



**DEPARTMENT OF  
PUBLIC HEALTH AND HUMAN SERVICES**

**Brian Schweitzer  
GOVERNOR**

**Anna Whiting Sorrell  
DIRECTOR**

**STATE OF MONTANA**

[www.dohhs.mt.gov](http://www.dohhs.mt.gov)

PO BOX 4210  
HELENA, MT 59604-4210  
(406) 444-5622  
FAX (406) 444-1970

June 21, 2010

**TO:** Sandra Erickson, Board Chair  
Priscilla Halcro, HBCS Director  
Merlin Gilham, CEO

**FROM:** Lori Wertz, QIS

**SUBJECT:** Home Based Services Review—FY10

The following should serve as annual summary of your HBS programs for the FY 10 ending June 30, 2010. It is based on the onsite file review, home visits throughout this past year as well as reports and information submitted by your agency.

There are seven Quality Assurance Observation Sheets, none on which require a response at this time.

As always, if you have any questions, comments or concerns, please do not hesitate to call me. In the meantime, I look forward to the privilege of working with Home Based Services this coming year.

**cc:** file  
DDP/Central Office





<b>Family Education &amp; Support</b> pg 2																	PC not eligible				
<b>Comprehensive Evaluation--06/04/10</b> sample →		IFES-1	IFES-2	IFES-3	IFES-4	IFES-5	FES-1	FES-2	FES-3	FES-4	FES-5	PC 1	PC 2	PC 3	PC 4	PC 5	exit 1	exit 2	1	2	QAOS #
<b>Quality Life Concepts</b> FSS →		CR	GJ	VP	SH	IC	CR	LF	VP	ST	JF	CR	VP	RC	KS	JF	XX	XX	ML	ML	
<b>STANDARD</b> FILE NAME→																					
<b>RESOURCES &amp; SUPPORTS</b>																					
1. Resources/supports identified in IFSP & provided to eligible child/family?		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X			
2. Gaps in planned vs actual services or planned vs actual delivery date?		na	na	na	na	na	na	na	na	na	na	na	na	na	na	na	na	na			
<b>PROCEDURAL SAFEGUARDS</b>																					
1. Proof of liability insurance for transportation providers?		na	na	na	na	na	na	na	na	x	na	na	na	na	na	na	na	na			
2. Families provided with agency internal complaint &/or appeal procedures?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
3. Families informed of specific complaint/appeal process for issues of eligibility, screening and IFSPs???		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
4. Evidence of confidentiality in the collection, storage, disclosure & destruction of personally identifying information?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
5. Do parents have access to child & family records?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
6. Families receive all information on services, (including families rights & safeguards) jargon free and in their native language or typical means of communication?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
7. Agency policy requires all services are non-discriminatory?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
8. Documentation of consent before evaluations are conducted, before services begin, & before information is gathered or released from/to other sources?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
9. Families are informed that participation is voluntary?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
10. Family Support Specialists carry Primary or Comprehensive certification?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
11. When a family is exited or voluntarily leaves services, was DPHHS policy followed?		na	na	na	na	na	na	na	na	na	na	na	na	na	na	na	na	na			
<b>TIMELINES</b>																					
1. IFSPs are evaluated, revised or rewritten in compliance with state and federal regs? (6 mo review for Part C, annually for FES and IFES)		na	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
<b>OTHER CONTRACT PROVISIONS</b>																					
1. Does the agency submit a waiting list to the Regional Office each month?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
2. ICAPs are completed & submitted for each child on the waiting list, & each child served?(initial ICAP for FES & follow along upon entrance to services)		na	na	na	na	na	na	na	na	na	na	na	na	na	na	na	na	na			
3. the agency maintains staff to individual served ratios according to Appendix I?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
4. Waiting list families contacted at least every 6 months to determine ongoing need & to provide information & referral resources?		served	served	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
5. Notification to regional office regarding changes to service on Client Status form?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
6. DPHHS programs are payer of last resort for IFSP services?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
7. Contractor meets other Appendix I provisions regarding CFS service requirements?		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
<b>INFORMATION &amp; REFERRAL FOR INELIGIBLE PERSONS</b>																					
1. Is information about other potential services available to families not currently served?																			x	x	
2. Are children/families who are not eligible, referred to other appropriate agencies?																			x	x	
<b>NOTATIONS OR OTHER COMMENTS</b>																					
Part C not eligible- two files, both look good, clear doc of child seeking service due to speech delays. Found not eligible with appropriate criterion, and doc that family was in processing with appropriate speech professionals and to local day care facilities. Clear evidence that procedural safeguards were reviewed and families were given options including the ability to have decision reviewed if concerns continued.																					

