## SECTION 2 – SERVICE PLANNING

<table>
<thead>
<tr>
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</table>
| 2.002      | Using person centered planning, has the plan been developed based on the results of the assessment as it relates to:                                                       | - Ensure health and welfare,  
- Assist the individual to engage in meaningful activities  
- Support community connections  
- Assist in improving self-advocacy skills  
- Ensure achievement of outcomes  
- Identify risks include supports to prevent or minimize risks  
- Are employment services consistent with the individual’s identified employment outcome?  
5123:2-1-11; 5123:2-2-05 | ISP promotes:  
- Rights  
- Self-determination/Individual Choice  
- Physical well-being  
- Emotional well-being  
- Material well-being  
- Personal development  
- Interpersonal relationships  
- Community inclusion  
- Provider has communicated unmet/change in wants/needs  
- Identified risks related to a noted trend of unusual incidents and/or major unusual incidents  
Assessment considers:  
- The individual’s skills  
- Important to promote satisfaction  
- Important for promotes health and welfare  
- Trends of unusual incidents  
- Major unusual incident review  
- Serious chronic medical conditions  
There are four places on the path to community employment:  
- Place One: has a job; needs support to maintain or move up  
- Place Two: would like a job; needs support to find one  
- Place Three: not sure about employment; needs support to identify career options | | |
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<tr>
<td>2.003</td>
<td>Was the service plan reviewed annually? 5123:2-1-11</td>
<td>• Place Four: Does not express a desire to work; needs support to make an informed choice</td>
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</tbody>
</table>
| 2.004      | Was the service plan revised based on the changes in the individuals needs/wants? 5123:2-1-11 | • Consider life changes such as changing jobs, moving, changing providers, a new medical condition or deleting services the individual doesn’t want  
• Provider has communicated unmet/change in needs  
• County Board has revised plan once aware of new needs |
| 2.005      | Does the ISP specify the provider type, frequency, and funding source for each service and activity? 5123:2-1-11 |                                                                                                   |
| 2.006      | Does the ISP include supports to access the full community? 5123:2-1-11; 5123:2-9-02 | • Are opportunities to access the community being offered?  
• Are the activities similar to those without disabilities?  
• On-going access to the community  
• Individualized vs group opportunities  
• Achieving desired outcomes |
| 2.007      | Does the ISP specify which provider will deliver each service or support across all settings? 5123:2-1-11 |                                                                                                   |
| 2.008      | Does the service plan identify services and/or supports for day waiver services that are consistent with working toward the expected result of the specific day waiver service? 5123:2-9-13; 5123:2-9-14; 5123:2-9-15; 5123:2-9-16; 5123:2-9-17 | **See the rule for the day service being reviewed.**  
• **Adult Day Support**- development of skills that lead to greater independence, community membership, relationship building, self-direction and self-advocacy  
• **Group Employment**- paid employment and work experience leading to career development and competitive integrated |
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<td></td>
<td>employment. Occurs in either dispersed enclave or mobile work crew.</td>
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- **Vocational Habilitation** - advancement on the path to community employment and achievement of competitive integrated employment. Individuals need to have community employment in a service plan to receive this service. This service is intended to be time limited.

- **Individual Employment Support** - The expected outcome of this service is to support someone in competitive, integrated employment. See definition of competitive, integrated employment below.

- **Career Planning** - The expected outcome is the individual’s achievement of competitive integrated employment and/or career advancement in competitive integrated employment.

Competitive, integrated employment is defined as the following:

- Employment is full time, part time, or self-employment.
- Compensation - individual is compensated at min. wage or higher.
- Benefits - individual is eligible for similar benefits of employees in similar positions
- Integrated - work location allows person to interact with persons without disabilities to the same extent as employee who are not receiving home and community based waiver services.
## SECTION 3 – MEDICATION ADMINISTRATION

<table>
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<tr>
<td>3.001</td>
<td>If it is believed that the individual is unable to self-administer their medications, was a self-medication administration assessment completed? 5123:2-6-02; 5123:2-3-04</td>
<td>• The presumption is that everyone is able to self-administer their medications. Therefore, individuals identified as self-administering may not have an assessment.</td>
<td>Yes</td>
<td></td>
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<tr>
<td>3.002</td>
<td>If the individual is unable to self-administer medications has the assessment been reviewed annually, and revised as-needed? 5123:2-6-05; 5123:2-3-04</td>
<td>• A new assessment must be done at least every 3 years or if there has been a change in the individual’s condition.</td>
<td>Yes</td>
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<tr>
<td>3.003</td>
<td>If the individual’s assessment indicates that they are unable to self-medicate, does the Individual service plan address their medication administration needs? 5123:2-1-11; 5123:2-3-04</td>
<td>• An individual is presumed to be able to self-medicate. Assessment should be completed only if the team believes the individual is unable to safely self-medicate.</td>
<td>Yes</td>
<td></td>
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<tr>
<td>3.004</td>
<td>If the individual is unable to self-administer their medications, is the medication stored in a secure location based on the needs of the individual and their living environment? 5123:2-6-06; 5123:2-3-04</td>
<td>• Secured doesn’t have to mean locked. It means secured based on the individual’s needs.</td>
<td>Yes</td>
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<tr>
<td>3.005</td>
<td>If the individual is unable to self-administer their medications, is the medication in a pharmacy labeled container? 5123:2-6-06; 5123:2-3-04</td>
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<td>Yes</td>
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| 3.006      | If delegated nursing is identified in the plan, is there a statement of delegation, evidence of ongoing assessment, and annual staff skills checklist? 5123:2-6-01; 5123:2-6-03; 5123:2-3-04 | • REFERENCE DELEGATED NURSING GRID  
  • Day service locations serving 17 or more individuals must have delegated nursing.  
  • Residential facilities with 6 or more beds must have delegated nursing  
  • Delegation is required for G/J tube medication administration, insulin injection or pump and administration of nutrition by G/J tube.                                                                 | Yes              |                    |
## SECTION 4 – BEHAVIOR SUPPORT

<table>
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<tr>
<td>4.001</td>
<td>If the service plan includes restrictive measures, did the Human Rights Committee review and approve the plan prior to implementation? 5123:2-2-06; 5123:2-3-04</td>
<td>COUNTY BOARD RESPONSIBILITY</td>
<td></td>
<td></td>
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</table>
| 4.002      | If the service plan includes time out or restraint, are the interventions being implemented only when risk of harm is evidenced? 5123:2-2-06; 5123:2-3-04 | COUNTY BOARD RESPONSIBILITY  
- There must be a direct and serious risk of physical harm to the individual or another person. The individual must be capable of causing physical harm to self or others and the individual must be causing physical harm or very likely to begin causing physical harm. |                  |                                      |
| 4.003      | If the service plan includes rights restrictions, are the interventions being implemented only when risk of harm or likelihood of legal sanction are evidenced? 5123:2-2-06; 5123:2-3-04 | COUNTY BOARD RESPONSIBILITY  
- There must be a direct and serious risk of physical harm to the individual or another person. The individual must be capable of causing physical harm to self or others and the individual must be causing physical harm or very likely to begin causing physical harm. Legal sanction is met when the person's actions are very likely to result in eviction, arrest, or incarceration. |                  |                                      |
| 4.004      | If the service plan includes a restrictive measure, are behavioral supports employed with sufficient safeguards? 5123:2-2-06; 5123:2-3-04 | - Has staff been trained?  
- Was supervision available that ensured health, welfare, and rights of the individual? |                  |                                      |
| 4.005      | If the plan includes a restrictive measure, is there evidence that the Restrictive Measure Notification was submitted prior to implementation? 5123:2-2-06; 5123:2-3-04 | COUNTY BOARD RESPONSIBILITY  
- Could be evidenced by copy of email submission, support staff verification, or viewing on the RMN system |                  |                                      |
<p>| 4.006      | If the plan has behavioral strategies that include restrictive measures, is there evidence that the strategy was reviewed by the individual and the | COUNTY BOARD RESPONSIBILITY                                                                |                  |                                      |</p>
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<td>4.007</td>
<td>team at least every 90 days to determine the effectiveness of the strategy? 5123:2-2-06; 5123:2-3-04</td>
<td>• If decision was made to continue did the up to date information indicate risk or harm or likelihood of legal sanction is still present.</td>
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</table>
| 4.008      | If the plan includes restrictive measures, is there evidence of an assessment within the past twelve months that clearly describes risk of harm or likelihood of legal sanction? 5123:2-2-06; 5123:2-3-04 | For behavior support strategies to be development, assessment must clearly describe:  
• Behavior that poses risk of harm or likelihood of legal sanction  
• Level of harm or type of legal sanction that could occur with behavior  
• When is behavior likely to occur  
• Individual factors (medical, environment etc.) that may be contributing |           |                                      |
| 4.009      | Were all restrictive measures addressed in the plan and approved by the Human Rights Committee? 5123:2-2-06; 5123:2-3-04 | • Examples: house rules, dietary restrictions, imposed bedtimes, locked cabinets, visitor limitations, etc. It is not permissible for these restrictions to be outside of the restrictive measure requirements.  
• Criminal court orders are not required to be approved by the HRC.  
• Restrictive measures include rights restrictions. |           |                                      |
| 4.010      | Are restrictive strategies person-centered and interwoven into a single plan? 5123:2-2-06; 5123:2-3-04 | COUNTY BOARD RESPONSIBILITY  
• There should be no separate behavior support plans. Restrictive strategies |           |                                      |
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| 4.011      | Is there evidence that informed consent was received from the individual or guardian prior to the restrictive strategies being submitted to the HRC for approval? 5123:2-2-06; 5123:2-3-04 | COUNTY BOARD RESPONSIBILITY  
- Informed consent must be written. A scanned signature submitted electronically is acceptable | Yes/No | |
| 4.012      | Does the provider/county board have a human rights committee that includes the following?  
- At least 4 people  
- At least 1 individual who receives or is eligible to receive specialized services  
- Qualified persons with training or experience in contemporary practices of Behavior Support  
Reflect a balance of:  
- Individuals who receive or are eligible to receive specialized services or family members or guardians of individuals who receive or are eligible to receive services  
- County boards or providers 5123:2-2-06; 5123:2-3-04 |  
- N/A if the provider does not have their own committee. A committee can serve more than one county board or provider.  
- Community representatives do not account on either side of the balance.  
- Ensure that authors of restrictive measures who sit on the HRC do not “vote” on the measures they wrote. | Yes/No | |
| 4.013      | Does the provider/county board have a policy which reflects requirements of the rule? 5123:2-2-06; 5123:2-3-04 |  
- The Policy and Procedure should not contain any standards not permissible per the rule  
- The Policy and Procedure may additionally address: HRC quorums, age appropriateness, crisis program usage, etc | Yes/No | |
| 4.014      | Is the behavior support strategy directed at:  
1. Mitigating risk of harm or legal sanction  
2. Reducing and eliminating need for restrictive measures  
3. Ensuring the environment includes preferred activities so individuals are less |  
- Are the person’s preferences considered?  
- Are there achievable success criteria in the strategies? Is there a plan to reduce or eliminate the restrictive measures? | Yes/No | |
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<td>likely to engage in unsafe actions due to behavior</td>
<td>5123:2-2-06; 5123:2-3-04</td>
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<td>4.015</td>
<td>Is there a provider record of the date, time, duration, and antecedent factors regarding each use of a restrictive measure other than a restrictive measure that is not based on antecedent factors (e.g. Bed alarm or locked cabinet)? 5123:2-2-06; 5123:2-3-04</td>
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<td>4.016</td>
<td>Did all members of the provider/county board Human Rights Committee receive department approved training within three months of appointment to the committee in: rights of individuals with disabilities, person-centered planning, informed consent, confidentiality, and the requirements of 5123:2-2-06? 5123:2-2-06; 5123:2-3-04</td>
<td>N/A for agency providers unless operating on behalf of the county board</td>
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<td>• County boards are responsible for all committees operating on their behalf</td>
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<td>• County boards/ICFs can share committees with other entities</td>
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<td>• The county board or provider can have received approval of their own trainings or utilized the department trainings.</td>
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<td>• Department online trainings that meet the 5 required areas are:</td>
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<td>o Behavioral Support Strategies that Include Restrictive Measures.</td>
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<td></td>
<td></td>
<td>o Human Rights Committee, and</td>
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<td></td>
<td></td>
<td>o Rights of People with Developmental Disabilities</td>
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<td>4.017</td>
<td>Did all members of the provider/county board Human Rights Committee receive department approved annual training in relative topics which may include but are not limited to: self-advocacy and self-determination; role of guardians and section 5126.043 of the Revised Code; effect of traumatic experiences on behavior; and court-ordered community controls and the role of the court, the county board, and the human rights committee. 5123:2-2-06</td>
<td>N/A for agency providers unless operating on behalf of the county board</td>
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<td>• County boards are responsible for all committees operating on their behalf</td>
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<td>• County boards/ICFs can share committees with other entities</td>
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<td>• The county board or provider can have received approval of their own trainings or utilized the department trainings.</td>
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| 4.018      | Did each county board complete an analysis of behavioral support strategies that include restrictive measures? 5123:2-2-06 | - N/A for agency providers unless operating on behalf of the county board  
- County boards are responsible for all committees operating on their behalf  
- Should be completed at least annually  
- Must be shared with their HRC  
- Must include but is not limited to:  
  o Nature and frequency of risk of harm or likelihood of legal sanction that triggered development of strategies that include restrictive measures;  
  o Nature and number of strategies reviewed, approved, rejected, and reauthorized by the HRC;  
  o Nature and number of restrictive measures implemented;  
  o Duration of strategies that include restrictive measures implemented;  
  o Effectiveness of strategies that include restrictive measures in terms of increasing or decreasing behaviors as intended. |           |                                     |
# SECTION 5 – MONEY MANAGEMENT/ PERSONAL FUNDS

