

Department for Behavioral Health, Developmental and Intellectual Disabilities (DBHDID) Division of Developmental and Intellectual Disabilities (DDID) In Conjunction with Department for Aging and Independent Living (DAIL)

Effective as of February 1, 2013 and updated 12/22/15

SCL Screening and Training Requirements

Refer to 907 KAR 12:010

Requirements for all potential employees, subcontractors and volunteers delivering service through traditional and/or Participant Directed:

- Ensure that an employee or volunteer:
 - Behaves in a legal and ethical manner in providing a service;
 - Has a valid Social Security number or valid work permit if not a citizen of the United States of America; and
 - If responsible for driving a participant during a service delivery, has a valid driver's license with proof of current mandatory liability insurance for the vehicle used to transport the participant;
- Ensure that an employee or volunteer:
 - Completes a tuberculosis (TB) risk assessment performed by a licensed medical professional and, if indicated, a TB skin test with a negative result within the past twelve (12) months as documented on test results received by the provider within thirty (30) days of the date of hire or date the individual began serving as a volunteer; or
 - Who tests positive for TB or has a history of positive TB skin tests:
 - Shall be assessed annually by a licensed medical professional for signs or symptoms of active disease; and

- If it is determined that signs or symptoms of active disease are present, in order for the person to be allowed to work or volunteer, he or she shall be administered follow-up testing by his or her physician with the testing indicating the person does not have active TB disease;
- Maintain documentation:
 - Of an annual TB risk assessment or negative TB test for each employee who performs direct support or a supervisory function; or
 - Annually for each employee with a positive TB test that ensures no active disease symptoms are present;
- Provide a written job description for each staff person that describes the required qualifications, duties, and responsibilities for the person's job;
- Maintain an employee record for each employee that includes:
 - The employee's experience;
 - The employee's training;
 - Documented competency of the employee;
 - Evidence of the employee's current licensure or registration if required by law; and
 - An annual evaluation of the employee's performance;
- Require a background check:
 - And drug testing for each employee who is paid with funds administered by the department and who:
 - Provides support to a participant who utilizes SCL services; or
 - Manages funds or services on behalf of a participant who utilizes SCL services; or
 - For a volunteer recruited and placed by an agency or provider who has the potential to interact with a participant;
- Ensure that a volunteer placed by an agency or provider does not have unsupervised interaction with a participant;
- For a new potential employee or volunteer obtain:
 - A KY National Background Check. In order to obtain this check you must enroll through the KARES Web Portal to create a user's account. To create an account, go to <https://kog.chfs.ky.gov/home/> and click on the '**Create Account**' button.
 - This check satisfies the regulatory requirements for background and registry checks.
 - **Note:** Utilization of this system is optional for unlicensed Participant Directed Service employees
- For each potential employee obtain negative results of drug testing for illicit or prohibited drugs (*utilizing a 5-panel drug screening. This is also required for all volunteers who are recruited and placed by an agency or provider who has the potential to interact with a participant*);
- On an annual basis:
 - Randomly select and perform KY National Background checks, using KARES portal of at least twenty-five (25) percent of employees, until all employees have been entered into the KARES system and the Continuous Assessment (RAPBACK) feature (the process for ongoing background checks after an initial check has been performed on an individual) is fully implemented in KARES; and

- Conduct drug testing of at least five (5) percent of employees;
- Not employ, subcontract with, or place an individual as a volunteer who:
 - Has a prior conviction of an offense delineated in KRS 17.165(1) through (3);
 - Has a prior felony conviction, plea bargain, amended plea bargain, or diversion program that has not been completed;
 - Has a drug related conviction within the past five (5) years;
 - Has a positive drug test for prohibited drugs;
 - Has a conviction of abuse, neglect, or exploitation;
 - Has a Cabinet for Health and Family Services finding of child abuse or neglect pursuant to the central registry; or
 - Is listed on the nurse aide abuse registry;
- Not permit an employee to transport a participant if the individual has a driving under the influence conviction, amended plea bargain, or diversion during the past year.

NOTE: Individuals who resign from one agency and are employed by another agency are considered newly hired staff and must meet all of the requirements in this document. College of Direct Support training and any training where a certificate is issued (i.e. CPR, Crisis, First Aid) is portable, but competency must be verified and documented by the hiring agency.

