

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

II Individual Interview**II 56** Are you happy with the people who provide help and assistance to you at home or at your job? Does support staff listen to you?

The intent of this indicator is to determine the individual's level of satisfaction with his or her support persons at the service being reviewed.

For example, for a day service, ask about daytime support person; at a work service, ask about happiness with work support persons; at a residential setting, ask about happiness with home support persons. An open, general question such as "Tell me what it's like to get help from the people who support you here" is suggested to avoid a yes or no response.

This indicator should be rated based on the service type being reviewed.

FAM

All Indicators

State Quality Monitor

II 37 Are you able to make choices, express your opinions, and give input?

The intent of this indicator is to determine if the individual feels that his or her ideas, opinions and input are respected.

This indicator should be rated based on the service type being reviewed.

Do people ask you what you think? Do people ask you how you feel about things?

This is rated "Met" if the individual indicates they are routinely asked for his or her ideas, opinions and input about broad issues. (e.g., future plans, choice of staff, lifestyle, activities, supports, etc.) This indicator is also measuring CMS final settings rule compliance.

FAM

All Indicators

State Quality Monitor

II 40 Are you doing things you want to do in your life?

The intent of this indicator is to determine if the individual is doing things that he or she wants to do. Like going to sporting events, exercising, going to a religious service, or any other activities of your interest.

Ask the individual if there are things that he or she wants to do and does not do now. Are these new things or things that the individual wanted to do for a long time? Ask the individual if they have discussed these desires with anyone? Have the things that the individual wanted to do been incorporated in the planning process?

If it has not been addressed through the individual's planning process, then rate "Not Met".

FAM

All Indicators

State Quality Monitor

II 80 Did you choose the people that support you in your home and/or at your work/day services?

The intent is to determine if the individual chose the agency/vendor supporting them.

This indicator should be rated based on the service type being reviewed.

Did anyone tell you about other providers and their supports? Did you visit this and other sites before the service provider was chosen? This indicator is also measuring CMS Final Settings Rule compliance.

FAM

All Indicators

State Quality Monitor

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II 13 Do you have friends that you like to talk to or do things with? Do you have a best friend or someone you are really close to?

This indicator is "Not Met" if the person expresses the desire to have friends and doesn't have any or if more/enhanced relationships are desired. Paid support persons should not be considered friends unless they spend unpaid time with the individual.

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- II 15** Can you see and contact your friends and/or family when you want to?
- The intent of this Indicator is to determine if the individual can contact his or her friends and/or family as much as they want to.
- Do you contact friends/family? How often does this contact occur? Do support persons help you when you need it? Can family and friends come and visit at any time?
- This Indicator is rated "Not Met" if the individual expresses an unfulfilled desire to see or contact friends/family. Contact with friends/family may be contraindicated by the individual's PCP, Behavioral Support Plan, or court orders.
- The reviewer may defer this question if contraindicated. If contraindicated, this Indicator should be rated "Not Rated", and reviewer should add note in comment section that contact with friends/family is contraindicated for the individual. This indicator is also measuring CMS final settings rule compliance.
- FAM** All Indicators
State Quality Monitor
- II 36** Are you participating in a self advocacy group or participated in any self advocacy meetings, conferences, or events?
- Have you participated in any meetings that help you speak for yourself?
- If the individual identifies that they have no desire to participate in any meetings, rate "N/A".
- FAM** All Indicators
State Quality Monitor
- II 49** Do you have someone you can talk to if you have a problem? Are you able to speak to someone privately/by yourself and feel safe talking to them?
- The intent of this indicator is to determine that the individual has someone with whom they can privately share problems, complaints or personal matters.
- This indicator should be rated based on the service type being reviewed.
- This refers to formal and informal complaints or grievances.
- FAM** All Indicators
State Quality Monitor
- II 18** Does your case manager help you get what you need?
- Have you asked your case manager for help? What did you ask for? Did your case manager help you? Did you get what you needed?
- This indicator should be rated based on the service type being reviewed.
- FAM** All Indicators
State Quality Monitor
State Quality Monitor
- II 21** If you wanted to change your supports, do you know who to contact and how to make the change?
- The intent of this indicator is to determine if the individual is aware of the processes by which he or she can initiate a change in supports and services. Individuals can talk to their service provider, case manager, parents/family member, and guardian or advocate to initiate supports and service changes.
- This indicator should be rated based on the service type being reviewed.
- If the individual does not know that he or she can change supports, rate as "Not Met".
- FAM** All Indicators
State Quality Monitor
State Quality Monitor
- II 39** At your planning meeting, did people ask you what you like to do?
- The intent of this indicator is to determine if the individual's opinions are respected and elicited during their planning meeting or before the planning meeting if he or she chose not to attend. Did you talk about your life at the planning meetings? Did people listen to what you had to say? Did people ask what you would like to do in the coming year?
- This indicator should be rated based on the service type being reviewed.
- If the individual chose not to attend, rate as "Met" only if his or her opinions were elicited prior to the meeting and incorporated into their planning discussion. If the individual wanted to attend but did not, rate as "Not Met."
- FAM** Case Management As A Service
State Quality Monitor
State Quality Monitor