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| 5.001      | Does the provider ensure that individuals have access to their funds?    | • This applies to any provider listed in the service plan as responsible for individual funds.  
• Deposits must be made within 5 days of receipt of funds.  
• Monies must be made available within 3 days of request of the individual.  
• Individuals are able to control personal funds based on their abilities | Yes/No     |                                                      |
| 5.002      | Did someone other than the staff who handle personal funds, complete reconciliations at the frequencies required? | • Bank accounts should be reconciled using the most recent bank statement.  
• Cash accounts maintained by the provider should be reconciled every 30 days. |                                                      |                                                      |
| 5.003      | If the service plan includes assistance with money management, are the individual’s monies being managed as indicated in the plan? | • Bill Paying  
• Banking  
• Shopping  
• Inventories |                                                      |                                                      |
| 5.004      | If the provider is responsible with assisting the individual with managing their personal funds, does the service plan include parameters for management based on the areas of focus? | As appropriate/needed based on the service need:  
• The dollar amount anticipated to be available to the individual upon request for personal spending.  
• The specific type of supports to be provided  
• The maximum dollar amount that the individual may independently manage at one time.  
• The maximum dollar amount that the provider may spend on behalf of the individual for any one expenditure without guardian, payee, and/or team approval  
• The name of the person or entity responsible for providing payee services.  
• Receipts |                                                      |                                                      |
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| 5.005      | Does the provider ensure that the account transaction records/ledgers include the required elements? | Each type of account includes:  
- The individual’s name  
- The source, amount, and date of all funds received  
- The signature of the person depositing funds to the account, unless electronically deposited  
- The signature of the person withdrawing funds to the account unless electronically deposited. | | |
| 5.006      | If the individual lives in a licensed facility does the provider ensure the individual receives $100.00 in personal allowance? | LICENSED FACILITY ONLY  
Required to begin at the time of The next room and board Contract after the effective Date of the rule (rule effective 9/14/18) | | |
| 5.007      | If the individual lives in a licensed facility does the provider ensure that the individual is paying his/her room and board costs or receiving excess funds as required by the room and board contract? | LICENSED FACILITY ONLY  
SEE ROOM & BOARD CALCULATION SHEET  
- If the individual has earned income, the provider shall ensure they receive the first $100 and 1/2 of any income over $100 | | |
| 5.008      | Is there evidence that the individual is able to purchase items, goods, and services of his/her preference? | - Based on the individual’s available resources  
- Licensed waiver facilities are NOT required to purchase individual items unless included in the Room & Board agreement, or covered by the waiver reimbursement | | |
| 5.009      | If the individual lives in a setting that is provider owned or controlled, does the individual have a lease or other legally enforceable agreement? | Provider owned setting means a licensed residential facility  
Provider controlled setting means a residence where the landlord is:  
- An entity that is owned in whole or part by the individual’s provider or an immediate family member of the provider or the owner or a management employee of the agency provider | | |
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<td>• Affiliated with the individual’s agency provider  &lt;br&gt;• A member of the board of the provider, or has a member of the provider agency serving on the landlord’s board</td>
<td>Yes/No</td>
<td></td>
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<td>5.010</td>
<td>Did the provider develop and implement a written policy regarding management of individual funds? 5213:2-2-07</td>
<td>• Includes a system to account for and safeguard funds  &lt;br&gt;• Prohibits co-mingling of funds  &lt;br&gt;• Prohibits the provider from using one person’s money to supplement another person’s money.  &lt;br&gt;• Describes how the provider will ensure access to funds and make available financial summaries upon request.  &lt;br&gt;• Has to outline the system for reporting MUIs.</td>
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<td>5.011</td>
<td>Did the provider ensure that all staff responsible for managing personal funds are trained on the rule and the policy 5213:2-2-07</td>
<td>• Training must occur prior to providing assistance with personal funds.</td>
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SECTION 6- Moved to Section 18 (page intentionally left blank)
## SECTION 7- SERVICE DELIVERY & DOCUMENTATION

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| 7.001      | Does service delivery documentation include the following elements below? | • May be maintained on multiple documents/forms  
• Review service specific rule for documentation requirements | Yes/No     |                                                      |
|            | • Date of service;                                                       |                                                                                                 |           |                                                      |
|            | • Individual's name;                                                    |                                                                                                 |           |                                                      |
|            | • Individual's Medicaid #;                                               |                                                                                                 |           |                                                      |
|            | • Provider name;                                                        |                                                                                                 |           |                                                      |
|            | • Provider #                                                            |                                                                                                 |           |                                                      |
|            | • Signature or initials of person delivering the service                 |                                                                                                 |           |                                                      |
|            | 5123:2-9-06; 5123:2-9-40; 5123:2-9-39; 5123:2-9-20                         |                                                                                                 |           |                                                      |
| 7.002      | Does the waiver service delivery documentation for all waiver billing codes include the place of service? | • Place of service in NMT is the vehicle license plate number  
• For Transportation (HPC), this is origination/destination points |           |                                                      |
|            | 5123:2-9-06; 5123:2-9-40; 5123:2-9-39; 5123:2-9-20                       |                                                                                                 |           |                                                      |
| 7.003      | Does the waiver service delivery documentation for all waiver codes include the type of service? | • Review service specific rule for documentation requirements  
• NMT: requires type of NMT service – per-trip or per-mile |           |                                                      |
|            | 5123:2-9-06; 5123:2-9-40; 5123:2-9-39; 5123:2-9-20                       |                                                                                                 |           |                                                      |
| 7.004      | Does the waiver service delivery documentation for all waiver billing codes include the number of units (amount) provided? | • Not required for services billed using a daily rate except adult day services  
• Documentation may be maintained on multiple documents/forms  
• Review service specific rule for documentation requirements  
• For Transportation (HPC, NMT, and SELF), this is total number of miles as indicated by the odometer readings |           |                                                      |
<p>|            | 5123:2-9-06; 5123:2-9-40; 5123:2-9-39; 5123:2-9-20                       |                                                                                                 |           |                                                      |
| 7.005      | Does the waiver service delivery documentation for all waiver billing codes include scope? | • Scope- the definition of each waiver service must describe in concrete terms the goods and services that will be provided to waiver participants, including any |           |                                                      |
|            | 5123:2-9-06; 5123:2-9-40; 5123:2-9-39                                   |                                                                                                 |           |                                                      |</p>
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| 7.006      | Does the waiver service delivery documentation for all waiver billing codes include frequency? 5123:2-9-06; 5123:2-9-40 | • How often a service will be furnished. The number of times the service is offered  
• N/A for NMT, Transportation  
• N/A for money management provider | Yes/No | |
| 7.007      | Does the waiver service delivery documentation for all waiver billing codes include duration? 5123:2-9-06; 5123:2-9-40; 5123:2-9-39 | • Duration is the period/span of time a waiver service will be provided.  
• Example: the duration of HPC services would be the time period authorized in the plan.  
• Duration does not refer to the number of minutes/hours it takes to perform a specific task/activity.  
• N/A for NMT, Transportation  
• N/A for money management provider | Yes/No | |
| 7.008      | Does the waiver service delivery documentation include group size? 5123:2-9-06 | • Check applicable rules to determine if group size is required. | Yes/No | |
| 7.009      | Does the waiver service delivery documentation for non-medical transportation include the names of all other passengers/riders including paid staff and volunteers who were in the vehicle during any portion of the trip and/or commute? 5123:2-9-18 | NMT ONLY | | |
| 7.010      | Are medication, treatments, health related activities and dietary orders being followed? 5123:2-2-01; 5123:2-1-11, 5123:2-6-03; 5123:2-9-39 | • Info may come from the medication administration record (MAR), doctor’s orders, OT/PT and speech plans and unusual incidents  
• There are 13 health related activities  
• Nursing tasks not authorized by DODD Category 1 Certifications require nurse | | |
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<tr>
<th>Question #</th>
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<tr>
<td>7.011</td>
<td>Is the service plan and/or plan of care being implemented as written? 5123:2-2-01; 5123:2-9-39</td>
<td>• Info may come from service documentation and review of the frequency/duration of services delivered and/or observation. Documentation should match services in the plan. • Includes access to adaptive equipment/modifications important to/for the individual</td>
<td>Yes/No</td>
<td>delegation (ex. Catheterization, trach suctioning, etc.)</td>
</tr>
<tr>
<td>7.012</td>
<td>Is the provider/facility following all applicable local, state and federal rules and regulations?</td>
<td></td>
<td>Yes/No</td>
<td>Must include rule cite</td>
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<tr>
<td>7.013</td>
<td>Does the individual’s plan of care (485) include: • The current certification periods • Provider’s name including all RNs and LPNs providing service. • All sections of Plan of Care are completed • Medication list and MAR 5123:2-9-39, 5123:2-9-37</td>
<td>• Required for home health agencies • Verbal orders on the plan of care can be worked under for two weeks • Referred to as the 485</td>
<td>Yes/No</td>
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<tr>
<td>7.014</td>
<td>Does the nursing documentation include clinical notes or progress notes and documentation of the face to face visits? 5123:2-9-39</td>
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<td>7.015</td>
<td>For providers of employment services, (vocational habilitation, group employment supports, career planning and individual employment supports) was a written progress report submitted to the individual’s team at least once every twelve months to show progress towards desired employment outcome? 5123:2-2-05</td>
<td>• The written progress report shall outline the following: • Desired employment outcome • Place to path on community employment • Anticipated time-frame and progress towards reaching desired outcome • If Employment outcome was not met, does it explain barriers identified and steps to address barriers or revise employment outcome?</td>
<td>Yes/No</td>
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<td>7.016</td>
<td>Does the waiver service documentation for applicable waiver services include the times the delivered service started and stopped? 5123:2-9-06; 5123:2-9-40; 5123:2-9-39; 5123:2-9-20</td>
<td>• Check the rule for the service under review; this may not apply for services billed at a daily rate.</td>
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</table>
| 7.017      | Are waiver services delivered in a manner which supports individual choice, preferences, and needs in a manner to supports each individual’s full participation in his/her greater community? 5123:2-9-02 42 CFR 441.301 (c) (4-6); 441.701 (a) (1-2) | • Are opportunities to access the community being offered  
• Engagement in meaningful activities (work and non-work activities)  
• Age appropriate activities  
• Are the activities similar to those without disabilities? |                  |                                       |
| 7.018      | **For providers of Adult Day Support and Vocational Habilitation only:** If the provider is billing the community integration rate modification, are the following conditions met?  
1. Staff providing the service have successfully completed a department approved program of instruction in community integration.  
2. The service is provided in integrated settings in groups of four or fewer individuals. 5123:2-9-14; 5123:2-9-17 | • Community Integration rate modification only applies when the ADS/Voc Hab service is billed in 15 minute units.  
• Community integration training is found within the DSP 8 hour training on DODD My Learning. It can be watched individually or as the entire 8 hour DSP training. |                  |                                       |
| 7.019      | **Providers of Career Planning only:** When the provider is billing the Career Planning service for any of the components listed below, does the documentation include a description and details sufficient to demonstrate achievement of the desired outcomes?  
• Assistive technology assessment  
• Benefits education and analysis  
• Career discovery | • This question only applies to the Career Planning components listed in the question. This does **NOT** apply to:  
• Career exploration  
• Job development  
• Self-employment launch  
• Worksite accessibility |                  |                                       |
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|            | ● Employment/self-employment plan  
 ● Situational observation and assessment 5123:2-9-13 | ● Please review the Career Planning rule for information on each of the service components. |                |                                      |
## SECTION 8 – MUI/UI

