

Welcome to the Self-Assessment Readiness Review for Self-Directed Respite Voucher Programs!

This self-assessment tool contains optional ideas and suggestions for discussion as you determine your readiness to begin or expand a respite voucher program. Needs often vary from program to program. Please use the information in this tool in the way that works best for your needs, including adding or removing rows or spaces or adding dates as goals in the notes section. This document is only for internal self-assessment purposes only, and is not intended to be used for evaluation by outside organizations to assess readiness.

The Self-Assessment Readiness Review for Self-Directed Respite Voucher Programs is a companion to the Self-Direction Respite Voucher Guide: <https://archrespite.org/wp-content/uploads/2022/04/ARCH-Respite-Voucher-Guide.pdf>

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Blue Lines are Program Components	Self-Directed Voucher Guide Page Number	Notes	Status									
Items in GRAY are best practices to consider before a program launches/expands.		This space can be used to track any details or items you would like to consider	Enter: X, I, ?, N/A to track your current status									
		<p>This space is</p> <p><i>Italics are suggested considerations.</i></p> <p><i>Additional lines can be added (or removed).</i></p> <p><i>Depending on your needs,</i></p> <p><i>add language to include</i></p> <p><i>program-specific details</i></p>	<p>Enter: X, I, ?, N/A to track your current status</p> <table border="1"> <tr> <td>Complete =</td> <td>X</td> </tr> <tr> <td>In Progress =</td> <td>I</td> </tr> <tr> <td>Need to Address =</td> <td>?</td> </tr> <tr> <td>Not Applicable =</td> <td>N/A</td> </tr> </table>		Complete =	X	In Progress =	I	Need to Address =	?	Not Applicable =	N/A
Complete =	X											
In Progress =	I											
Need to Address =	?											
Not Applicable =	N/A											

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Self-Assessment Readiness Review for Self-Directed Respite Voucher Programs

Enter: X, I, ?, N/A summarizing your current status



- Complete = X
- In Progress = I
- Need to Address = ?
- Not Applicable = N/A

Status Summary	
X =	0
I =	0
? =	0
N/A =	0

Program Design: Determine the needs of the family caregivers and how they can be addressed	Page 9	Notes	Status
A taskforce or advisory group of stakeholders (new or expanded) has been established			
	<i>Family Caregivers</i>		
	<i>Care Recipients</i>		
	<i>Respite Coalitions</i>		
	<i>ADRCs (Aging and Disability Resource Centers)</i>		
	<i>State Agencies</i>		
	<i>Non-state Agencies</i>		
Overall needs of family caregivers in the community are identified			
	<i>Needs have been established through a stakeholder or advisory group or other method.</i>		
	<i>Consideration has been given to emergency vs. non-emergency situations.</i>		
Decisions about respite provider selection and service delivery were made through a self-directed process (choice and control for the family caregiver is stressed)			
	<i>Decisions regarding provider selection and service delivery are made by the family caregiver, and when possible, the care recipient.</i>		
	<i>If the care recipient is a minor, decisions might be made by the entire family, or in cases of advanced dementia or when a care recipient can not otherwise provide input, the decisions might be made solely by the family caregiver.</i>		
The target number of individuals being served by the program has been established			
The level of involvement the program will have with the identification of respite providers has been determined			
	<i>Will a registry be established?</i>		
	<i>Requirements for being included on the registry have been considered (background checks, training, credentialing).</i>		
	<i>The processes for conducting any background checks, training or credentialing have been determined, if required.</i>		
	<i>The processes for documenting any background checks, training or credentialing have been determined, if required.</i>		
	<i>Will the program assist with the identification of family or friends from your communities of support who would be willing to provide respite care?</i>		
	<i>i.e., prompting questions</i>		
	<i>Will materials be available to help a family caregiver find, screen and hire a worker?</i>		
	<i>i.e., sample job postings, list of where to post ads, job descriptions, applications, interview questions</i>		

