

Case Number	
County	
Date Completed	
Reviewer	

**GUARDIANSHIP PROGRAM COMPLIANCE MONITORING TOOL**

	Max Points Applicable	Applicable Points	Available Points	Points Earned	% of Applicable Points Earned
<b>I. GUARDIANSHIP CASE RECORD</b>					
A. Guardianship record or separate section of an existing record contains information on guardianship	3		0 - 1 - 3		
<b>II. AGENCY INITIATED PETITION</b>					
A. Petition for Adjudication of incompetence and Application for Appointment of Guardian or Limited Guardian and Interim Guardian (AOC-SP-200)	3		0 - 3		
<b>III. COURT DOCUMENTS</b>					
<b>A. Legal authority to serve as guardian</b>					
1. Letters of Appointment	3		0 - 3		
2. Order on Appointment	3		0 - 3		
3. Order on Appointment of Interim Guardian	3		0 - 3		
<b>B. Status Reports</b>					
1. Initial Status Report:					
a. Completed within six months of guardianship appointment	2		0 - 1 - 2		
b. Includes information from recent medical and dental/oral examinations of ward	2		0 - 1 - 2		
c. Includes copies of most recent assessment	2		0 - 1 - 2		
2. Annual Status Report:					
a. Completed annually	2		0 - 1 - 2		
b. Includes information from recent medical and dental/oral examinations of ward	2		0 - 1 - 2		
<b>C. Accounting Reports</b>					
1. Initial inventory or account completed as required					
1. Initial inventory or account completed as required	2		0 - 1 - 2		
2. Annual accounting completed as required					
2. Annual accounting completed as required	2		0 - 1 - 2		

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3. Final accounting completed as required	2		0 - 1 - 2		
<b>IV. BOND COVERAGE (DSS Only)</b>					
<b>A. Blanket Bond</b>					
1. Initial DAAS-7016 completed accurately	2		0 - 1 - 2		
2. Initial DAAS-7016 submitted timely (Data Collection Only)	1		0 - 1		
3. Bond coverage amount \$3,000 for Guardian of the Person or consistent with NCGS 35A-1230 if Guardian of the estate or General Guardian	3		0 - 1 - 3		
<b>B. Private Bond</b>					
1. Ward covered by private bond	3		0 - 1 - 3		
2. Bond coverage amount consistent with NCGS 35A-1230, NCGS 35A-1202 (5)	3		0 - 3		
<b>V. DEMOGRAPHIC INFORMATION (DAAS-7016A) (Contractors Only)</b>					
<b>A. DAAS-7016A completed and sent to DAAS</b>					
1. Within 30 days after contract execution	3		0 - 1 - 3		
2. Five business days after any change to ward's demographic information	3		0 - 1 - 3		
3. Two working days of any termination of guardianship appointment	3		0 - 1 - 3		
4. Five business days after contractor appointed guardian of new ward not included in initial contract	3		0 - 1 - 3		
<b>VI. SERVICE PROVISION</b>					
<b>A. Client Entry Form DSS-5027 is completed and accurate (DSS Only)</b>					
<b>B. Assessment</b>					
1. Documentation of :					
a. Input from ward/ward's family/caregivers	3		0 - 3		
b. Identification of strengths and needs	3		0 - 1 - 3		
c. Face-to-face interview with ward	3		0 - 3		
<b>C. Service Plan and Ongoing Contact</b>					

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1. Documentation of appropriateness of :					
a. Restoration of competency/Limited guardianship	3		0 - 3		
b. Transfer of guardianship to an adult individual	3		0 - 3		
2. Strengths and needs addressed in development of service plan	3		0 - 1 - 3		
3. Documentation of ongoing contact					
a. Monthly contact with ward and/or ward's caregiver (Contractors Only)	3		0 - 1 - 3		
b. Face-to-face visit with ward every 90 days (Contractors Only)	3		0 - 1 - 3		
c. Contact related to the ward no less than every 90 days (DSS Only)	3		0 - 1 - 3		