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<tr>
<td>8.001</td>
<td><strong>Major Unusual Incident Section</strong>&lt;br&gt;Upon identification of a MUI, is there evidence that the provider took the following immediate actions as appropriate:&lt;br&gt;- Immediate and on-going medical attention as appropriate&lt;br&gt;- Removal of an employee from direct contact with any individual when the employee is alleged to have been involved in physical or sexual abuse until such time as the provider has reasonably determined that such removal is no longer necessary&lt;br&gt;- Other necessary measures to protect the health and welfare of at-risk individuals</td>
<td>• Providers are responsible for making sure that immediate actions are appropriate and adequately protect any “at risk” individuals.&lt;br&gt;• Providers may choose to remove an employee from direct contact for allegations other than those listed in rule.</td>
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<td>8.002</td>
<td>Is there evidence that the provider notified the County Board about the below listed incidents within 4 hours of discovery?&lt;br&gt;- Accidental/Suspicious Death&lt;br&gt;- Abuse (Physical, Sexual and Verbal)&lt;br&gt;- Exploitation&lt;br&gt;- Misappropriation&lt;br&gt;- Neglect&lt;br&gt;- Media Inquiry&lt;br&gt;- Peer to peer acts&lt;br&gt;- Prohibited sexual relations</td>
<td>• Notifications should by means that the county board has identified&lt;br&gt;• Notifications should be documented with time and person notified</td>
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<td>8.003</td>
<td>Is there evidence that the provider has submitted a written incident report to the county board contact or designee by three p.m. on the first working day following the day the provider becomes aware of a potential or determined major unusual incident?</td>
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| 8.004     | Is there evidence that notifications were made on the same day when the major unusual incident or discovery of the major unusual incident occurs to the following as applicable:  
- Guardian or other person whom the individual has identified  
- SSA  
- Other providers of services as necessary to ensure continuity of care and support for the individual  
- Staff or family living at the individual’s residence who have responsibility for individual’s care  
5123:17-02 | - Notifications or efforts to notify those listed above were documented  
- Notifications were made to the individuals’ guardians and other person whom the individuals have identified in a peer to peer act unless such notifications could jeopardize the health and welfare of an involved individual.  
- No notification should be made to the PPI, spouse or significant other of PPI’s or when such notification could jeopardize the health and welfare of an individual involved.  
  | Yes/No |                                                                 |
| 8.005     | If applicable, were appropriate notifications made to other agencies?  
- Children’s Services for allegations of abuse and neglect)  
- Law Enforcement (for allegations of a crime)  
5123:17-02 | - Any allegation of abuse or neglect under 2151.03 and 2151.031 for children under 21 years should be reported to CSB and documented  
- Any allegation of a criminal act must be immediately reported to LE  
- The provider shall document the time, date, and name of person notified of the alleged criminal act. The county board shall ensure that the notification has been made.  
  | Yes/No |                                                                 |
| 8.006     | Is there evidence that all DD employees cooperated with the investigation of MUIs?  
Timely submission of requested information?  
5123:17-02 | - What action was taken by provider if their employee (DD employee) did not cooperate with the MUI investigation?  
THIS QUESTION WILL BE ASKED BY MUI STAFF ONLY FOR COUNTY BOARDS  
For county boards:  
- Have questions posted in ITS been responded to timely?  
<p>| Yes/No |                                                                 |</p>
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<td>8.007</td>
<td>Is there evidence that the provider or CB employing a primary person involved notified the department when they are aware that the primary person involved worked for another provider? 5123:17-02</td>
<td>• THIS WILL BE ASKED BY DODD MUI STAFF ONLY</td>
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<td>8.008</td>
<td>Is there evidence that when an agency provider (excluding an intermediate care facility) that conducted an internal review of an incident for which a major unusual incident has been filed, has submitted the results of its internal review of the incident, including statements and documents, to the county board within fourteen calendar days of the agency provider becoming aware of the incident. 5123:17-02</td>
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<td>8.009</td>
<td>Is there evidence that the agency providers has a written procedure for the internal review of all major unusual incidents and shall be responsible for taking all reasonable steps necessary to prevent the recurrence of major unusual incidents. The written procedure shall require senior management of the agency provider to be informed within two working days following the day staff become aware of a potential or determined major unusual incident involving misappropriation, neglect, physical abuse, or sexual abuse. 5123:17-02</td>
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<td>8.010</td>
<td>Is there evidence that the individual’s team ensured that risks associated with MUIs were addressed in the service plan for each individual affected and collaborated on the development of a prevention plan to address the causes and contributing factors identified in the investigation? 5123:17-02</td>
<td>• If there is no SSA, team, qualified intellectual disability professional, or agency provider involved with the individual, a county board designee shall ensure that reasonably possible preventive measures are fully implemented.</td>
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| 8.011      | Is there evidence that the provider conducted an in-depth review and analysis of MUI trends and patterns during the preceding calendar year and compiled an annual report containing required elements. 5123:17-02 | • Are choking and falls risks addressed in service plan?  
• Available training and resources for choking and falls prevention located on DODD’s website |                  |                                      |
| 8.012      | Is there evidence that the provider’s annual review contains the following information:  
• Date of review;  
• Name of person completing review;  
• Time period of review;  
• Comparison of data for previous three years;  
• Explanation of data;  
• Data for review by major unusual incident category type;  
• Specific individuals involved in established trends and patterns (i.e., five major unusual incidents of any kind within six months, ten major unusual incidents of any kind within a year, or other pattern identified by the individual’s team);  
• Specific trends by residence, region, or program;  
• Previously identified trends and patterns; and  
• Action plans and preventive measures to address noted trends and patterns | • Sample Analysis Tips are available on the Health and Safety Tool kit |                  |                                      |
<p>| 8.013      | Is there evidence that the provider sent the annual report to the county board for all program in the county by 2/28. |                                                                                                  |                  |                                      |</p>
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<tr>
<td>8.014</td>
<td>Is there evidence that the county board reviewed provider analysis and ensured that all issues have been reasonably addressed to prevent recurrence? 5123:17-02</td>
<td>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF Does the County Board have a system for collecting independent and agency providers’ analyses?</td>
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<td>8.015</td>
<td>Is there evidence that the County Boards that provide specialized services sent the Dept an annual report for all programs operated by the County Board by 2/28. 5123:17-02</td>
<td>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF</td>
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<td>8.016</td>
<td>Is there evidence that each county board or as applicable, each council of governments to which county boards belong, has a committee that reviews trends and patterns of major unusual incidents. The committee is made up of a reasonable representation of the county board(s), providers, individuals who receive services and their families, and other stakeholders deemed appropriate by the committee. 5123:17-02</td>
<td>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF</td>
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<tr>
<td>8.017</td>
<td>Is there evidence that:</td>
<td>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF</td>
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<td>• The role of the committee shall be to review and share the county or council of government’s aggregate data prepared by the county board or council of governments to identify trends, patterns, or areas for improving the quality of life for individuals served in the county or counties.</td>
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<td>• The committee met each March to review and analyze data for the preceding calendar year.</td>
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<td>• The county board or council of governments shall send the aggregate data prepared for the meeting to all participants at least ten calendar days in advance of the meeting.</td>
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<td>• The county board or council of governments-maintained minutes of each meeting, distribute the minutes to members of the committee, and</td>
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<td>8.018</td>
<td>Did the CB immediately upon notification or receipt of a report an allegation.</td>
<td>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF</td>
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<td>• Ensured that all reasonable measures necessary to protect the health and welfare of at-risk individuals have been taken;</td>
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<td>• Determined if additional measures are needed;</td>
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<td>• Notified the department if the circumstances in paragraph (I) (1) of this rule that require a department-directed administrative investigation are present. Such notification shall take place on the first working day the county board becomes aware of the incident.</td>
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<td>8.019</td>
<td>Is there evidence that the county board entered preliminary information regarding the incident in ITS and in the manner prescribed by the department by five p.m. on the working day following notification by the provider or of becoming aware of the major unusual incident.</td>
<td>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF</td>
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<td></td>
<td>Mark as non-compliant if CB’s conformance rate is below 95%.</td>
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<tr>
<td>8.020</td>
<td>Is there evidence that investigative agent completed a report of the administrative investigation and submitted it for closure in the Incident Tracking System within thirty working days unless the county board requested, and the department granted an extension for good cause.</td>
<td>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF</td>
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<td></td>
<td>Mark as non-compliant if CB’s conformance rate is below 95% or there is a documented pattern of late cases that are overdue by 30 days.</td>
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<td>8.021</td>
<td>Does the investigation report follow the format prescribed by the Department and include:</td>
<td>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF</td>
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| 8.022      | Is there evidence that no later than five working days following the county boards, developmental centers, or department's recommendation for closure via the Incident Tracking System the county board, developmental center, or department shall provide a written summary of the administrative investigation of each category A or category B major unusual incident, including the allegations, the facts and findings, including as applicable, whether the case was substantiated or unsubstantiated, and preventive measures implemented in response to the major unusual incident to the following;  
  - The individual, individual's guardian, or other person whom the individual has identified, as applicable; in the case of a peer-to-peer act, both individuals, individuals' guardians, or other persons whom the individuals have identified, as applicable, shall receive the written summary;  
  - The licensed or certified provider and provider at the time of the major unusual incident; and  
  - The individual's SSA and Support Broker | THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF  
  - Notification a family of death is not required if already aware of the death. | Yes/No | |
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<td>8.023</td>
<td>Is there evidence that the County Board made a reasonable attempt to provide written notice to the Primary Person involved when a DD employee or a guardian, no later than five working days following the recommended closure of a case.</td>
<td><strong>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF</strong></td>
<td>Yes/No</td>
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</table>
| 8.024      | **INVESTIGATION INTAKE:**  
1. Is there evidence that the MUI was incorrectly coded?  
2. Does the MUI contain adequate information for appropriately categorizing it under Appendix A, B, or C?  
3. Is there evidence that a separate investigation should have occurred?  
4. Is there evidence of law enforcement notification and follow up?  
5. Is there documentation of a scene assessment?  
6. Is there evidence of timely initiation of investigation? | **THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF**                                                                 | Yes/No    |                                                    |
| 8.025      | **INTERVIEWS:**  
1. Is there evidence of the individual being interviewed no later than 3 working days for Appendix A MUIs?  
2. Is there evidence of the PPI being interviewed?  
3. Did the IA identify and interview the reporter, witnesses, and all relevant others based upon information collected from incident reports, documentation, and investigation interviews?  
4. Is there evidence of written statements?  
5. Was there any other documentation of interviews?  
6. Were follow-up interviews conducted? | **THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF**                                                                 | Yes/No    |                                                    |
<p>| 8.026      | <strong>DOCUMENTATION:</strong> | <strong>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF</strong>                                                                 | Yes/No    |                                                    |</p>
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<td>1.</td>
<td>Is there evidence that the incident report and all other documentation from the reporter of the incident was gathered?</td>
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<td>2.</td>
<td>Is there evidence that information regarding the individual (e.g. ISP, bank statements, inventory, medical conditions) was gathered and reviewed?</td>
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<td>3.</td>
<td>Is there evidence that documentation was gathered and reviewed of injuries, medical attention, and the possible cause of injury from a medical professional?</td>
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<td>4.</td>
<td>Were relevant photos taken, audio and/or video recordings gathered, and documented?</td>
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<td>5.</td>
<td>Is there evidence that all relevant documentation (e.g. training records, nursing notes, schedules) was gathered and reviewed?</td>
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<td>8.027</td>
<td><strong>DOCUMENTATION REVIEW AND INCIDENT SPECIFIC QUESTIONS:</strong></td>
<td>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF</td>
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<td>1. Does the investigation report provide all documentary evidence in a clear, complete, and non-ambiguous manner?</td>
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<td>2. Does the investigation report address the incident specific questions of all MUIs: Appendix A, B, or C.</td>
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<td>8.028</td>
<td><strong>RELEVANT HISTORY / RELATIVE CREDIBILITY:</strong></td>
<td>THIS QUESTION WILL ONLY BE ASKED BY DODD MUI STAFF</td>
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<td>1. Was the relevant history of the individual, PPI, reporter, witnesses, and others evaluated?</td>
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<td>2. Did the investigation report provide evidence that the relative credibility of the individual, PPI, witnesses, and all other relevant parties was evaluated?</td>
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<td>8.029</td>
<td><strong>ANALYSIS AND CAUSE AND CONTRIBUTING FACTORS:</strong></td>
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<tr>
<td>1.</td>
<td>Does the investigation report include a succinct and well-reasoned analysis of the evidence that clearly indicates the rationale for substantiation or un-substantiation of the allegation(s)?</td>
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<td>2.</td>
<td>Does the investigation report include evidence that the IA collected sufficient information to include a well-reasoned determination of the cause and contributing factors of the incident?</td>
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<td>8.030</td>
<td>During the review, was there evidence of any unreported incidents that should have been reported as either an Unusual Incident or a Major Unusual Incident?</td>
<td>Ensure that the incident meets the definition of a UI or MUI in the rule before issuing citation</td>
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<td>8.031</td>
<td><strong>This begins UI Section</strong></td>
<td><strong>Includes County Board</strong></td>
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<td>Is there evidence that the agency provider developed and implemented a written unusual incident policy and procedure that:</td>
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<td>• Identifies what is to be reported as an unusual incident which shall include unusual incidents as defined in this rule;</td>
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<td>• Requires an employee who becomes aware of an unusual incident to report it to the person designated by the agency provider who can</td>
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<td>• Initiate proper action;</td>
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<td>• Requires the report to be made no later than twenty-four hours after the occurrence of the unusual incident; and</td>
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<td>• Requires the agency provider to investigate unusual incidents, identify the cause and contributing factors when applicable, and develop preventive measures to protect the health and welfare of any at-risk individuals.</td>
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<td>5123:17-02</td>
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<tr>
<td>8.032</td>
<td>Is there evidence that the Incident Report contains the following required elements?</td>
<td><strong>Sample Incident Report in Health and Safety Tool Kit</strong></td>
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<tr>
<td></td>
<td>• Individual's name;</td>
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<td>Plan of Correction (If not compliant)</td>
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|            | • Individual’s address;  
• Date of incident;  
• Location of incident;  
• Description of incident;  
• Type and location of injuries;  
• Immediate actions taken to ensure health and welfare of individual involved and any at-risk individuals;  
• Name of primary person involved and his or her relationship to the individual;  
• Names of witnesses;  
• Statements completed by persons who witnessed or have personal knowledge of the incident;  
• Notifications with name, title, and time and date of notice;  
• Further medical follow-up; and  
• Name and signature of person completing the incident report.  
5123:17-02 | | | |
| 8.033      | Upon identification of an unusual incident, is there evidence that the provider took the following immediate actions as appropriate:  
• Report was made to the designated person  
• The UI report was made within 24 hours of the incident  
• Investigate unusual incidents, identify the cause and contributing factors when applicable, and develop preventive measures to protect the health and welfare of any at-risk individuals.  
5123:17-02 | | | |
<p>| 8.034      | Is there evidence that the provider providing services when unusual incident occurred, notified other providers of services as necessary to ensure continuity of care? | | | |</p>
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| 8.035      | Is there evidence that the unusual incident was investigated by the Provider? 5123:47-02 | UI INVESTIGATIONS should include what happened including immediate actions, identify cause and contributing Factors and what was done (prevention plan).  
- Examples of Immediate Actions: assessing for injuries, First Aid, separating individual, calling 911, Notifying Law Enforcement.  
- The cause and contributing factors should try to identify why or what caused the incident  
- Prevention Plan addresses the cause of the incident and be specific | | |
| 8.036      | Is there evidence that the provider reviewed all unusual incidents as necessary but no less than monthly to ensure appropriate preventative measure have been implemented and trends and patterns identified and addressed? 5123:17-02 | | | |
| 8.037      | Is there evidence that members of an individual's team ensured that risks associated with unusual incidents are addressed in the individual plan or individual service plan of each individual affected? 5123:17-02 | Look for patterns of choking incidents, med refusals, falls to ensure that risk are addressed in plan | | |
| 8.038      | Did the provider make the unusual incident report, documentation of patterns and trends and corrective actions available to the CB and Department upon request? 5123:17-02 | | | |
| 8.039      | Did the provider/County Board maintain a log that only contains the unusual incidents defined in rule and should include the following.  
- Name of Individual  
- Description of Incident  
- Identification of Injuries  
- Time/Date of Incident  
Sample UI Log Available on Health and Safety Toolkit  
The logs should only contain:  
- dental injuries;  
- falls; | | |
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| 5123:17-02 | Location of Incident, Cause and Contributing Factors, Preventative Measures | • an injury that is not a significant injury; med errors without a likely risk to health and welfare;  
• overnight relocation due to a fire, natural disaster, or mechanical failure;  
• an incident of peer-to-peer ac that is not a major unusual incident  
• rights code violations or unapproved behavioral supports without a likely risk to health and welfare  
• emergency room or urgent care treatment center visits;  
• program implementation incidents.                                           |           |                                      |
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| 9.001      | Is the CEO listed in PSM and approved by DODD Certification? 5123:2-2-01   | • Have the name of the CEO listed in PSM before going onsite  
• Refer the provider to the 1-800 call center  
• Notify DODD Review Manager                           |                  |                                     |
| 9.002      | Did the provider complete the following initial database checks for applicants for direct service positions?  
• Inspector General’s Exclusion List  
• Sex Offender and Child Victim Offenders Database  
• U.S. General Services Administration System for Award Management Database  
• Database of Incarcerated and Supervised Offenders  
• Abuser Registry  
• Nurse Aide Registry 5123:2-2-02; 5123:2-3-01 | • Mark as non-compliant if checks were **not completed at all**  
• Applies to employees hired after 1/1/13  
• Persons on the data base may not be employed to provide services to individuals |                  |                                     |
| 9.003      | Did the provider complete the following database checks every five years for employees?  
• Inspector General’s Exclusion List  
• Sex Offender and Child Victim Offenders Database  
• U.S. General Services Administration System for Award Management Database  
• Database of Incarcerated and Supervised Offenders  
• Abuser Registry  
• Nurse Aide Registry 5123:2-2-02; 5123:2-3-01 | • Mark as non-compliant if checks were **not completed at all**  
• If employees are verified as enrolled in ARCS, the 5 year recheck is not required. |                  |                                     |
| 9.004      | Did the provider complete the initial and 5-year database checks in a timely manner?  
• Inspector General’s Exclusion List  
• Sex Offender and Child Victim Offenders Database  
• U.S. General Services Administration System for Award Management Database  
• Database of Incarcerated and Supervised Offenders  
• Abuser Registry  
• Nurse Aide Registry 5123:2-2-02; 5123:2-3-01 | • Mark as non-compliant if either the initial or 5 year checks were completed late |                  |                                     |
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| 9.005      | Did the provider request that the Bureau of Criminal Identification conduct a criminal record check (BCI/FBI) prior to employing an applicant for a direct service position? 5123:2-2-02; 5160-45-07; 5123:2-3-01; ORC109.572 | • Mark as non-compliant if the initial checks were not completed at all or were completed using the incorrect reason code/reason title  
• If the applicant has not been an Ohio resident for the 5 years previous to hire, the agency shall request that the BCI obtain information from the FBI as part of the criminal records check. | Yes/No    |                                      |
| 9.006      | Did the provider request that the Bureau of Criminal Identification conduct criminal records checks (BCI/FBI) every 5 years for direct service employees and verify the BCI/FBI checks were completed? 5123:2-2-02; 5160-45-07; 5123:2-3-01; ORC109.572 | • Mark as non-compliant if the 5-year checks were not completed at all or the incorrect reason code was used  
• BCII recheck not required if employee is enrolled in Rapback;  
• Rapback does NOT include the FBI recheck. FBI recheck required if employee hasn’t been an Ohio resident for 5 years. | Yes/No    |                                      |
| 9.007      | Did the provider request the initial and 5-year criminal records checks (BCI/FBI) and verify the BCI/FBI checks were completed in a timely manner? 5123:2-2-02; 5160-45-07; 5123:2-3-01; ORC109.572 | • Mark as non-compliant if either the initial or 5-year checks were requested and completed late  
• **DO NOT mark non-compliant to this question if the checks were not done at all.** | Yes/No    |                                      |
| 9.008      | Did the provider ensure that direct services are only provided by employees who do not have a disqualifying offense and who are not included on any of the databases identified in rule? 5123:2-2-02; 5160-45-07; 5123:2-3-01 | • Refer to Section G of the background check rule for employees with Tier 4 offenses who were hired prior to 1/1/13  
• Issue citation if it is determined that a direct support staff with a disqualifying offense or on a registry is currently employed and working with individuals. | Yes/No    |                                      |
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<td>9.009</td>
<td>Did the provider staff, while under final consideration for employment, sign a statement:</td>
<td>• 1. attesting that the staff person would notify the provider within 14 days if they are ever charged with, plead guilty to, or are convicted of a disqualifying offense and 2. attesting that the staff person has never plead guilty to or been convicted of a disqualifying offense? 5123:2-2-02; 5160-45-07; 5123:2-3-01</td>
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| 9.010      | Did the provider staff have annual notification explaining conduct for which a DD employee may be included on the Abuser Registry? 5123:2-2-01 | • A staff signature is not required.  
• Agency must have a process to implement. |                 |                                      |
| 9.011      | Did the agency provider verify that the staff person has a high school diploma, GED or a rule waiver from the department? 5123:2-2-01; 5123:2-3-01 | • Review with provider their system to verify a high school diploma or GED.  
• Staff enrolled in college are considered to meet this requirement. |                 |                                      |
| 9.012      | If the provider/staff person is responsible for the following, do they have the appropriate certification for:  
• Oral or topical medications (Category 1)  
• Health related activities (Category 1)  
• G-tube/J-tube (Category 2)  
• Insulin injections (Category 3) 5123:2-6-03; 5123:2-3-01 | • Agency staff are only permitted to administer medications through family delegation when they are the paid provider, they are related to the individual and they live with the individual.  
• Certification must be verified using MAIS  
• Category 1 certification  
• Authorizes Oxygen administration without delegation (in settings that do not require delegation of Cat 1 activities)  
• Authorizes use of OTC topical products for musculoskeletal comfort without a prescription  
• Authorizes 5 new health related activities:  
  1. Pulse Oximetry (for O2 saturation reading)  
  2. Bi/CPAP |                 |                                      |
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| 9.013      | Does the professional staff have required licenses/certifications?       | - Includes nursing licenses, social work licenses, OT/PT licenses, etc.  
  - Nursing: an expired nursing license will be an immediate citation, the CB and Nursing Board should be advised  
  - Career Planning: Licensing/certification requirements only for Assistive Technology Assessment, Benefits Education and Analysis, and Worksite Accessibility. See Career Planning rule for specifics. | Yes/No    |                      |
|            |                                                                          |                                                                                                                                                                                                                                |           |                      |
| 9.014      | Did the provider staff have:                                            | - N/A for money management provider  
  - For licensed facilities: Must be obtained within 60 days of hire  
  - N/A SELF Support Brokers or SELF community inclusion- transportation  
  - N/A Remote Monitoring or Emergency Response providers who don’t provide backup (direct support) services | Yes/No    |                      |
<p>|            | 1. current CPR certification and                                        |                                                                                                                                                                                                                                |           |                      |
|            | 2. current first aid certification?                                     |                                                                                                                                                                                                                                |           |                      |
|            |                                                                          |                                                                                                                                                                                                                                |           |                      |
| 9.015      | Did the staff person receive initial training prior to providing services | - Effective 10/1/15 for new hires                                                                                                                                                                                             | Yes/No    |                      |
|            | that included:                                                         |                                                                                                                                                                                                                                |           |                      |
|            | (i) Overview of serving individuals with developmental disabilities      |                                                                                                                                                                                                                                |           |                      |
|            | including implementation of ISP                                         |                                                                                                                                                                                                                                |           |                      |
|            | (ii) The role and responsibilities of direct services staff with        |                                                                                                                                                                                                                                |           |                      |
|            | regard to services including person-centered planning,                  |                                                                                                                                                                                                                                |           |                      |
|            | community integration, self-determination, and self-advocacy;          |                                                                                                                                                                                                                                |           |                      |
|            | (iii) Universal precautions                                            |                                                                                                                                                                                                                                |           |                      |
|            | (iv) Initial rights training                                            |                                                                                                                                                                                                                                |           |                      |
|            | (v) Initial MUI training including the health and welfare alerts        |                                                                                                                                                                                                                                |           |                      |
|            | issued by the department.                                              |                                                                                                                                                                                                                                |           |                      |
|            |                                                                          |                                                                                                                                                                                                                                |           |                      |
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<td>9.016</td>
<td>Did the staff person receive training prior to providing services that included person specific training? (i) on what is important to and important for the individual (ii) as it applies to behavioral supports (iii) as it applies to money management (iv) as it applies to medication administration/delegated nursing</td>
<td>• The requirement for person specific training begins with the new certification rule on 10/1/2015. Look for this requirement to be met when there is a new staff person and for staff persons that are serving different individuals. • Refers to the ISP training prior to implementation</td>
<td>Yes/No</td>
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<td>9.017</td>
<td>Did the supervisory staff for direct services positions complete the following training within 90 days of becoming a supervisor? Service documentation; billing for services, management of individuals' funds</td>
<td>• New supervisory staff hired after 10/1/16</td>
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| 9.018      | Did all direct service staff have initial training on actions to take in the event of a fire or other emergencies?                                                                                       | **LICENSED FACILITY ONLY**  
• Must be completed within 30 days                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |           |                    |
| 9.019      | Did the provider staff have annual training on the MUI/UI requirements and health and welfare alerts from the previous year?                                                                            | • Once during each calendar year  
• Not required to be within 365 days  
• Required for CEO and/or Administrators annually  
• Agency board members must have training on MUI reporting requirements                                                                                                                                                                                                                                                                                                                                                          |           |                    |
| 9.020      | Did the provider staff have annual training on the Rights of Individuals with DD? ORC 5123.63; 5123:2-2-01; 5123:2-3-01; 5123:2-9-20                                                                 | • Once during each calendar year  
• Not required to be within 365 days  
• Required for CEO and/or Administrators annually                                                                                                                                                                                                                                                                                                                                                                                                                               |           |                    |
| 9.021      | Beginning in the second year of employment and annually did direct services staff receive training related to person-centered planning, community integration, self-determination, and self-advocacy? 5123:2-2-01; 5123:2-3-01 | • Once during each calendar year  
• Not required to be within 365 days                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |           |                    |
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| 9.022      | For day waiver services, did the provider ensure that within the first 90 days of employment, direct services staff completed an orientation program that addresses:  
- Agency organizational background  
- Components of quality care for individuals served  
- Health and safety  
- Positive behavior support  
- Services that comprise the specific waiver service 5123:2-9-13; 5123:2-9-14; 5123:2-9-15; 5123:2-9-16; 5123:2-9-17 | **Career Planning Service:**  
- **Excludes** Career Planning components of assistive technology assessment, benefits education and analysis, and worksite accessibility | Yes/No    |                                      |
| 9.023      | For day waiver services, did the provider ensure that during the first year of employment direct service staff were provided with:  
- A mentor  
- Training specific to the day waiver service 5123:2-9-13; 5123:2-9-14; 5123:2-9-15; 5123:2-9-16; 5123:2-9-17 | **Excludes** staff who at the time of hire, had one year of experience providing the specific waiver service. | Yes/No    |                                      |
| 9.024      | For day waiver services, did the provider ensure that all direct service staff, starting in the second year of employment, annually completed training that includes:  
- Roles and responsibilities regarding services, including person centered planning, community integration, self-determination, and self-advocacy  
- Rights  
- MUI/UI  
- Role in providing behavioral supports to individuals served  
- Best practices related to the provision of the specific waiver service |                                      | Yes/No    |                                      |
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| 9.025      | For provider staff members who are responsible for transporting individuals, did the provider ensure that a driver's abstract was completed prior to transporting individuals? 5123:2-2-02; | • Unofficial abstract from BMV is acceptable  
• Driver is ineligible to drive if they have six points or more on their abstract  
• Abstract should come from the state where the employee lives |           |                                      |
| 9.026      | For provider staff members who are responsible for transporting individuals, does the staff person have a valid driver's license? 5123:2-9-18; 5123:2-9-24; 5123:2-9-42 |                                                                                               |           |                                      |
| 9.027      | Did the provider ensure that only staff with fewer than 6 points on their driver's abstract transport individuals? 5123:2-2-02                                                                                   | • This includes driving individuals even when transportation is not billed.  
• Staff with 6 or more points cannot transport persons receiving waiver services. |           |                                      |
| 9.028      | Did staff providing transportation obtain a new driver's abstract every 3 years? 5123:2-9-18; 5123:2-9-24; 5123:2-9-42                                                                                         |                                                   |           |                                      |
| 9.029      | Are all vehicles used to transport individuals covered by a current insurance policy that meets the requirements of the service provided? 5123:2-9-18; 5123:2-9-24; 5123:2-9-42 |                                                                                               |           |                                      |
| 9.030      | If the provider is responsible for providing Per Trip Non-Medical Transportation, does the staff person have a signed form establishing the driver's physical qualification to provide non-medical transportation? 5123:2-9-18 | • This form must be completed and signed by a person who is licensed, certified, and/or registered in accordance with Ohio law to perform physical examinations. |           |                                      |
| 9.031      | If the provider is responsible for providing Non-Medical Transportation, did the staff person receive testing for controlled substances and was the staff person found to | • Per trip and per mile Non-Medical Transportation  
• Drug testing must be from a lab, cannot be self-administered. Reviewer must see the results of the testing, not just receipts |           |                                      |
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<td>5123:2-9-18</td>
<td>be drug free prior to providing transportation services?</td>
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<td>9.032</td>
<td>Are SSAs or staff in direct services positions enrolled in Rapback?</td>
<td>• If an employee is not able to get a BCII via fingerprints they cannot be enrolled in Rapback. The provider agency must continue to complete the 5-year BCII/FBI.</td>
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<td>9.033</td>
<td>Has the provider agency established an internal compliance program that ensures compliance with (1) provider certification, (2) background checks, (3) service delivery, service documentation and billing?</td>
<td>Does the provider have an assigned internal compliance manager or committee? Does the provider have policies as required in rule and for certification requirements, background checks and service delivery, documentation and billing? Do the outcomes of this review indicate that the provider's internal compliance program is working?</td>
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<td>9.034</td>
<td>Was there evidence the Administrator completed the new Administrator Orientation?</td>
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<td>• For administrators hired after 10/1/16 • Training found on DODD website</td>
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<td>9.035</td>
<td>Did the Administrator have annual training in facility roles and responsibilities, including Person Centered Planning Community Participation and Integration Self-determination Self-advocacy Individual Rights MUI, including review of health and welfare alerts</td>
<td>LICENCED FACILITY ONLY</td>
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<td>9.036</td>
<td>Does the facility have an Administrator directly involved in the day to day</td>
<td>LICENCED FACILITY ONLY</td>
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| Licensed Facility Only | operations and the oversight of service provision? 5123:2-3-01           | • Verify through interview the frequency of administrator presence in the facility.  
• Verify through interview and documentation the process by which the administrator is overseeing provision of services.                                                                                                           |           |                                       |
| 9.037      | Did the **Money Management** provider complete 8 hours of training annually on topics that enhance his or her skills and competencies relevant to providing money management. 5123:2-9-20 | • MUI/UI and Rights is included in the 8 hours.                                                                                                                                                                                    |           |                                       |
| 9.038      | Did the Service and Support Administrator successfully complete DODD provided web-based training in:  
• Developing person-centered individual service plans  
• Coordinating services  
• Enhancing team effectiveness  
• Understanding Medicaid  
• Targeted case management  
• Employment navigation 5123:2-5-02 | • New SSAs must have within one year of hire date.  
Existing SSAs must complete prior to recertification process.                                                                                                                                                                |           |                                       |
| 9.039      | Does the provider/direct care staff **without med admin certification** have training to perform the following tasks/use the following devices:  
• Vagus nerve stimulator  
• Epinephrine auto-injector  
• Administration of topical over-the-counter medication for the purpose of cleaning, protecting, or comforting the skin, hair, nails, teeth, or oral surfaces. 5123:2-6-05 | • The tasks can be performed by trained staff that do not have medication administration certification.  
• Staff must complete training prior to using the device or administering the topical OTC medication  
• Training must be provided by the licensed nurse or DD personnel with health-related activities and prescribed medication administration certification  
• Training must be the department approved curriculum  
• Training must include individual specific information                                                    |           |                                       |
<p>| 9.040      | Did the provider of adult day support or vocational habilitation notify the department within fourteen calendar days when there was a change in the physical address (i.e., | Check PSM for a listing of all locations                                                                                                                                                                                              |           |                                       |</p>
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<td>adding a new location or closing an existing location) of any facility where adult day or vocational habilitation support takes place. 5123:2-9-14; 5123:2-9-17</td>
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<tr>
<td>9.041</td>
<td>Does the agency have a CEO or another person designated in writing that is directly and actively involved in the day to day operations and the oversight of service provision? 5123:2-2-01 (D)(2)</td>
<td>The provider agency shall report in writing to the department within fourteen days when the CEO designate another person to be responsible for the administration of the agency provider.</td>
<td></td>
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</tr>
<tr>
<td>9.042</td>
<td>Did the provider ensure that staff in a direct care position did not work for more than 60 days after hire without the results of the BCI/FBI records checks? 5123:2-2-02; 5160-45-07</td>
<td></td>
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<tr>
<td>9.043 CB ONLY</td>
<td>For Service and Support Administration, did the provider ensure that within the <strong>first 90 days of employment</strong>, direct services staff completed an orientation program that addresses: • Agency organizational background • Components of quality care for individuals served • Health and safety • Positive behavior support • Services that comprise the specific service and support administration. 5123:2-5-02</td>
<td></td>
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<tr>
<td>9.044 CB ONLY</td>
<td>For Service and Support Administrators, successfully complete no later than one <strong>year</strong> Service and support administrators who have at least one year of experience as a service and support</td>
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<td>Question #</td>
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<td>Plan of Correction (If not compliant)</td>
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<tr>
<td>after hire</td>
<td>annually completed training that includes:</td>
<td>administrator, at the point of hire, are excluded from this training requirement.</td>
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<tr>
<td></td>
<td>• Eligibility Determination</td>
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<td></td>
<td>• Establishing Individual Budget</td>
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<td></td>
<td>• Effective service coordination</td>
<td></td>
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<td></td>
<td>• Management of Individual funds</td>
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<td></td>
<td>• Self Determination</td>
<td></td>
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<td></td>
<td>5123:2-5-02</td>
<td></td>
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</tr>
<tr>
<td>9.045</td>
<td>Has the county board employed or contracted with a Business Manager who is responsible for budgeting, financial reporting, preparing cost reports, and advancing informed and strategic decision-making by the county board?</td>
<td></td>
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<td>5123:5-08</td>
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</tbody>
</table>
## SECTION 10 – TRANSPORTATION

