listed, including drivers**)
- ☐ Policy and Procedures (P&P): (**Complete P&P. For Initial and Annual Site Visits due to the recent changes. PCP policy to state participants "direct" or "drive" the PCP Process & Staff Training/Development Policy to include HCBS and PCP training."**)
- ☐ SADC Blank PCSP ([SADC/SADS PCSP Template](#) / [SADC/SADC PCSP Template User Guide](#))
- ☐ Emergency Procedures
- ☐ Third party vendor contracts (**For Catering and Transportation**)
- ☐ Sign in sheets: (**Collect blank samples; audit completed ones**) Visitors, Activities (Community or On-site), Members Check-in, and Transportation
- ☐ SADC's staff Training Sign in sheets: Completed Trainings (Including HCBS and Person-Centered Planning)
- ☐ HCBS Results (SADC to provide: Remediation Plan, Proof of remediation and confirmation email from MLTC / DOH stating that the SADC is compliant with the HCBS final Rule)

Members' and Staffs' Chart Audit

(Each tab on the SADC tool has directions. Read fully and follow them as indicated on the tool)

- ☐ 10% of SADC's census with the Health Plan. Randomly chosen Members' Individual Assessments and Individual Service Plans (**minimum of three charts**)

- Member Initial Intake Form
- Member Assessment Form
- Member recent SADC and MLTC PCSP

- ☐ 10% of Staff Files to be audited. The Staff chart audit to include a clinician, if one is part of the Team, and their director. The following to be pulled for each staff member for review.

- Health Assessment Form/PPD
- Orientation/training documentation when newly hired.
- HCBS & PCP trainings

- ☐ **SADC doesn't have Members:** collect and review the BLANK PCSPs and Intake forms.



Social Adult Day Care Initial Site Visit and Annual Documentation Checklist

Pictures: To be taken by the Account Manager and name the picture as what it is identifying (e.g. Exit sign, Quiet Room)

- ☐ Front of Social Adult Day Care (SADC)
- ☐ Ramps/Electric Lift/Elevators
- ☐ Welcome/Front desk area.
- ☐ Bulletin Boards (Employment and Volunteer Opportunities, Transportation Support, Menus, Activity Calendars, Patient Bill of Rights, Community Integration Activities, additional information)
- ☐ Visitors Welcome posted signs
- ☐ Fire Extinguishers
- ☐ Exit signs.
- ☐ Bathrooms (show handlebars, showers, emergency cord)
- ☐ Kitchen/Snack Area/Menu displayed.
- ☐ Private/Quiet room and/or eating area (a private partitioned area will satisfy the request)
- ☐ Dining room
- ☐ Activity area
- ☐ Request a specific employee care coordination sign.
- ☐ Suggestion box (if one available)
- ☐ Any additional pertinent information which helps support the SADC is meeting the HCBS guidelines.