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Service: "FAM" Active Indicator? "Yes"

II 28 Do you choose the support staff who help you?

The intent of this indicator is to determine the involvement the individual had in choosing his or her support persons. Is the individual involved in the hiring process at any level? On a day-to-day basis, are support persons assigned to an individual or can the individual choose what support person helps him or her?

This indicator should be rated based on the service type being reviewed. This indicator is also measuring CMS Final Settings Rule compliance.

FAM All Indicators

State Quality Monitor

II 81 Do you know who to talk to if you don't feel good or have questions about how you feel or how to be healthy? Do you have a person that supports you that you can feel safe talking to them about your health?

The individual is better able to make an informed decision about his or her health if he or she knows someone to contact about health concerns or circumstances.

This indicator should be rated based on the service type being reviewed.

In family settings (FAM), when there is not an agency providing supports: If this indicator is "Not Met", choose "Not Met - DDS Responsible." When an agency is providing the FAM supports: If this indicator is "Not Met", choose "Not Met".

FAM All Indicators

State Quality Monitor

II 60 Do you know how to ask for help if you have a problem or if someone has hurt you or someone else you know? Are you able to speak to someone privately/by yourself and feel safe talking to them?

The intent of this indicator is to determine if the individual can effectively ask for help if someone is hurting him or her or others. What would you do if you felt in danger in the community or at home? Who would you tell?

This indicator should be rated based on the service type being reviewed.

Connecticut General Statutes 17a-238(b) states that individuals "shall be protected from harm and receive humane and dignified treatment which is adequate for such person's needs and for the development of such person's full potential at all times".

If an Immediate Jeopardy situation, refer to: J1 Abuse or Neglect Observed or Reported.

FAM All Indicators

State Quality Monitor

II 43 Do you know what to do if there is a fire or some kind of an emergency?

The intent of this indicator is to determine if the individual can appropriately respond to an emergency event.

This indicator should be rated based on the service type being reviewed.

What would you do in an emergency? For example, if you feel ill, if there is a fire, if you lost electricity, etc.

FAM All Indicators

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D Documentation

D 1

The individual's Person Centered Plan indicates he or she directed or participated in the planning process to the extent that he or she chose to participate.

The intent of this Indicator is to ascertain if the individual has involvement in the planning process to the level of his or her desire and capability. Family members sometimes participate along with the individual receiving supports and services. Individuals and their family members are encouraged to communicate their needs and preferences and to choose from among support options and providers. Every effort will be made to schedule the planning meeting at times and locations that will facilitate participation by the individual and his or her family, guardian, advocate or other legal representative, as applicable. Individuals should not need to miss their day program or job to attend their planning meeting. The team should schedule the meeting at a time that is convenient for the individual so that he or she does not need to choose between attending their planning meeting versus attending their day program/job.