<table>
<thead>
<tr>
<th>Question #</th>
<th>Question</th>
<th>Guidance/Additional Information</th>
<th>Compliant Yes/No</th>
<th>Plan of Correction (If not compliant)</th>
</tr>
</thead>
<tbody>
<tr>
<td>10.001</td>
<td>If the provider is responsible for providing any type of transportation do all vehicles used to transport individuals appear safe?</td>
<td>5123:2-2-01</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.002</td>
<td>If the provider is responsible for providing Non-Medical Transportation, does the vehicle have a fire extinguisher?</td>
<td>5123:2-9-18</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.003</td>
<td>If the provider is responsible for providing Non-Medical Transportation, does the vehicle have a first aid kit?</td>
<td>5123:2-9-18</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 10.004     | If the provider is responsible for providing non-medical transportation, do all vehicles used to transport individuals have all required inspections?  
- Daily vehicle inspections  
- Annual vehicle inspection by the state highway patrol or certified mechanic. | 5123:2-9-18 |  |  |
| 10.004     |  |  | Wheelchair ramp/ties; windshield wipers/washer; mirrors; horns; brakes; emergency equipment; and tires |  |
| 10.005     | If the provider is responsible for providing non-medical transportation, are they using the correct type of vehicle for the service they are billing? | 5123:2-9-18 |  |  |
| 10.005     |  |  | Per-Trip Billing: Type of Vehicle  
1) A non-medical vehicle with a capacity of 9 passengers or more, excluding the driver  
OR  
2) A modified vehicle designed to transport individuals using wheelchairs (with safety restraints for wheelchairs, stable ramp or lift and daily inspection of lift, ramp and restraints |  |
| 10.006     | Licensed Facility Only  
Does the facility have policies and procedures regarding vehicle accessibility, vehicle maintenance, and requirements for vehicle drivers? | 5123:2-3-04 |  |  |
| 10.006     | Licensed Facility Only  
<p>|  |  | No set format for policies and procedures |  |</p>
<table>
<thead>
<tr>
<th>Question #</th>
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</thead>
<tbody>
<tr>
<td>11.001</td>
<td><strong>Has the provider completed emergency drills (tornado and fire), and completed a written record of each drill which address individual specific needs based on the outcome of these drills?</strong> 5123:2-3-02</td>
<td>☐ Fire drills:  ☐ Licensed Facility=3/w in 12 mos.(@ least 1 in a.m., 1 in p.m., 1 sleep drill)  ☐ CB=12 per year (1 each mo)  ☐ Tornado:  ☐ Licensed Facility=1 w/I 12 mo CB=4 per year (during April-July)  ☐ PC=fire and emergency response based on needs in IP</td>
<td>☐ Yes/No</td>
<td></td>
</tr>
<tr>
<td>11.002</td>
<td><strong>Does the provider have an emergency response/fire plan?</strong> 5123:2-3-02</td>
<td>☐ LICENCED FACILITY ONLY</td>
<td>☐ Yes/No</td>
<td></td>
</tr>
<tr>
<td>11.003</td>
<td><strong>Licensed Facility Only</strong>  When there is a swimming pool on the grounds, is the pool only used in the presence of staff with a:**  ☐ American Red Cross or equivalent lifeguarding certificate  ☐ Shallow water lifeguarding certificate for pools less than 5 feet deep 5123:2-3-01</td>
<td>☐ LICENCED FACILITY ONLY  ☐ Check for rule waivers</td>
<td>☐ Yes/No</td>
<td></td>
</tr>
<tr>
<td>11.004</td>
<td><strong>Licensed Facility Only</strong>  Are the interior, exterior and grounds of the building maintained in good repair and in a clean and sanitary manner? 5123:2-3-02</td>
<td>☐ LICENCED FACILITY ONLY</td>
<td>☐ Yes/No</td>
<td></td>
</tr>
<tr>
<td>11.005</td>
<td><strong>Licensed Facility Only</strong>  Are there appropriate and comfortable equipment, furniture and appliances in good condition except for normal wear and tear adequate to meet the needs and preferences of the individual? 5123:2-3-02</td>
<td>☐ LICENCED FACILITY ONLY  ☐ Furniture and equipment should be safe.  ☐ Equipment also includes working smoke detectors and fire extinguishers on each floor and at least one carbon monoxide detector for homes with gas heat, dryers or stoves.  ☐ The home should have equipment necessary based on the needs of the individuals served (i.e.: grab bars, ramps, visual fire alarms, etc.)</td>
<td>☐ Yes/No</td>
<td></td>
</tr>
<tr>
<td>Question #</td>
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</tr>
<tr>
<td>11.006</td>
<td>Are the entrances, hallways, corridors and ramps clear and unobstructed?</td>
<td>LICENCED FACILITY AND CB ONLY</td>
<td>Yes/No</td>
<td></td>
</tr>
<tr>
<td>11.007</td>
<td>Does the program/facility have suitable first aid facilities, equipment and supplies and is there access to emergency services?</td>
<td>LICENCED FACILITY AND CB ONLY</td>
<td>Yes/No</td>
<td></td>
</tr>
<tr>
<td>11.008</td>
<td>Where power equipment is used, does the equipment have appropriate safeguards?</td>
<td>COUNTY BOARD ONLY</td>
<td>Yes/No</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Safety Guards</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Kill Button</td>
<td></td>
<td></td>
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<tr>
<td>11.009</td>
<td>If a time out room is used:</td>
<td></td>
<td>Yes/No</td>
<td></td>
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<tr>
<td></td>
<td>• The door does not have a key lock, but may be held shut by a staff person or mechanism that requires constant physical pressure to keep the mechanism engaged</td>
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<tr>
<td></td>
<td>• The room has adequate lighting and ventilation</td>
<td></td>
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<tr>
<td></td>
<td>• The room is safe from hazardous conditions including, but not limited to, the presence of sharp corners or objects, uncovered light fixtures or uncovered electrical outlets</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>• The individual is under constant visual supervision</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>11.010</td>
<td>Are waiver services being provided in a setting that is <strong>NOT</strong> in a publicly-operated or privately operated facility that also provides inpatient institutional <strong>OR</strong> in a building on the grounds of or adjacent to publicly operated facility that provides inpatient institutional treatment.</td>
<td></td>
<td>Yes/No</td>
<td></td>
</tr>
<tr>
<td>11.011</td>
<td>Are day waiver services provided in a non-residential setting?</td>
<td></td>
<td>Yes/No</td>
<td></td>
</tr>
</tbody>
</table>