<i>Will quality measures for providers be tracked and shared?</i>			
The type of respite has been established			
	<i>Emergency</i>		
	<i>Educational</i>		
	<i>Planned</i>		
A process for prioritizing participants and/or establishing a waiting list has been established or determined			
	<i>Do financial resources have an impact on priority status?</i>		
	<i>Has consideration been given to emergency status?</i>		
	<i>Has a process been established to ensure there is no duplication of services?</i>		
	<i>Will a caregiver assessment tool be used to assess the needs of the caregiver?</i>		
	https://archrespite.org/ta-center-for-respite/state-lifespan-respite-tools-examples-by-category/#StateToolsAccordion-2		
Determine the amount of respite that would have the greatest benefit based on the program funding			
	<i>Minimum number of hours per week</i>		
	<i>Quarterly or annual allotment of funds</i>		
Policies and Procedures are developed as decisions are made and processes are outlined			
Program Design: Determine and Establish Funding Streams and Reporting Requirements		Page 59	Notes
The funding source(s) has been established			Status
	<i>What is the funding source(s)?</i>		
	<i>Is the funding source tied to the family caregiver?</i>		
	<i>Is the funding source tied to the care recipient?</i>		
	<i>What information must be tracked for the funding source?</i>		
	<i>What information must be reported for each funding source?</i>		
The names/types of the funding have been established			
	<i>Vouchers</i>		
	<i>Grants</i>		
	<i>Stipends</i>		
	<i>Reimbursements</i>		
Reporting requirements for distribution and tracking related to funding source(s) has been established			
	<i>Processes are in place to collect data.</i>		
	<i>Appropriate reporting requirements and data are collected to meet the needs of funding source.</i>		
The IRS reporting requirements for the distribution of voucher funds have been determined			
	<i>What are the IRS reporting requirements between the entity who distributes the voucher and the recipient of the voucher?</i>		
	<i>i.e., 1099, other</i>		
Spending limits have been considered and determined, when applicable			
	<i>Does the funding source(s) have any spending limits?</i>		

<p><i>Additional justification for spending limits have been considered. i.e., best practices in respite usage - number of hours Consideration has been given to research that showed at least 4 hrs. of respite per week has a positive impact on caregiver outcomes.</i></p>			
<p>Time limits for using voucher have been established</p> <p><i>Are there any time limits required for using a voucher? If time limits are set, is there any flexibility? Can the voucher be saved or rolled over? If so, for how long?</i></p>			
<p>The mechanism for voucher distribution has been determined</p> <p><i>Will the voucher be paid directly to the worker? Will the voucher be paid directly to the caregiver?</i></p>			
<p>The steps for tracking voucher distribution have been established</p> <p><i>A process has been determined to track voucher distribution that is in line with the rules of the funding source and program.</i></p>			
<p>The steps for tracking voucher use have been established</p> <p><i>A process has been determined to track voucher usage that is in line with the rules of the funding source and program. A process has been determined for tracking invoices and payments of vouchers.</i></p>			
<p>The role, if any, of a Fiscal Agent (FA) and/or Financial Management Services (FMS) entity has been determined</p> <p style="text-align: right;">Page 23</p> <p><i>Fiscal Agents can assist with tracking of funding, vouchers or paying invoices. This role is different from a Financial Management Services entity which can track spending, generate spending reports and deposit and file all tax and labor reports on behalf of the participant/employer. Will a Fiscal Agent (FA) or Financial Management Service (FMS) entity be used? What is the scope of the service? What is the rate of pay?</i></p>			
<p>Program Structure: Administrative Roles</p>	<p>Page 12</p>	<p>Notes</p>	<p>Status</p>
<p>The staffing needs of the program have been determined</p> <p><i>Will there be dedicated staff? Will there be volunteers? What is the total number of each and how will they be managed? What is the caseload for program staff?</i></p>			
<p>Staffing roles and responsibilities have been established</p>			
<p>Categories are bolded for grouping</p>			
	<p>Program Management Program staff Program activities</p>		

<i>Program development</i>		
<i>Contracts</i>		
<i>Funding</i>		
<i>Legislative activities</i>		
<i>Coalition activities</i>		
<i>Marketing and Outreach</i>		
<i>Education</i>		
<i>Trainings</i>		
<i>Lunch and Learns</i>		
<i>Respite clinics</i>		
<i>Caregiver support groups</i>		
<i>Additional public awareness opportunities (partner and advocacy organizations, news outlets)</i>		
<i>Website, social media, podcasts, radio advertisements, email campaigns</i>		
<i>Considerations about addressing misinformation</i>		
<i>Program Enrollment and Ongoing Support</i>		
<i>Application management</i>		
<i>Waitlist management</i>		
<i>Respite provider training</i>		
<i>Program intake processing</i>		
<i>Online provider training tools</i>		
<i>Training materials and modules (option for web-based)</i>		
<i>Technical Assistance to community groups</i>		
<i>Service Plan development</i>		
<i>Ongoing support</i>		
<i>Payment management</i>		
<i>Voucher distribution</i>		
<i>Voucher tracking</i>		
<i>Data collection and reporting</i>		
<i>Registry management</i>		
<i>Information and Assistance</i>		
<i>Providing information about self-direction</i>		
<i>Providing assistance and training with self-directed tasks to ensure success in the program</i>		
<i>Providing resources for success with self-direction</i>		
<i>Providing assistance with finding respite providers</i>		
<i>Financial Considerations</i>		
<i>Providing support around financial considerations, including Department of Labor and IRS guidance</i>		
<i>Quality and Risk Management</i>		
<i>Tracking quality metrics</i>		
<i>Using surveys to track quality</i>		
<i>Determining and implementing plans for improvement</i>		