If the individual chooses not to attend his or her planning meeting, a personal support team member will seek from the individual his or her input that will be used at the planning meeting to develop his or her Person Centered Plan. If the individual chooses not to attend his or her planning meeting, the Person Centered Plan is to be reviewed with the individual by a support team member, dated and documented on the Individual Plan Signature Sheet of the Person Centered Plan. If the individual's guardian is unable to attend the planning meeting, the provider has documentation on file to show that the Person Centered Plan was sent for review and approval of the Person Centered Plan.

The individual's Person Centered Plan documents how the individual was involved in directing his or her Person Centered Plan. If possible, the individual signs his or her Person Centered Plan. Individuals and the people who are important in their lives will receive the supports they need to be directly involved in the development and implementation of their Person Centered Plan including supports in their native language or primary mode of communication.

For PCPs (Person Centered Plans) - Refer to Summary of Representation, Participation & Plan Monitoring

At Family Respite Centers, an individual's planning process is documented on DDS Family Respite Center forms. (DDS Family Respite Center Procedure Attachments B, F, G, H, I and L)

For individuals living in private ICF/IID homes, this Indicator is to be rated "Not Rated" for the following service types: CLA4 (four or more individuals living in the

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D 1a The individual's Person Centered Plan clearly documents all efforts to include the individual and their representatives in the planning process.

The intent of this Indicator is to determine whether the individual participated in their planning meeting, the extent which the individual participated, and what efforts

and supports are being put in place to increase the individual's participation for future planning meetings and to determine whether the individual's representative-family/guardian/advocate/legal or personal representative took part in the planning process and meeting; their satisfaction with their level of participation, and that any steps to be taken to increase the representative's participation are documented.

The individual's Person Centered Plan identifies how the team will encourage, support and assist the individual to become more involved in their planning process in future/subsequent meetings. What efforts will the team make to assist the individual in attending their PCP meetings, participating in the meetings and

providing input, as desired? This should be identified in Summary of Representation, Participation & Plan Monitoring as well as Action Step for how the individual will be working on steps to increase their participation for the following year, and who will assist them. Progress and work on this may be noted in Individual Progress Reviews. Please note that if the individual is participating at the level they choose then there would not be the need for an Action Step in the

Action Plan. That may differ person to person. But it needs to be noted in that section of Participation, Representation, etc.

Refer to the Individual's Person Centered Plan, Summary of Representation, Participation & Plan Monitoring - Individual's Participation and Representative's Participation in Planning Process. When reviewing the Individual's PCP, Participation in the Planning Process, look to ensure that the individual's level of participation is documented. "Some people are resistant to being at big meetings or will need assistance to take part. Teams need to help the person to their highest level of comfort with planning and make accommodations as needed. How can they make it easier or increase the person's comfort and participation next year? These should be noted here and become Action Steps in the Plan".

Refer to the Individual's Person Centered Plan, Summary of Representation, Participation & Plan Monitoring - Representative's Participation in Planning Process. When reviewing the representative's, Participation in the Planning Process, look to ensure that their participation with and satisfaction with the process,

is documented. Look to see that the needed steps for increased representative participation for the next year are documented in the Representative's Participation in Planning Process.

Refer to Action Steps to verify that increasing the individual's participation in the planning process is identified and what steps need to be taken to increase the person's participation for the next year is included in the Action Plan.

Refer to Individual Progress Reviews for updates or changes to Action Plan items related to the individual's participation in the planning process.

Refer to DDS A Guide to Individual Planning

Refer to CT DDS Person Centered Planning Providers Presentation (June 2018)

This indicator is also measuring CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks

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D 57 The individual's Person Centered Plan is on file at the service location, available for support staff to implement.

The individual's current Person Centered Plan must be on file at the service location within 30 days of Person Centered Plan development. The individual's PCP may be at a provider location for support persons' use when the individual has mobile support services or an own home/family setting.

In the service types of DSO, GSE, and SEI, if an individual lives in a private ICF/IID home, the form used to create the Person Centered Plan may be other than the DDS Person Centered Plan form, including the private agency's Plan form. For example; IP Short Form, IP Transition Plan, Person Centered Plan or the private agency's Plan form may be used.