5123:2-3-02; 5123:2-3-02; 5123:2-1-02; 5123:2-2-06; 5123:2-9-02; 5123:2-9-13; 5123:2-9-14; 5123:2-9-15; 5123:2-9-16; 5123:2-9-17; 5123:2-9-19
<table>
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<tr>
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<tbody>
<tr>
<td>11:012</td>
<td>Each individual shall participate in documented training of the residential facility’s fire safety plan and emergency response plan within thirty calendar days of residency and at least once during every twelve-month period thereafter. 5123:2-3-02</td>
<td>LICENCED FACILITY ONLY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.013 Licensed Facility Only</td>
<td>Did the facility ensure that no bedroom was shared by individuals of the opposite sex unless consenting adults? 5123:2-3-02</td>
<td>LICENCED FACILITY ONLY</td>
<td></td>
<td>5123:2-3-02 If you find members of the opposite sex sharing a bedroom</td>
</tr>
<tr>
<td>11.014 Licensed Facility Only</td>
<td>Did the facility ensure that no more than two individuals share a bedroom? 5123:2-3-02</td>
<td>LICENCED FACILITY ONLY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.015 Licensed Facility Only</td>
<td>Did the facility ensure that individuals under the age of 18 do not share a bedroom with individuals over the age of 18? 5123:2-3-02</td>
<td>LICENCED FACILITY ONLY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.016 Licensed Facility Only</td>
<td>Does the facility have bathing facilities at a ratio of 1:4? 5123:2-3-02</td>
<td>LICENCED FACILITY ONLY</td>
<td></td>
<td>For every four beds the facility is licensed for, there must be one toilet and one tub or shower. Ex. 12-bed facility must have 3 toilets and 3 tubs or showers per facility.</td>
</tr>
</tbody>
</table>
| 11.017 | In all residential waiver settings, does the individual have the freedom to:  
• select roommates  
• privacy and security including locks and keys to living unit  
• decorate living unit  
• to have visitors of choosing at any time  
• control schedule and activities  
• access food at any time  
5123:2-9-02 42 CFR 441.301(4)(vi) | Applies to residential settings  
All should be available to the individual, unless otherwise specified in the ISP | | |
## SECTION 12 – TITLE XX