Trainings**

**Please refer to Page 9 of this document if services are delivered through Participant Directed Services

<p>Basic (required prior to independent functioning)</p>	<ul style="list-style-type: none">• Establish and follow written guidelines for handling an emergency or a disaster which shall:<ul style="list-style-type: none">○ Be readily accessible on site;○ Include instruction for notification procedures and the use of alarm and signal systems to alert a participant according to the participant’s disability;○ Include documentation of training of staff and participants on emergency disaster drills;○ Include an evacuation drill to be conducted in three (3) minutes or less, documented at least quarterly and, for a participant who receives residential support services, is scheduled to include a time when the participant is asleep; and○ Mandate that the result of an evacuation drill be evaluated and if not successfully completed within three (3) minutes shall modify staffing support as necessary and repeat the evacuation drill within seven (7) days;• Provide orientation for each new employee which shall include the mission, goals, organization, and practices, policies, and procedures of the agency; <p>Ensure that each case manager or employee prior to independent functioning successfully completes training which shall include:</p> <ul style="list-style-type: none">• First Aid, which shall be provided by a certified trainer with a nationally-accredited organization to include the American Red Cross and the American Heart Association and evidenced by official documentation of completion from the nationally-accredited organization;• Cardiopulmonary resuscitation which shall be provided by a certified trainer with a nationally-accredited organization to include the American Red Cross and the American Heart Association and evidenced by official documentation of completion from the nationally-accredited organization;• Department of Behavioral Health, Developmental and Intellectual Disabilities’ Crisis Prevention and Intervention Training;• Successful completion of all Kentucky College of Direct Support Phase I training modules;<ul style="list-style-type: none">○ <i>Maltreatment of Vulnerable Adults and Children</i>○ <i>Individual Rights and Choice</i>• Individualized instruction about the person centered POC of the participant to whom the trainee provides
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	<p>supports; and</p> <ul style="list-style-type: none"> • Verification of trainee competency as demonstrated by pre- and post-training assessments, competency checklists, and post-training observations or evaluations.
<p>Medication Administration (required prior to independent functioning)</p>	<p>Ensure that:</p> <ul style="list-style-type: none"> • Every case manager and any employee who will be administering medication, unless the employee is a currently licensed or registered nurse, has: <ul style="list-style-type: none"> ○ Specific training provided by a registered nurse per a DBHDID medication administration approved curriculum; and ○ Documented competency on medication administration, medication cause and effect, and proper administration and storage of medication; and • An individual administering medication documents all medication administered, including self-administered and over-the-counter drugs, on a medication administration record, with the date, time, and initials of the person who administered the medication and ensure that the medication shall: <ul style="list-style-type: none"> ○ Be kept in a locked container; ○ If a controlled substance, be kept under double lock with a documented medication count performed every shift; ○ Be carried in a proper container labeled with medication and dosage pursuant to KRS 315.010(8) and 217.182(6); ○ Be documented on a medication administration record and properly disposed of, if discontinued; and • Adhering to policies and procedures for ongoing monitoring of medication administration.
<p>Phase II</p>	<p>Ensure that all case managers or employees, unless the case manager or employee is a licensed professional providing a service governed by the licensure of the individual's profession, complete the Kentucky College of Direct Support Phase II training modules, no later than six (6) months from the date of employment or when the individual began providing services;</p> <ul style="list-style-type: none"> • <i>Introduction to Developmental Disabilities</i> • <i>Safety at Home and in the Community</i> • <i>Supporting Healthy Lives</i> • <i>Teaching People with Developmental Disabilities</i> • <i>Community Inclusion</i> • <i>Professional Documentation Practices</i> • <i>Person Centered Planning</i> • <i>DSP Professionalism (only DSP's need to complete this module)</i>