Refer to Procedure to Ensure Timely Documentation memo updated 10/3/2018

If the individual's Person Centered Plan is not available at the service location, and the service provider can show documentation of their attempts to obtain this information from DDS, the Indicator will be rated "Not Met, DDS Responsible". Documentation attempting to obtain the individual's Person Centered Plan should be on file shortly after the 30 days post Plan development timeframe, in order to be considered timely, and "Not Met, DDS Responsible".

Documentation to obtain the Plan several months after the Plan meeting would not be considered a timely request. Therefore, the rating will be based on the documentation on file at the time of the review.

Refer to DDS A Guide to Individual Planning

Refer to Policy No. I.C.1.PO.002 Subject: Individual Planning.

Corrective Action Plan (CAP) follow up expectation is 2 weeks as this indicator is a health and safety concerns.

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D 2 The Person Centered Plan is developed and implemented on a timely basis.

The intent of this Indicator is to determine if the team has developed, and that the provider has implemented the components of the PCP that they are responsible for, in a timely manner. Time frames for implementation of the PCP may be specified based on a person's specific needs, but not for the convenience of staff. If a goal has not been addressed, documentation as to why should be on file. All reviewers should review provider documentation including progress notes, data sheets, and in-service training records to determine if all of the services and supports were implemented in accord with the PCP date.

Refer to Policy No. I.C.1.PO.002 Subject: Individual Planning: All individuals who receive DDS HCBS Waiver services, all children in Voluntary Services, all individuals who receive any DDS funded residential supports, including individualized home supports, and clients of the department who pay directly for residential habilitative services shall have a Person Centered Plan. For individuals who are enrolling in a HCBS waiver, the Individual Plan – Short form, along with a Summary of Supports and Services may be used for the first 90 days of receipt of new HCBS Waiver services, 45 days in licensed settings, after which time a Person Centered Plan must be in place. At a minimum, Person Centered Plans will be reviewed and updated on a yearly basis. Individuals currently receiving HCBS waiver services who receive new residential or day supports and services or experience a major change in one or both of these services, must have a new Summary of Supports and Services in place prior to a change in services. The Person Centered Plan shall be updated within 90 days of the change in waiver services except in licensed settings where an update is required within 45 days. Individuals who live in ICF/IID settings must have their Person Centered Plans updated within 30 days of a change in services.

For HCBS Waiver recipients (individuals enrolled in a waiver), reviewer should look to see that the Person Centered Plans (and Individual Plan Shorts) have been renewed annually, within the same month of the prior year's Plan date. The current Person Centered Plan should be on file and ready for staff to implement Supports and Services are expected within 60 days of plan development, 30 days in licensed settings, and should be provided as described in the Individual Plan. Corrective Action Plan (CAP) follow up expectation is 4 weeks

R **FAM** All Indicators
State Quality Monitor
State Quality Monitor

D 11a Demographic and personal information is maintained in the individual's record.

For PCPs, personal information is updated annually or when changes in the person's life occur. Refer to Individual Plan Signature Sheet and other records in the individual's file, such as "Emergency Individual Fact Sheet", guardianship documents, etc., for current demographic information.

This information includes the individual's name, date of admission, date of birth, place of birth, social security number, department number, current family information, and personal characteristics including language, ethnicity, legal status and any other demographic information relevant to the individual.

Reviewers should look for consistency between records and reports that contain demographic information. Inaccuracies, inconsistencies should be corrected. At the time of the individual's planning meeting the case manager and the team make sure the information on the Signature Page is correct and up to date. If it is not, the casemanager will correct the information in the specific data source.

In family settings (FAM), when there is not an agency providing supports, review Case Management Record only. When an agency is providing the FAM supports, review the agency's record for the individual.

Refer to DDS CLA Licensing Regulations: 16e, 16g, and 16i
Refer to DDS A Guide to Individual Planning
Refer to CT DDS Person Centered Planning Providers Presentation (June 2018)
Refer to CT DDS Person Centered Planning Case Manager Training with slides (June 2018) Corrective Action Plan (CAP) follow up expectation is 4 weeks

FAM All Indicators
State Quality Monitor

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D 4 The individual's preferences and personal goals are identified in his or her plan.