<table>
<thead>
<tr>
<th>Question #</th>
<th>Question</th>
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<th>Compliant Yes/No</th>
<th>Plan of Correction (If not compliant)</th>
</tr>
</thead>
<tbody>
<tr>
<td>12.001</td>
<td>Does the ISP identify individual services, supports, goals, and/or objectives related to Title XX services? Title XX Contract</td>
<td>• Some individuals may be children with an IFSP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.002</td>
<td>Does the unit of service log (1017) contain the following items?</td>
<td>Providers are not required to use the 1017 form however content must be the same.</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>• Client name</td>
<td>• 3.1 Units of Service. Grantee agrees to prepare and maintain documentation that supports the units of service billed to Title XX. The Grantee may develop a different form or report but documentation must include all of the following required elements:</td>
<td></td>
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<tr>
<td></td>
<td>• Service code/service type</td>
<td>• Individual Identifying Information:</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>• Duration (amount of time service provided)</td>
<td>(1) Individual name; +</td>
<td></td>
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<tr>
<td></td>
<td>• Date and time of service</td>
<td>(2) Individual Social Security Number (or Unique Identification Number so long as Grantee maintains a cross walk matching the Unique Identifier to the Social Security Number); *</td>
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<td></td>
<td>• Initials of staff providing service</td>
<td>(3) Individual date of birth; *</td>
<td></td>
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<tr>
<td></td>
<td>Title XX Contract</td>
<td>Service Information:</td>
<td></td>
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<td></td>
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<td>(4) Provider Name and Location; +</td>
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<td>(5) Service date; +</td>
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<td></td>
<td>(6) Service start and end times (excluding Transportation); +</td>
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<td></td>
<td></td>
<td>Billing Preparation*</td>
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<td>(7) Calculated service duration (per individual, per service, per day); *</td>
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<td></td>
<td></td>
<td>(8) Number of units invoiced; *</td>
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<td></td>
<td></td>
<td>(9) 5-digit Title XX Service Billing Code; *</td>
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<td>Question #</td>
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</table>
| 12.003     | Does the 1014-2 form (Certification of Proper Billing Form) contain the following elements? | - Contact Information  
- Date of CB eligibility determination  
- Title XX service name  
- Title XX billing code  
- Title XX national goals that correspond to the services billed  
- Response to the following questions:  
  1. Are services provided without regard to income?  
  2. Are the services provided included in the Grant Agreement?  
- Assurance that services billed are not available via a DODD waiver, funded by another federal funding source or included in the list of limitations on the use of grants  
- Signature of appropriate representative  
- Identifying information/contact information must match ISP (does not have to be the Social Security Number, but there must be a crosswalk matching the unique identifying number to the Social Security Number)  
- The board determines the appropriate representative or group of representatives to sign the 1014-2  
- The 1014-2 does not need to be updated if there are no changes to an ISP/IFSP redetermination |           |                                      |
### SECTION 13 – EARLY INTERVENTION