Family Education & Support		pg 3					
Quality Life Concepts		6/4/2010					
		Part C 1	Part C 2	Part C 3	Part C 4	Part C 5	QAOS #
FSS→		CR	VP	VP	KS	JF	
STANDARD		FILE NAME→					
<b>PUBLIC AWARENESS &amp; CHILD FIND EFFORTS</b>							
1. Ongoing child find & public awareness system in place, corrdiated w/ other local efforts such as HeadStart, schools, etc....		x	x	x	x	x	
<b>ELIGIBILITY</b>							
1. Evaluations & assessments (eligible & ineligible) are individualized & multidimensional? (multiples methods, domains, disciplines and content areas)		x	x	x	x	x	
2. Eligibility established under state defintion of Part C (established condition, 50% delay in one developmental area, or 25% delays in two developmental areas)?		x	x	x	x	x	
3. Children are exited when they become three years of age?		na	x	na	na	na	
4. Services are immediate for a child who is clearly eligible (eligibility determination does not create a delay in service initiation)		x	x	x	x	x	
<b>TIMELINES</b>							
1. Contact is made w/ families within 2 working days of initial referral?		x	x	x	x		
2. If 2 day timeline is not met, reasons are clearly documented why not?		na	na	na	na		
3. Evaluations are completed & IFSP is in place w/in 45 days of referral date?		x	x	no	x		
4. If 45 day timeline is not met, there is documentation as to why not?		na	na	yes	na		
5. Interim IFSPs are in place where the 45 day timelines is not met?		na	na	na	na		
6. Transitions planning meetings take place at least 90 days before the childs 3rd bday?		na	*	na	na		
<b>TRANSITION PLANNING</b>							
1. Families are aware from onset that services end when the child turns 3?		x	x	x	x	x	
2. Formal or informal interagency agreements are in place to support smooth transition for children & families to preschool services?		x	x	x	x	x	
3. Families are made aware of difference & similiarities between Part C/Part B services?		x	x	x	x	x	
4. IFSPs consistently include at least one outcome related objective to detail steps to be taken to support smooth transition to prechool or other services (child 30 months+)		na	x	na	na	x	
<b>PROCEDURAL SAFEGUARDS</b>							
1. The agency secures the appointment of surrogate parents for children in need?		na	na	na	na	na	
2. IFSP process/form allows families to approve provision of some services without jeopardizing others?		x	x	x	x	x	
<b>NOTATIONS OR OTHER COMMENTS</b>							
<p>PC1--child picked up at two months of age, currently aged 9 months so transition goals not applicable at this time.</p> <p>PC2--child was not referred to program until 34 months old, immediate transition plan to pre school and part b within a couple of weeks of referral. Nice work!!</p> <p>PC3--child's ifsp was 6 days out of compliance due to family illness. No interim IFSP was required.</p> <p>PC4--kiddo appointed guardian ad litem with established condition of toxic exposure</p> <p>PC 5--don't see the intake form with dates of referral, contact,etc....</p> <p><b>PLEASE NOTE: none of the sample files happened to include surrogate parents. HOWEVER, it is well documented and well noted that surrogate parent forms are routinely submitted to the Regional Office for signature.</b></p>							

