**Monitoring Summary Report**

**Red Rock Center for Independent Living (RRCI)**

**Issue Date**

**On Site Visit Date: FEBRUARY 20, 2019**

**Monitored by USOR/DWS**

**Description and Identity of the Monitoring Team and their Activities**

The Red Rock Center for Independent Living (RRCI) was reviewed for contract compliance on February 20, 2019 at the center’s location in St George, Utah. The monitoring review team consisted of Stacey Cummings, Noreen Roeca from the Division of Rehabilitation Services and Steve Winn from the Division of Services for the Blind and Visually Impaired who participated for the purpose of monitoring the Older Blind Program. Stacey Cummings and Noreen Roeca each reviewed 10 consumer service records, for a total of 20 CSR’s reviewed for the non-blind. In addition, Steven Winn reviewed 6 CSR’s for the Older Blind Program. An interview was conducted with the RRCI Center Director, Barbara Lefler regarding the accuracy of the numbers reported on the center’s 704 report to the federal government and other contract requirements. The Center’s Assistive Technology (AT) Coordinator, Tim Leslie was also interviewed regarding the validity of the AT related data reported on the 704 report.

**Results of Program Monitoring**

The review team listed above verified that the number of consumers reported on the 704 report was likely valid based on randomly generated case sampling. In addition to the cases which were reviewed, an additional 30 records which were examined for the purpose of validating 704 reporting. Noreen was given the opportunity of meeting with the RRCI Board of Directors and ask any questions related to the business operations of the center and 704 reporting. Services reported on the 704 report demonstrated that consumers received IL services in accordance with the five federally mandated core services including, but not limited to: AT Services, Community Integration, Peer Mentoring, Advocacy, and Transition/Diversion services. The Center Director was able to demonstrate 2 employee personnel files showing that the BCI background check had been conducted for staff members. The employee handbook demonstrated that there is an onboarding plan in place to ensure this type of background check is completed as new employees are hired. A sample of 3 personnel performance reviews were shown as evidence that salary increases are tied to employee performance as outlined in the center’s employee handbook. Loan bank procedures were also reviewed and deemed generally satisfactory.

The center submitted their 3rd party audit in a timely fashion and there were no issues rendering further evaluation or assessment; additionally the center has satisfactorily resolved any previous issues in this regard. The center is timely in submitting monthly reimbursement requests and seeks appropriate approval as budgetary needs change.

The Center met all of the goals set forth in the 2018 contract, including a 33% increase in consumers served year over year, as verified by the desk audit and interview with Center Director, Barb Lefler. The reviewers were able to view CIL Suite, the center’s case management system which provided evidence of the consumers reported on the 704 report.

The number of new consumers who were closed having met all of the goals was 61% which was slightly lower than the goal, however several consumers passed away during the year which contributed to the lowered percentage. The center is conducting outreach activities to Kane, Garfield, and Wayne Counties which has increased utilization of youth services, AT and Community integration. The center is meeting the goals and objectives as per their contractual obligation. Overall, the center maintains excellent CSR organization and documentation.

Of the 20 casefiles reviewed for non-blind consumers, 1 of the casefiles was lacking a signature on the Independent Living Plan, though the case was otherwise well documented and demonstrated consumer involvement in the planning and service delivery of the ILP. An area of concern is that casefile documentation is insufficient in addressing whether AT was received by the consumer. Equipment receipts were lacking in 2 of the casefiles and an additional 2 had equipment receipts which were signed prior to the AT being received. This is an area which will need to be addressed by the Center.

**Results of the Older Blind Program (Steve Winn)**

Eight files were pulled. Six files were audited. Files covered both clients in the St. George and Cedar City areas. All files in the Red Rock IL Center have been converted to electronic files and audit was preformed electronically. All plans were complete and signed by both client and Center representative. Red Rocks Loaner pool is very organized and detailed record are kept on all items loaned to the blind or visually impaired. Core services and goals are up to date and reviewed on a yearly basis. No negative findings were found.

**Results of Fiscal Monitoring:**

In accordance with the terms and conditions of the contract, RRCI was required to submit 100% of supporting documentation to DWS finance for all reimbursement requests. RRCI complied with this requirement and demonstrated three months of error free submissions. Due to this success, The Department of Finance did not require additional fiscal monitoring for this fiscal year.

**Findings:**

1. Equipment receipts for assistive technology which was purchased by the State of Utah were missing in two of the files reviewed. An additional two casefiles had equipment receipts, but they were signed prior to the AT being delivered.
2. One of the casefiles reviewed did not contain signatures on the ILP.

**Recommendations:**

1. We reviewed 2 casefiles where it was unclear whether the consumer received AT, though there was an authorization in place. It is our recommendation that the center work to improve casefile documentation, including the results of the AT purchase.
2. It was noted in many of the casefiles we reviewed that the Independent Living Plans were generalized in nature. We recommend that the ILP be more individualized to the consumers’ needs in terms of describing what type of AT is being sought, or what barrier is being overcome.

**Summary:**

Based on the monitoring visit, as well as overall impressions and observations throughout the year that, the Red Rock Center for Independence appears to be meeting contractual requirements overall. The staff are dedicated professionals who work diligently to assist the consumers achieve and maintain independence.

**Response required:**

A written response to the findings listed above must be provided to USOR Independent Living Coordinator, Noreen Roeca no later than 10 calendar dates from the center’s receipt of this report. Response can be provided by email to nroeca@utah.gov or a hard copy can be mailed to USOR, Judy Ann Buffmire Building, 1595 W. 500 S. Salt Lake City, UT 84104. The response should include an explanation for the deficiencies noted above and the center’s plan to correct reported deficiencies and to prevent similar errors in the future.