Traditional Service Delivery

Position/Role	Required Training
<p>Adult Foster Care Home (AFCH) or Family Home Provider (FHP)</p> <p><i>Adult family members who may be left alone with the participant</i></p>	<ul style="list-style-type: none"> • Basic, Phase I, Phase II and Medication Administration, if administering; • Annually participates in at least six (6) hours of professional development or continuing education units of competency-based training to teach and enhance skills related to the performance of duties; and • Ensure that each adult family member residing in a level II residential adult foster care home or family home provider who may be left alone with the participant will receive training regarding the individualized needs of the participant.
<p>Case Manager</p>	<ul style="list-style-type: none"> • Basic, Phase I, Phase II, and Medication Administration; • Ensure that each case manager complete DBHDID approved case management training after three (3) months but within nine (9) months from the date of hire; • Ensure that each case manager employed prior to the effective date of 907 KAR 12:010 completes the DBHDID case management training within one (1) year of the administrative regulation’s effective date; and • Annually participates in at least six (6) hours of professional development or continuing education units of competency-based training to teach and enhance skills related to the performance of duties.
<p>Case Manager Supervisor</p>	<ul style="list-style-type: none"> • Basic, Phase I, Phase II, and Medication Administration; • Completes a case management supervisory training curriculum approved by DBHDID within six (6) months of beginning supervisory responsibilities; and • Participates in six (6) hours per year of professional development or continuing education in the areas of person centered processes, supervision, and mentoring of employees.
<p>Community Access</p>	<ul style="list-style-type: none"> • Basic, Phase I, Phase II and Medication Administration, if administering; and • Annually participates in at least six (6) hours of professional development or continuing education units of competency-based training to teach and enhance skills related to the performance of duties.
<p>Community Guide</p>	<ul style="list-style-type: none"> • Basic, Phase I, Phase II and Medication Administration (if administering); • Completes a community guide training curriculum approved by DBHDID within six (6)

	<ul style="list-style-type: none"> months of being employed by the first participant supported; and Annually participates in at least six (6) hours of professional development or continuing education units of competency-based training to teach and enhance skills related to the performance of duties.
Direct Support Professional (DSP)	<ul style="list-style-type: none"> Basic, Phase I, Phase II and Medication Administration (if administering); and Annually participates in at least six (6) hours of professional development or continuing education units of competency-based training to teach and enhance skills related to the performance of duties.
DSP Supervisor	<ul style="list-style-type: none"> Basic, Phase I, Phase II and Medication Administration (if administering); Completes a supervisory training curriculum approved by DBHDID within six (6) months of beginning supervisory responsibilities; and Annually participates in at least six (6) hours of professional development or continuing education units of competency-based training to teach and enhance skills related to the performance of duties.
Executive Director	<ul style="list-style-type: none"> Basic, Phase I, Phase II and Medication Administration, if administering; and Annually participates in at least six (6) hours of professional development or continuing education units of competency-based training to teach and enhance skills related to the performance of duties
Licensed or Credentialed Professionals providing a service governed by the licensure of their profession	<ul style="list-style-type: none"> Basic and Phase I (Nurses are exempt from the First Aid training); and Annually participates in at least six (6) hours of professional development or continuing education units of competency-based training to teach and enhance skills related to the performance of duties
Person Centered Coach	<ul style="list-style-type: none"> Basic, Phase I, Phase II and Medication Administration, if administering; and Annually participates in at least six (6) hours of professional development or continuing education units of competency-based training to teach and enhance skills related to the performance of duties.
Positive Behavior Support Specialist	<ul style="list-style-type: none"> Basic, Phase I, Phase II (if licensed or credentialed see section above); and Annually participates in at least six (6) hours of professional development or continuing education units in the area of psychology, behavioral supports, applied behavioral science, or school psychology.
Supported Employment Specialist	<ul style="list-style-type: none"> Basic, Phase I, Phase II and Medication Administration (if administering); Completes the Kentucky Supported Employment Training Project curriculum from the Human Development Institute at the University of Kentucky within six (6) months of the

	<p>date the specialist begins providing SCL supported employment services; and</p> <ul style="list-style-type: none">• Annually participates in at least six (6) hours of professional development or continuing education units of competency-based training to teach and enhance skills related to the performance of duties.
Volunteers <u>do not</u> have unsupervised interaction with a participant	<ul style="list-style-type: none">• Provider agencies shall ensure that employees and volunteers are competent, trained, and qualified to deliver services to participants utilizing the SCL program as outlined in the person centered POC.