<b>Family Education &amp; Support</b>		<b>pg 4</b>						
06/04/10	Quality Life Concepts	<b>FSS</b> →	<b>CR</b>	<b>NZ</b>	<b>VP</b>	<b>ST</b>	<b>IC</b>	<b>QAOS #</b>
<b>STANDARD</b>	<b>FILE NAME</b> →							
<b>ELIGIBILITY</b>								
1. Eligibility established under the waiver (established condition of developmental disability, meets intensive level of care for low skill, behavioral or medical needs, documented jeopardy of ICFMR placement in absence of waiver).		x	x	x	x	x		
2. Evidence that there is no concurrent waiver service (IFES, PD Waiver, Target CM)		x	x	x	x	x		
3. Parents are informed of feasible alternatives under IFES program, including ICFMRs?		x	x	x	x	x		
<b>FAMILY CENTERED SERVICES</b>								
1. Do foster families meet with the child prior to placement as well as the natural parents where appropriate and possible?		na	na	na	na	na		
2. Do trial visits with prospective foster families occur prior to a placement decision?		na	na	na	na	na		
<b>IFSP</b>								
1. Are habilitative programs carried out according to the IFSP?		x	x	x	x	x		
2. Are all services provided under IFES required by the IFSP for children & families to preschool services?		x	x	x	x	x		
3. Have parents been notified at the annual IFSP that services are portable?		x	x	x	x	x		
<b>TRANSITION PLANNING</b>								
1. Is there evidence that families are made aware that services will end if the IFSP team determines that IFES services are no longer required, or if the IFSP team determines the needs of the child exceed available resources?		x	x	x	x	x		
2. Is there evidence that steps are taken to support the smooth transition of services to adult services, including adult Case Management, particularly for those persons transitioning out by age 22? (are objectives written & Implemented to support transition?)		na	na	na	XXXXX	na		
<b>PROCEDURAL SAFEGUARDS</b>								
1. Are all IFES foster homes licensed in accordance with relevant rules, with copies of licenses available on request?		na	na	na	na	na		
2. Is documentation available from DDP and the agency Board of Directors for purchases \$4000 or more?		na	na	na	na	na		
3. Do all adaptive equipment & environmental modifications reviewed meet waiver criteria (not room & board, no general utility for someone without a disability, relate specifically to the disability)?		x	x	x				
4. Is more than one person with severe disabilities placed in any foster home?		na	na	na	na	na		
5. The agency coordinate foster family recruitment & results with HHS Foster Services?		na	na	na	na	na		
<b>OTHER CONTRACT REQUIREMENTS</b>								
1. Documentation of at least one contact per month with or on behalf of each family?		x	x	x	x	x		
2. Contacts are for the purpose of providing support coordination, direct services or supervision/consultation to subcontracted personnel?		x	x	x	x	x		
3. Are possible or actual moves from natural to foster home (or foster to natural) reported to the Regional Manager as soon as possible?		na	na	na	na	na		
4. Is there documentation of agreements with families/subcontracted personnel to provide paid habilitation services?		no hab aide				no hab aide		
5. As openings occur, does the contractor notify the Regional Office within 10 days of the opening, & are complete referrals/updates submitted to the Regional Office in 10 days?		x	x	x	x	x		
6. Are cost plans for IFES revised at least every 6 months?		na	x	x	x	x		

<b>COMMENTS:</b>						
IFES 1--child not in services a full six months yet, no hab aid in plan at this time						
IFES 2--looks good! Transportation in ICP but not utilized						
IFES 3--looks good, adult application on fiile and waiting for services at this time						
IFES 4--included a transition objective to ACUMEN!!!!						
IFES 5--looks good!						

**p5**

**NOTES:**

Limited FES files reviewed:

Notes removed for confidentiality of consumer names under HiPPA

Agency interim agreements reviewed: QLC has multiple interim, collaborative and intra-agency agreements with agencies across the region. Agreements are for the benefit of consumers served and define responsibilities of each agency involved in the assessment, screening, and delivery of services.