The intent of this Indicator is to determine that the individual's PCP and planning process include the identification of personal goals, desired outcomes and personal preferences as reflected in the Action Plan Leading to a Good Life and Vision For a Good Life, Action Plan, Summary of Representation, Participation & Plan Monitoring and Individual Progress Reviews of the individual's Person Centered Plan.

The individual's preferences can include where they would want to live, relationships with family and friends, health, careers, recreation, etc. What would mean progress for them? What does the individual want their future to be like?

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In family settings (FAM), when there is not an agency providing supports, review Case Management Record only. When an agency is providing the FAM supports, review the agency's record for the individual.

□

For individuals living in private ICF/IID homes, this Indicator is to be rated "Not Rated" for the following service types: CLA, DSO, GSE, SEI.

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Refer to DDS CLA Licensing Regulation: 17d, and 17f

Refer to DDS A Guide to Individual Planning

Refer to CT DDS Person Centered Planning Providers Presentation (June 2018)

Refer to CT DDS Person Centered Planning Case Manager Training with slides (June 2018) This indicator is also measuring CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks

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D 5a

The individual's record contains necessary and current health, safety and programmatic assessments, screenings, evaluations, reports and/or profiles.

The intent of this Indicator is to see that required medical, safety and programmatic assessments, screenings, evaluations, reports and profiles are up to date and current, medical appointments, and identification of routine health issues are current and documented in the individual's record. Medical appointments are to occur in the required time frames. Reference physician reports and consultant sheets for medical results and required follow-up.

Any need that warrants a protocol, guideline or program should be reflected in the Action Plan of the individual's Person Centered Plan. Timeframes for completion should be listed in the PCP Action Plan. However, any issue or concern that poses an immediate risk must be addressed immediately. Evidence may be found throughout the individual's PCP. As part of the assessment review, the individual and his or her planning and support team shall complete and review the Level of Need (LON). Any identified significant needs or risks from the LON need to be addressed in some manner within the body of the PCP or in

an Action Step – look for needed /current assessments, screenings, evaluations, and reports that are available or needed by the individual. The individual's record, including assessments, shall include the status of current and needed healthcare. Reviewers should also look for needed and current Guidelines and Protocols in addition to the list above.

Documentation must be available to show what type of support the nurse is providing. If a nurse is provided through a Healthcare agency, the individual must sign a release so that copies of the agency's documentation of services provided are available in the home.

Self-Administration of Medication Assessments: All individuals are required to have a baseline assessment on file. This assessment of the individual's ability to self-medicate must be conducted by a Registered Nurse licensed in Connecticut, utilizing the DDS approved format. The RN must identify on at least an annual basis that the assessment remains current. An updated assessment shall be completed whenever there is a change in the individual's self-administration abilities.

Any paid supports need to be reflected within an Action Step.

Refer to PCP, Home Life, Work, Day, Retirement or School, Health and Wellness, Action Plan, Summary of Supports and Services, and Individual Progress Reviews.

Refer to DDS A Guide to Individual Planning
Refer to CT DDS Person Centered Planning Providers Presentation (June 2018)
Refer to CT DDS Person Centered Planning Case Manager Training with slides (June 2018)

Refer to DDS Health Standard #09-1, Routine Preventative Health Care and Attachment A, Minimum Preventative Care Guidelines. Refer to Health Standard #9-02 Guidelines for Deferred, Limited, or Declined Healthcare.

Refer to DDS Medical Advisory #14-1 Revised #89-1, 93-1, 97-1, 99-3) September 2014

For Bed and side rail safety: Bed safety audits must be completed at least annually. Refer to DDS Health Bulletin #98-4 R Bed and Side Rail Safety (Rev.10/2000).

Aquatic Activity Screening: Refer to DDS Health Standard No.:17-1 Water Safety

An individual's Bathing Guideline identifies the level of supervision needed and whether or not the individual can safely regulate water temperature. Refer to Safety Alert "Bathing and Personal care" issued 12/19/00, reissued 5/13/10.