<table>
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<tr>
<th>Question #</th>
<th>Question</th>
<th>Guidance/Additional Information</th>
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</thead>
</table>
| 13.001     | Does the CB provide evidence based EI services to EI system?             | - EI services may include service coordination, special instruction, physical, and speech and occupational therapy services.  
- Reference federal regulations (303.302) or HMG Rule 3701-8-01 (U) to see a list of other EI services.                                                       | Yes/No    |                     |
| 13.002     | Does the CB participate in the Evaluation/Assessment for children referred to the local EI system? | - If so, must be completed within the 45-day timeline from the date of program referral (DOR) to the HMG system to the signing of the initial IFSP.  
- This includes a functional child assessment and the *family directed assessment.  
- *Families may decline to participate in the Family Directed Assessment. |                    |                     |
| 13.003     | Does the CB use more than one method to conduct functional assessments?  | - Assessed in all 5 developmental domains (Required)  
- Multiple methods (i.e. could include: parent interview/report, observation, record review, criterion reference tools and working through multiple strategies.  
- Multidisciplinary  
- Refer to attachment A, Child Assessment section to verify assessment methods/disciplines. |                    |                     |
<p>| 13.004     | Does the CB use one of the DODD approved tools to evaluate children?     | - Approved tools for evaluation: Bayley or Battelle                                                                                                               |           |                     |
| 13.005     | Does the CB funded evaluator/assessor make recommendations that focus on the child’s active participation within family preferred routines and activities? | - Look at IFSP, Section V to see recommendations that focus on the child’s active participation (i.e. eating meals with the family, going to church) rather than focusing on a developmental skill or deficit. |           |                     |</p>
<table>
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</thead>
</table>
| 13.006     | Does the CB complete the initial evaluation and/or assessment within the 45-day timeline? 5123-10-03 | - Initial evaluations are done for children referred with a suspected delay (not children referred due to diagnosed condition).  
- Initial assessments are done for all eligible children with a diagnosed medical or physical condition  
- If the timeline has not been met: Look at team meeting notes, case notes or other forms of documentation that may identify family reasons as to why timelines were not met. Family reasons are acceptable non-compliance reasons. | Yes/No | |
| 13.007     | Does the county board staff/contractors participating in evaluations/assessments have the appropriate license/certification per ODH policy? 5123-10-03 | - Bottom of Attachment A Name and Discipline  
- This includes redetermination of eligibility DS, PT, OT, ST, RN, Teaching, SW, Counseling, Psychologist (and others)  
- On the new IFSP form section IV and attachment A is eligibility and section V and attachment A is where assessment is recorded.  
- This includes determination of need for services | | |
| 13.008     | Do the county board staff /contractors participating in assessments have the appropriate license/certification per ODH policy? 5123-10-03 | - This includes determination of need for services  
- EIS/DS, PT, OT, ST, RN, Teaching, SW, Counseling, Psychologist (and others) | | |
| 13.009     | Does the county board ensure that there are 2 different disciplines for the evaluation and assessment? 5123-10-03 | - This includes redetermination of eligibility and need for services  
- Evaluation and assessment information has been included in the IFSP starting 1.15.15, required use at annual meeting | | |
<p>| 13.010     | Did the CB staff/contractors participate in the development of the IFSP? | - IFSP reflects a team process; including participation of the E and A team and | | |</p>
<table>
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<tbody>
<tr>
<td>5123-10-03</td>
<td>service providers, facilitated and coordinated by the SC.</td>
<td></td>
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<tr>
<td>13.011</td>
<td>Did the County Board assure that the provision of CB specialized services (e.g. Special Instruction, therapies, nursing, transportation) were provided as documented on the IFSP? 5123-10-03</td>
<td>• Check documentation that services are delivered according to frequency, intensity and duration as stated on Section VI of IFSP.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.012</td>
<td>Did the county board service providers ensure that “Prior Written Notice” is given to parents when services specified in the IFSP are changed? 5123-10-03</td>
<td>• If changes were made to any EI service on an existing IFSP the provider proposing the change is required to provide the family and SC with PWN. (HEA 8022).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 13.013     | Did the County Board ensure that the parent(s) provided consent on the IFSP before any services started that are listed on the IFSP? 5123-10-03 | • Was the signature obtained before the delivery of services started?  
• Consent is parent signature on the IFSP.                                                                                                                                            |                  |                                     |
| 13.014     | Did the specialized services begin within 30 days of the date the IFSP was signed by the parents? 5123-10-03 | • First case note verifying that the family had access to the EI service is used for verification, and if requested by the SC, the note is provided to the SC.  
• Case note must verify the actual EI service provided (i.e. if Special Instruction is listed on the IFSP for 30 minutes, the case note must reflect that Special Instruction was provided for 30 minutes).  
• IFSP meetings and enrollment paperwork are not examples of Special Instruction.                                                                                                           |                  |                                     |
| 13.015     | Is the following information compiled and kept on file in the child's record?  
- Documents used to determine eligibility  
- Other records related to services provided such as: Copy of current IFSP, consent forms and case notes  
- Documentation verifying the date of |                                                                                                  |                  |                                     |
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<td>request for or program referral to services in HMG-EI system -Documentation confirming the interventions provided to the family - Any ongoing assessments and summaries of the child and family</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.016</td>
<td>Does the County Board assist families with understanding and accessing their rights in EI? 5123-10-03</td>
<td>• Documentation that parents are informed of their rights and know how to access their rights in the early intervention system.</td>
</tr>
<tr>
<td>13.017</td>
<td>Do the CB interventionists implement the IFSP as written? 5123-10-03</td>
<td>• Check documentation to see if notes correspond to frequency, duration and intensity on Section VI of the IFSP. • If not are there valid reasons for why not?</td>
</tr>
<tr>
<td>13.018</td>
<td>If the CB provides EI services to support IFSP outcomes are they offered in natural learning environments? 5123-10-03</td>
<td>• If not, is a justification listed on the IFSP and the steps that are being taken to move the service?</td>
</tr>
<tr>
<td>13.019</td>
<td>Does the CB ensure that interventionists and families have access to a core team that meets regularly to discuss families and provide professional to professional consultation/support? (SC, OT, PT, ST, DS) 5123-10-03</td>
<td>• Look for this documentation in Section VIII • Do families have access to a multidisciplinary team versus individual therapies?</td>
</tr>
<tr>
<td>13.020</td>
<td>Does the CB ensure that all families have access to a primary service provider that the IFSP team determines is the best interventionist to support the IFSP outcomes with the support of the IFSP team? 5123-10-03</td>
<td>• Do CB E/A team members attend team and/or IFSP meetings where needed services and supports are decided? If not, is written input provided? • Do IFSPs reviewed reflect a variety of services and supports, with varied frequencies, and intensities? • Does the evidence show that environmental/parent/child/family factors, expertise needed to address outcomes, and lastly availability was considered when determining needed services and supports?</td>
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<td>Question #</td>
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| 13.021     | Does the CB ensure that all interventions provided by their staff are based on best available research, support how children learn, and use a communication style that supports adult learning and address the three global outcomes? 5123-10-03 | - Can the CB explain their rationale for their service delivery and how they interact with families; including the purpose of EI services?  
- Outcomes are now embedded into the IFSP process – the team should be participating.                                                                 |                |                                      |
| 13.022     | Does the CB ensure that all staff provide family centered practices; includes relational and participatory practices. 5123-10-03 | - Look at case notes to verify joint planning and opportunities for parent practice.  
- During parent interview ask parents if they are joint decision makers. This means that the parent is an active member of the IFSP team.                                                                 |                |                                      |
| 13.023     | Are early intervention services and supports available to families on a year-round basis? 5123-10-03 | - All supports must be available at a minimum of 240 days.  
- Look for year round programming.                                                                                                                                   |                |                                      |
| 13.024     | Does the CB ensure that the IFSP outcomes are functional, meaningful, and relevant to the family? 5123-10-03 | When reviewing, outcomes check to see if the outcome addresses the parent’s concerns and priorities (reference sections III and V of the IFSP)-then apply the six-step criteria:  
Two types of outcomes: family focused or child focused outcomes.  
- Is the outcome necessary to meet this family’s priorities, concerns, needs?  
- Does the outcome reflect real-life settings-for example, meal-time, bathing, riding in the car, going out to eat are all examples of real-life contextualized settings.  
- Outcome are discipline free-the outcome should not be written as if the OT/DS/ST/PT (interventionist) is doing something but rather the outcome should have the child and family as the “active” learner. |                |                                      |
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<tbody>
<tr>
<td>13.025</td>
<td>Does the CB have a Written Policy which explains specifically what they contribute to the EI system? 5123:2-1-02 5123-10-03</td>
<td>Does the EI Policy match practice?</td>
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</table>
| 13.026     | Does the CB interventionist provide support to the family to ensure that the family/child is prepared to transition to new learning environments? 5123:2-1-02 5123-10-03 | • IFSP transition outcome includes intervention provided to support transition outcome when applicable.  
• Look for case notes that document supporting the family with strategies/problem solving to ensure a smooth transition. |                  |                                      |
**SECTION 14 – REMOTE MONITORING AGENCY**

