

SELF-DETERMINATION IN LONG-TERM CARE
FISCAL INTERMEDIARY ANNUAL PERFORMANCE REVIEW

Name of Fiscal Intermediary Reviewed:
Address:
Phone:

A. Customer Service Procedures and Practices

A.1. Does the FI communicate effectively with participants? Yes No

If not, describe the issues and the recommended corrective action.

Horizontal lines for text entry.

A.2. Are the necessary technologies and accommodations in place adequate to effectively operate FI services? Yes No

- Toll free number (or other method for free calls from participants)
Internet web site
E-mail communication option
TDD line
Fax (minimum 28.8 - standard)
Alternate/large print capabilities
Foreign language/American sign language capabilities
Vendor View

If not, describe the issues and the recommended corrective action.

Horizontal lines for text entry.

A.3. Does the FI return calls within 24 and at most 48 hours from the time the message is recorded? Yes No

If not, describe the issues and the recommended corrective action.

Horizontal lines for text entry.

A.4. Does the FI have a communication, corrective action, and complaint tracking system for participants and workers? _____ Yes _____ No

If not, describe the issues and the recommended corrective action.

A.5. Does the FI process payroll and pay other invoices in an efficient manner? _____ Yes _____ No

If not, describe the issues and the recommended corrective action.

A.6. Does the FI notify participants and Waiver Agency staff in a timely manner in the event a payroll is processed late (i.e., over five days)? _____ Yes _____ No

If not, describe the issues and the recommended corrective action.

A.7. Does the FI obtain and evaluate participant satisfaction surveys, and use this information to make improvements to systems, policies, and procedures? _____ Yes _____ No

If not, describe the issues and the recommended corrective action.

B. Staffing and Coordination and Communication with Waiver Agency Support Coordinators and Participants

B.1. Does the FI have an organizational chart for the organization and for the FI function? _____ Yes _____ No

Attach a copy of all relevant organizational charts.

B.2. Are the names and contact information of the appropriate contact people communicated both to waiver agencies and to participants? Yes No

If not, describe the issues and the recommended corrective action.

B.3. Does the FI have a standard orientation protocol for participants or their representative? Yes No

If not, describe the issues and the recommended corrective action.

B.4. Does the FI ensure that each participant understands the role of the FI in the Self-Determination in LTC option? Yes No

If not, describe the issues and the recommended corrective action.

B.5. Does the FI communicate effectively with the Support Coordinators and avoid duplication of activities in supporting participants in understanding and implementing arrangements? Yes No

If not, describe the issues and the recommended corrective action.

B.6. Does the FI notify a participant's Supports Coordinator when FI staff becomes aware of an issue related to a participant's performance (e.g., untimely timesheet filing or over reporting of worker's hours) and/or any incidences of financial fraud/abuse? Yes No

If not, describe the issues and the recommended corrective action.

- B.7. Does the FI provide a monthly report of financial activities to each participant with a copy to the Waiver Agency?
B.7.1. Are monthly reports provided in a timely manner?
B.7.2. Are monthly reports clear and easy to understand?
B.7.3. Do the monthly reports include all needed information?

If not, describe the issues and the recommended corrective action.

C. Administration - FI Policies and Procedures Manual, and Staying Up-to-Date with Federal and State Rules and Regulations

- C.1. Has the FI developed a comprehensive Policies and Procedures Manual that documents and updates all FI tasks, includes all applicable federal and state forms and documented internal controls for each FI task?
• All applicable IRS forms, instructions, notices and publications related to FIs, household employers and employees and for withholding, filing and paying federal income tax withholding and employment taxes (FICA and FUTA) and managing advanced payments of federal earned income credit (EIC)?
• All Michigan Department of Labor & Economic Growth Unemployment Insurance Agency rules, forms and instructions for registering and retiring participants as employers, and for withholding, filing and paying state unemployment insurance taxes for each participant it represents?

If not, describe the issues and the recommended corrective action.

C.2. Does update its FI Policies and Procedures Manual as needed? Yes No

System in Place

Written Policies and Procedures in Place

Internal Controls Documented for Monitoring

If not, describe the issues and the recommended corrective action.

C.3. Does the FI establish and maintain current participant, worker and FI files on site in a secure and confidential manner? (e.g., records kept in a secure place with restricted access using a password protected computer system)? Yes No

If not, describe the issues and the recommended corrective action.

C.4. Review of participants' employee files:
 W2, W4, I9, criminal check, payroll history, proof of ID, proof of training, 940, 941, 2678 copies? Yes No

If not, describe the issues and the recommended corrective action.

C.5. Review of participants' employer files:
 Budgets, revisions, monthly reports, reconciliations, proof of payments? Yes No

If not, describe the issues and the recommended corrective action.