Participant Directed Service Delivery

For questions regarding training requirements for Participant Directed Service Delivery, please contact Evan Charles at: Evan.Charles@ky.gov

Employee Type	Required Training (must complete within six (6) months of hire or date individual begins providing services)
<p>Participant Directed to include these services: Community Access Community Guide Day Training Personal Assistance Respite Shared Living</p>	<ul style="list-style-type: none"> • First Aid (provided by the American Red Cross, American Heart Association or a nationally accredited organization) • CPR (provided by the American Red Cross, American Heart Association or a nationally accredited organization) • Individualized Instruction about the needs of the person they are supporting • Maltreatment of Vulnerable Adults and Children (College of Direct Support) • Individual Rights and Choice (College of Direct Support) • Safety at Home and in the Community (College of Direct Support) • Supporting Healthy Lives (College of Direct Support) • Person Centered Planning (College of Direct Support) • Other training if required by the participant <p>(Note: DBHDID Medication Administration Training is not required if the employee provides services to less than 3 people)</p>
Supported Employment Specialists	<ul style="list-style-type: none"> • Basic, Phase I, Phase II and Medication Administration (if administering); • Completes the Kentucky Supported Employment Training Project curriculum from the Human Development Institute at the University of Kentucky within six (6) months of the date the specialist begins providing SCL supported employment services; and
Participant Directed Services provided to more than 3 people	<ul style="list-style-type: none"> • Basic, Phase I, Phase II, and Medication Administration (if administering); and • Annually participates in at least six (6) hours of professional development or continuing education units of competency-based training to teach and enhance skills related to the performance of duties

ADDITIONAL TRAINING INFORMATION

Verification of Competency

All trainings require the employee's competency to be verified. Competency is demonstrated by pre- and post-training assessments, competency checklists, post-training observations or evaluations, transcripts of web-based trainings verifying successful completion of training objectives with scores of 85% or higher and completion of Kentucky College of Direct Support Phase I and Phase II Competency Checklist.

Medication Administration specifically requires competency must be verified on the following areas: proper administration, cause and effect and storage.

Hired prior to January 1, 2014

Staff employed prior to 1/1/2014 who does not meet the educational or experiential qualifications, but who currently provide relevant services such as Community Access or Supported Employment, and who wish to continue providing those services must attain a KY DSP Credential or a national equivalent. These staff must submit their portfolio for a KY DSP credential by 11/1/2014 to receive that credential by 12/31/2014. Staff members in this classification who do not attain a KY DSP Credential or a national equivalent by 12/31/2014 will not be able to provide Community Access or Supported Employment services beginning 1/1/2015 until qualifications or credentialing requirements are met.

The DSP must be able to demonstrate proof they are actively seeking to attain the appropriate credential during 2014 while continuing to provide Community Access or Supported Employment services for which the agency may seek reimbursement. Evidence may be shown by placing a copy of the **Kentucky Direct Support Professional Credential Program Application** indicating the date they began working on their portfolio in the agency's personnel records until they complete and submit their portfolio to DDID.

Any employee hired to provide Supported Employment or Community Access on or after 1/1/2014 must meet educational or experiential requirements at the time they are hired.

Agency Trainer Qualifications

Agencies may provide the following trainings utilizing an agency staff member who meets the specified Trainer Qualifications:

Training	Trainer Qualification	Recommended Training Length
First Aid	Certified American Red Cross or American Heart Association Instructor	Per Instructor Certification
CPR	Certified American Red Cross or American Heart Association Instructor	Per Instructor Certification
Medication Administration (DBHDID approved curriculum and Direct RN Trainer Agreement)	Completion of the DBHDID approved Training of Trainers Curriculum; Registered Nurse with one (1) year of clinical experience; Active Unrestricted KY Nursing License; and completion of DBHDID RN Training College of Direct Support Module	Per Instructor Certification
DDID Crisis Prevention and Intervention	<ul style="list-style-type: none"> • Have a High School Diploma or GED; • Have two (2) years of experience providing direct support services to individuals with intellectual or developmental disabilities and have completed Phase I and Phase II Kentucky CDS Modules; or <p>Meet the qualifications as an SCL Intellectual Disability Professional (SCL IDP) as specified in 907 KAR 12:010, Section 1.</p> <p>**CPI Trainers who completed any crisis prevention and intervention training prior to March 2012 must complete the current DBHDID CPI Training no later than 1/31/2014.</p>	<p>12 hours (2 days)</p> <p>Training length may vary according to class size, but at a minimum be no less than 6-12 hours. For further information please see training manual.</p>