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<th>Question #</th>
<th>Question</th>
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</table>
| 14.001     | Do the needs of the individual appear to be met by remote monitoring? 5123:2-9-35 | • Team assures that remote monitoring will meet individual’s health and welfare  
• Information could be obtained through MUIs, complaints, etc. | | |
| 14.002     | Is remote monitoring done in real time by awake staff at a remote monitoring base? 5123:2-9-35 | • Must be done in real time and monitored remotely by awake staff  
• The monitoring base cannot be located at the residence of an individual receiving the remote monitoring service | | |
| 14.003     | Is remote monitoring provided by staff with no other duties during the time they are providing the remote monitoring service? 5123:2-9-35 | • Staff cannot perform any other duties during the time they are responsible for remote monitoring. | | |
| 14.004     | If audio and/or video equipment is used, did everyone in the home give written informed consent? 5123:2-9-35 | • Applies to monitoring that involves viewing or listening to activities or conversations in the home  
• SSA has to keep a copy of the consent with the ISP | | |
| 14.005     | Is there a notice prominently displayed in the home informing people that audio/video equipment is in use? 5123:2-9-35 | • A notice that says audio and/or video equipment is in use that allows others to view activities and/or listen to conversations must be prominently displayed in the home | | |
| 14.006     | Did the provider train its staff on the use of the remote monitoring system? 5123:2-9-35 | • Provider is required to provide initial and ongoing training to its staff on the use of the remote monitoring system | | |
| 14.007     | Does the provider have a back-up system in place? 5123:2-9-35 | • Provider is required to have a back-up power system (battery or generator)  
• The provider also has to have other back-up systems and additional safeguards in place that include contacting the backup support person in the event the remote monitoring system stops working | | |
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<tbody>
<tr>
<td>14.008</td>
<td>Does the remote monitoring provider have an effective system for notifying emergency personnel? 5123:2-9-35</td>
<td>• This includes police, fire, emergency medical services and psychiatric crisis response entities</td>
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<tr>
<td>14.009</td>
<td>Does the ISP address the following: training to be provided to the individual on the remote monitoring system, acceptable timeframe for back up support person to arrive at individual's home? 5123:2-9-35</td>
<td>• This is not a citation for the provider, please follow up with the SSA</td>
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### SECTION 15 – REMOTE MONITORING EQUIPMENT

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<tr>
<th>Question #</th>
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</thead>
<tbody>
<tr>
<td>15.001</td>
<td>Does Remote Monitoring equipment have an indicator that enables the individual to know the equipment is in use? 5123:2-9-35</td>
<td>• The type of indicator must be based on the needs and understanding of the individual.</td>
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<tr>
<td>15.002</td>
<td>Is the Remote Monitoring equipment designed so that only the person identified in the ISP can turn it off? 5123:2-9-35</td>
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<tr>
<td>15.003</td>
<td>Has the Remote Monitoring equipment been tested monthly and repaired or replaced as needed? 5123:2-9-35</td>
<td>• The Remote Monitoring equipment provider is responsible for delivery, installation, maintenance, monthly testing and replacement of equipment</td>
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</table>
### SECTION 18- WAIVER ADMINISTRATION ACTIVITIES

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<tr>
<th>Question #</th>
<th>Question</th>
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</thead>
<tbody>
<tr>
<td>18.001</td>
<td>Was the ODDP revised when significant changes occurred?</td>
<td>COUNTY BOARD ONLY</td>
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<tr>
<td>County board only</td>
<td>5123:2-9-06</td>
<td>- Examples: changes in living situation, natural supports, behavior, medical or mobility needs, etc.</td>
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<tr>
<td>18.002</td>
<td>Were needs identified in nursing quality assurance reviews addressed?</td>
<td>COUNTY BOARD ONLY</td>
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<tr>
<td>County board only</td>
<td>5123:2-1-11</td>
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<tr>
<td>18.003</td>
<td>Was the individual’s LOC reviewed at least annually and/or based on changes in the individual’s needs?</td>
<td>COUNTY BOARD ONLY</td>
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<tr>
<td>County board only</td>
<td>5123:2-1-11</td>
<td>- Was the LOC submitted within 12 months of the previous LOC effective date?</td>
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<tr>
<td>County board only</td>
<td>5123:2-1-11</td>
<td>- Were notifications of individual change of status (NICS) submitted any time a person moves from waiver services to an ICF, hospital, NF, jail/prison, or other institutional setting</td>
<td></td>
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<tr>
<td>18.004</td>
<td>Was the “Freedom of Choice” form for this individual reviewed on an annual basis?</td>
<td>COUNTY BOARD ONLY</td>
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<tr>
<td>County board only</td>
<td>5123:2-1-11</td>
<td>- Determine through documents, interview and observation. Issue citations only to the county board</td>
<td></td>
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<tr>
<td>County board only</td>
<td>5123:2-1-11</td>
<td>- Signed by the individual and the guardian annually</td>
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<tr>
<td>18.005</td>
<td>Were due process rights provided?</td>
<td>COUNTY BOARD ONLY</td>
<td></td>
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<tr>
<td>County board only</td>
<td>5123:2-1-11, 5160-48-01</td>
<td>- Determine through documents, interview and observation. Issue citations only to the county board</td>
<td></td>
<td></td>
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<tr>
<td>County board only</td>
<td>5123:2-1-11, 5160-48-01</td>
<td>- CB is required to provide the individual and the guardian their due process rights each time a waiver service is approved, denied, reduced or terminated</td>
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</tbody>
</table>
| Question # | Question | Guidance/Additional Information | Compliant | Plan of Correction
| --- | --- | --- | --- | --- |
| 18.006 County board only | Did the county board implement a continuous review process (monitoring) tailored to the individual? 5123:2-1-11 | - Were appeal summaries provided to individual/BSH at least 10 days in advance of hearing? 5101:6  
- Did the county board assist the individual with preparing for the hearing, if requested? |  |  |
| 18.007 County board only | Did the county board comply with Free Choice of Provider requirements? 5123:2-1-11; 5123:2-9-11 | COUNTY BOARD ONLY  
- Determine through documents, interview and observation. Issue citations only to the county board  
- No specific frequency is required  
- The level of monitoring should be based on the individual's needs and circumstances  
- Look closely here if significant negative outcomes for the individual are found during the review |  |  |
| 18.008 County board only | Did the county board comply with the outcome/results of the Medicaid due process hearing? 5123:2-1-12 | COUNTY BOARD ONLY  
- County board are not providing services to new individual only when there are no other providers available.  
- Determine through documents, interview and observation. Issue citations only to the county board.  
- SSA should objectively facilitate assisting the individual in choosing providers.  
- Applies to all waiver types, including exit, conversion, and diversion  
- Are people offered the choice of residences other than those with existing vacancies |  |  |
| 18.009 County board only | Were all waiting list requirements met? 5123:2-1-08 | COUNTY BOARD ONLY  
- Annual notification  
- Date and time of request  
- Alternative services |  |  |
<table>
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<tr>
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<tbody>
<tr>
<td>18.010</td>
<td>County board only Were all administrative resolution of complaint requirements met? 5123:2-1-12</td>
<td>COUNTY BOARD ONLY • Annual reassessment of needs</td>
<td></td>
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<tr>
<td>18.011</td>
<td>County board only Does the county board maintain an on-call system that is available 24 hours a day and 7 days a week? 5123:2-1-11; 5123:17-02</td>
<td>COUNTY BOARD ONLY • Cite here only after consulting with a manager</td>
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<td>18.012</td>
<td>County board only Does the CB have a local Employment First policy which clearly identifies community employment as the desired outcome? 5123:2-2-05</td>
<td>COUNTY BOARD ONLY</td>
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<tr>
<td>18.013</td>
<td>County board only Does the CB’s strategic plan outline strategies/benchmarks to</td>
<td>COUNTY BOARD ONLY • Did you see evidence of CB’s collaboration with workforce development agencies, vocational rehabilitation, mental health and schools to improve employment outcomes? • Does the CB share information with families and community partners about work incentives programs? (ex: Medicaid Buy-In) • Did the CB submit employment outcome data for individuals who receive non-Medicaid employment services or who are employed with no paid employment supports through the web-based data</td>
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</table>

- **Annual reassessment of needs**
- **Cite here only after consulting with a manager**
- **Determine through documents, interview and observation**
- **Verify system for communicating to individuals or their guardians as applicable, providers in their county and to the department.**
- **Issue citations only to the county board**
- **Training requirements for on-call person**
- **Skills to identify problems**
  - Assure health and welfare
  - Determine what immediate response is needed
  - Identify contact persons to take immediate action
<table>
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<tr>
<td>18.014</td>
<td>Did all board members have the required trainings?</td>
<td>COUNTY BOARD ONLY</td>
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<td><strong>COUNTY BOARD ONLY</strong></td>
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<td></td>
<td>• Within 3 months of initial appointment:</td>
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<td>orientation addressing: Duties of CB, roles and requirements of board</td>
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<td>members, confidentiality and ethics laws of Ohio.</td>
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<td>• Each calendar year of a board member's term: minimum of 4 hours of</td>
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<td>in-service training.</td>
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<td>If appointed after annual organizational meeting:</td>
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<td></td>
<td>On or before March 31: 4 hours. After March 31 but prior to July 1:</td>
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<td></td>
<td>3 hours. After June 30 but prior to October 1: 2 hours. After</td>
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<td>September 30 but prior to succeeding January 1: 1 hour.</td>
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<td>• Must include MUI training after April 1, 2018</td>
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<td>18.015</td>
<td>Is the facility operating over its licensed capacity without a rule</td>
<td>LICENSED FACILITY ONLY</td>
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<td>waiver?</td>
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<td><strong>LICENSED FACILITY ONLY</strong></td>
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<td>18.016</td>
<td>Did the county board have a process for monitoring contracts?</td>
<td>COUNTY BOARD ONLY</td>
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<td><strong>COUNTY BOARD ONLY</strong></td>
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<td>• The county board must demonstrate a process for ensuring that</td>
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<td>contracted entities are in compliance with rules and statute.</td>
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<td>18.017</td>
<td>Does the ISP specify the provider type, frequency, and funding</td>
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<td>source for each service and activity?</td>
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<td><strong>5123:2-1-11</strong></td>
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<td>18.018</td>
<td>For individuals receiving employment services, (vocational</td>
<td>If no progress reported, was</td>
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<td>habilitation, group employment supports, career planning, and</td>
<td>the individual service plan</td>
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<td>individual employment supports), did the team review the written</td>
<td>amended to identify the</td>
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<td>progress report submitted by the provider to determine if services</td>
<td>barriers toward achieving the</td>
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<td>provided are</td>
<td>desired outcome and the action</td>
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<td>• If no progress reported, was the individual service plan amended to</td>
<td>steps to be taken to overcome</td>
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<td>identify the barriers toward achieving the desired outcome and the</td>
<td>the identified barriers?</td>
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<td>action steps to be taken to overcome the identified barriers?</td>
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<td>consistent with the individuals identified employment outcome and the individual has obtained employment or is advancing on the path to community employment? 5123:2-2-05</td>
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</table>
| 18.019     | Did the provider receive a copy of the individual service plan at least fifteen calendar days in advance of implementation? 5123:2-1-11                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | • This is required unless extenuating circumstances make fifteen-day advance copy impractical and with agreement by the individual and his or her providers.  
• Assessment information is part of the planning package.                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                  |                                      |
| 18.018     | Did the SSA establish and maintain contact with providers as frequently as necessary to ensure that each provider is trained on the individual service plan and has a clear understanding of the expectations and desired outcomes of the supports being provided? 5123:2-1-11                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | • Secure commitments from providers to support the individual in achievement of his or her desired outcomes.  
• This may be found in provider documentation, SSA case notes and through interviews.                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                  |                                      |
| 18.019     | During the service planning process, did the team explore the least restrictive services and settings? 5123:2-1-11; 5123:2-9-02                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | • Was the individual provided with a description of all services and service setting options available through the waiver in which the individual is enrolled?  
• Was the individual given the opportunity to choose a service or a combination of services and settings that address their assessed needs in the least restrictive manner, promote autonomy, and minimize their dependency on paid support staff?  
• Were service and setting options such as technology-based supports, intermittent or drop-in staffing, shared living, or integrated employment services explored based on the individual’s assessed needs, prior to congregate settings?                                                                                                                                                                                                                                          |                  |                                      |