	<i>Receiving feedback</i>		
The training needs of the staff and training procedures have been determined			
	<i>Program and fiscal management</i>		
	<i>Marketing and outreach</i>		
	<i>Information and assistance</i>		
	<i>Financial considerations</i>		
	<i>Quality and risk management</i>		
The training curriculum and processes have been determined in each of the categories above			
Program Structure: Factors that Influence Enrollment	Page 15	Notes	Status
An enrollment process has been established to maximize enrollment in the self-direction option and embraces the needs of the family caregiver			
	<i>Materials are presented in a way that promotes self-direction.</i>		
	<i>Marketing efforts specifically and positively address self-direction.</i>		
	<i>Materials are presented in a variety of languages to reach a variety of populations.</i>		
	<i>Materials are presented in a variety of formats to reach a variety of populations.</i>		
	<i>Materials and marketing efforts have considered ways to access rural areas (frontier, islands, others).</i>		
Marketing and outreach	Page 13		
	<i>A plan for marketing and outreach has been determined.</i>		
	<i>i.e., education, training, Lunch and Learns, respite clinics, caregiver support groups,</i>		
	<i>public awareness opportunities, website, social media, radio and print, email campaigns, addressing misinformation</i>		
Eligibility	Page 16	Notes	Status
The funding stream(s) for this program/provider has been determined and a review of the funding stream(s) specific criteria has been completed (<i>add funding stream specifics below or in notes section</i>)			
A process for establishing the needs of the family caregiver has been established			
	<i>Eligibility criteria</i>		
	<i>i.e., age, financial</i>		
	<i>Assessment of need : Will a formal caregiver assessment tool be used?</i>		
	https://archrespite.org/ta-center-for-respite/state-lifespan-respite-tools-examples-by-category/#StateToolsAccordion-2		
A process for establishing the needs of the care recipient has been established			
	<i>Eligibility criteria</i>		
	<i>i.e., age, financial, disability</i>		
	<i>Assessment of need : Will a formal assessment tool be used?</i>		
	<i>Will documentation of disability be required?</i>		
	<i>i.e., doctor's records, SSA disability determination, established agency relationship</i>		
	<i>Type of assistance needed</i>		

Resources to assist family caregivers in finding and hiring staff have been established and are available			
<i>Sample job postings, sample screening questions and a list of places to list posting (paper, internet, etc.)</i>			
<i>Worker registries (and the requirements for being included on the registry)</i>			
<i>Prompting questions to identify family or friends as potential workers</i>			
<i>Online training tools (hiring, worker management, worker tracking, financial considerations)</i>			
<i>Written materials (hiring, worker management, worker tracking, financial considerations)</i>			
Families are empowered to make key decisions independently with supportive advice			
<i>Mechanisms are in place to document the empowerment of families.</i>			
LifeCourse Respite Tools: https://www.lifecoursetools.com/lifecourse-library/exploring-the-life-domains/respite/			
Financial Considerations <i>Individuals who hire workers to provide personal care and respite are often considered employers of the workers and the workers are likely employees.</i>	Page 20-23	Notes	Status
Note: Key items in this section are bolded given the density and complexity			
A method for staying up to date on tax and labor considerations has been established			
<i>Review forms</i>			
<i>Check websites</i>			
<i>Update resources</i>			
Information is available to assist in the classification of a worker being an independent contractor or employee			
<i>IRS Topic 762, which discusses Behavioral Control, Financial Control and Relationship of the Parties</i>			
<i>IRS Form SS-8</i>			
<i>DOL Fact Sheet 15: Employment Relationship Under the Fair Labor Standards Act (FLSA)</i>			
<i>Program specific level detail</i>			
Information is available regarding reporting payments to independent contractors			
<i>If payments were made of \$600 or more, the individual should receive a 1099</i>			
https://www.irs.gov/businesses/small-businesses-self-employed/reporting-payments-to-independent-contractors			
Information is available about hiring an employee			
<i>Sample employee forms are available</i>			
<i>Employment Contract with any state-required details (background checks, credentialing)</i>			
<i>I-9 to confirm citizen status</i>			
<i>New Hire Reporting</i>			
<i>Workers' Compensation (if applicable, depending on state)</i>			
<i>State forms</i>			
<i>W-4, if applicable</i>			

Department of Labor Considerations: Employer/Employee Relationships	Page 20 - 23	Notes	Status
Information is available about Minimum Wage and Overtime Requirements			
<i>Confirm and share the federal and state minimum wage All hours worked over 40 should be paid at a time and a half overtime rate</i>			
Information is available about record keeping requirements			
<i>Basic employment records should include: Full name, SSN, home address, Hours worked each day and total hours for each workweek Total wages paid to each employee for the workweek, including a breakdown of regular and overtime pay Records should be kept for a minimum of 7 years (requirements could vary by state/funding source) Mechanism for keeping records confidential/safe/secure DOL Fact Sheet #79C Recordkeeping Requirements for Individuals, Families, or Households Who Employ Domestic Service Workers Under the Fair Labor Standards Act (FLSA)</i>			
Information is available about recording and tracking time			
<i>Do you have a mechanism in place to track respite provider time?</i>			
Information is available about the consideration of sleep time for 24 hour shifts			
<i>DOL Field Assistance Bulletin 2016-1: Workers who have 24+ hr. shifts, but do not live with the care recipient full-time can exclude sleep time from hours worked, if they have adequate sleeping facilities and usually enjoy an uninterrupted night's sleep (at least 5 consecutive hours) and both parties agree to the exclusion of sleep time.</i>			
Information is available about the Live-In Worker Exemption			
<i>DOL Fact Sheet #79B: Live-in Domestic Service Workers Under the Fair Labor Standards Act (FLSA): Domestic service workers who reside in the employer's home and are employed by an individual, family, or household are exempt from the overtime pay requirement, although they must be paid at least the federal minimum wage for all hours worked.</i>			
Information is available about state labor laws, including Domestic Workers' Bill of Rights, if applicable			
<i>Depends on state guidelines New hire reporting</i>			
Tax Considerations: Employer/Employee Relationships	Page 20-23	Notes	Status
Information is available to help determine withholding, depositing and filing requirements, if applicable			
<i>FUTA (federal unemployment) if the employer pays more than \$1,000 in wages in any single quarter (this year or last year) FUTA can be deposited quarterly or annually. FUTA guidance can be found in IRS Pub 926.</i>			
<i>SUTA (state unemployment) if the employer pays more than \$1,000 in wages in any single quarter (this year or last year) Review state guidance for SUTA requirements and confirm threshold- add detail here.</i>			
<i>FICA (Social Security and Medicare) if the threshold for domestic employees might be reached for the current calendar year The current year's threshold can be found in IRS Publication 926, Table 1. In 2023 the threshold is \$2,600/year. Information is available about federal withholding and reporting, if applicable. Determine if your funding source requires federal income tax to be withheld. The IRS does not require household employers to withhold federal income tax, unless the employee requests it.</i>			
<i>Did you withhold Social Security, Medicare or Federal Income Tax? If yes, it must be reported to both the IRS and the employee. Table 2 in IRS Pub 926 has a timeline and checklist for reporting. If no, and either the FICA or FUTA threshold (above) was met, there are depositing and reporting requirements. Table 2 in IRS Publication 926 has a timeline and checklist.</i>			

If no, and the FICA and FUTA thresholds were not met, there are no federal reporting requirements, including W-2s. Confirm state requirements.

Information is available about **potential employee tax exemptions and income reclassifications**, if applicable

*Potential family exemptions for FICA and FUTA from IRS Pub 926 Table 1:
child working for parent, parent working for child under 21, spouse working for spouse*

IRS Notice 2014-7 Potential income reclassification for wages paid via 1915(c) waiver for federal income tax purposes

Information is available about **withholding and reporting state taxes withheld**, if applicable

Determine if the state requires state income tax to be withheld from domestic employees.

Determine the state depositing and filing requirements (if applicable).

Determine if there are local taxes, and if so, what requirements apply.

Quality and Risk Management

Page 26

Notes

Status

Policies and Procedures are followed and updated on a regular basis

A plan is developed for ongoing quality improvement

Peer support and mentoring

Focus groups

Surveys

Telephone response lines

Track enrollment times in relation to outreach activities to determine effective outreach strategies.

Track informal/incidental program feedback as it is shared via phone, email, other channels.

Determine which program processes and outcomes need to be monitored

If funds are limited, identify only a few key elements and monitor them well.

Develop and implement data collection methods to inform how the program is doing

Surveys of participants (all or %?)

Interviews with select participants

Determine a plan to implement changes based on feedback obtained

A process for implementing an improvement plan to increase program quality has been established

The reporting needs of the ongoing quality improvement efforts have been established

What are the reporting requirements?

What are the reporting needs?

Are the reports shared and with whom?

A method for tracking questions/problems/concerns has been established

The type of question/problem/concern is identified.

The process for documentation is established.

Staff is assigned based on type of type.

The process for the program to respond is documented.

	<i>Type of action required will vary by type.</i>		
A grievance process has been established			
	<i>The type of grievance is identified.</i>		
	<i>The process for documentation of the grievance is established.</i>		
	<i>Staff is assigned based on type of grievance.</i>		
	<i>The process for the program to respond is documented.</i>		
	<i>The type of action required will vary by type of grievance and is documented.</i>		
The steps for reporting fraud, abuse, neglect have been established			
	<i>What are the reporting requirements?</i>		
	<i>Where are the reports submitted?</i>		
	<i>What is the required timeframe?</i>		

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