The individual's Person Centered Plan shall consider the individual's need to participate in training for the detection and prevention of abuse and neglect, and to learn about economic supports (i.e. insurances, benefits, income). This includes individualized training on procedures to educate the individual about abuse and neglect detection and prevention if appropriate.

For day services, this Indicator refers to assessments, etc., relevant to the day service circumstances.

In a family setting (FAM), (for medical appointments) documentation may be found in the family home for people who hire their own staff. The reviewer should ask the individual or personal representative if there have been any medical visits and if there is any documentation kept in these areas e.g. calendar. The reviewer should rate "Met" when the family reports that they have had a medical appointment even if documentation is not available. Families often do not keep documentation of visits and do not send all information to their Case Manager; otherwise, documentation will be maintained in the case management record.

In family settings (FAM), when there is not an agency providing supports, review Case Management Record only. When an agency is providing the FAM supports, review the agency's record for the individual.

For DDS Family Respite Centers, refer to the Guest Profile and other respite documents identified in DDS procedures. Refer to DDS Family Respite Center forms (attachments B, C and D- physician's orders).

Refer to DDS CLA Licensing Regulation: 16d, 17e, 17k, 18a4A, 18a4B, 17k states the OPS planning process shall be conducted annually based on an annual assessment of the individuals functioning skills.

Corrective Action Plan (CAP) follow up expectation is 4 weeks

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R FAM

All Indicators

State Quality Monitor

D 9

The individual's Person Centered Plan identifies behavioral issues and strategies, as applicable.

Behavior Plans and strategies shall be identified in the Health and Wellness section of the PCP, and identified in the Action Plan, Individual Progress Reviews. The PCP shall specify in which settings/supports the strategies are to be utilized.

In family settings (FAM), when there is not an agency providing supports, review Case Management Record only. When an agency is providing the FAM supports, review the agency's record for the individual.

For individuals living in private ICF/IID homes, this Indicator is to be rated "Not Rated" for the following service types: CLA, DSO, GSE, SEI.

Refer to DDS CLA Licensing Regulation: 17f

Refer to CT DDS Person Centered Planning Case Manager Training with slides (June 2018) Reviewer should also note that all modifications are documented in the IP if there are any restrictions in place that conflict with CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks

R FAM

All Indicators

State Quality Monitor

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D 10

The individual's Person Centered Plan identifies any supports that require coordination across settings.

The intent of this indicator is to determine that all supports and services that are needed in more than one service type / setting, are clearly documented in the individual's Person Centered Plan. Typically this should be noted in the Action Plan. Settings include home, work and the community. Coordination of supports across settings may include, but not be limited to: specialized diets, medical concerns, Behavior Support Plans and adaptive equipment needs.

For individuals living in private ICF/IID homes, this Indicator is to be rated "Not Rated" for the following service types: CLA, DSO, GSE, SEI.

Refer to DDS CLA Licensing Regulation: 17f

Refer to DDS Guide to Individual Planning

Refer to CT DDS Person Centered Planning Case Manager Training with slides (June 2018) Reviewer should also note that all modifications are documented in the IP if there are any restrictions in place that conflict with CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks

R FAM

Case Management As A Service

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State Quality Monitor

D 12

There is evidence that, if necessary, the individual is supported to obtain a legal representative to manage his or her finances.

The need for a legal representative to manage the individual's finances may be identified in the PCP, Home Life, Action Plan, Summary of Representation, Participation & Plan Monitoring, Individual Progress Reviews, provider Financial Assessments. If there is a noted need for the individual, either in the PCP, individual's records, and/or LON, is there evidence that a legal representative is in place for the individual, or that the team is assisting the individual to locate one?

A legal representative may be a conservator.

In family settings (FAM), when there is not an agency providing supports, review Case Management Record only. When an agency is providing the FAM supports, review the agency's record for the individual.

For individuals living in private ICF/IID homes, this Indicator is to be rated "Not Rated" for the following service types: CLA, DSO, GSE, SEI.

Refer to DDS Guide to Individual Planning

Refer to CT DDS Person Centered Planning Case Manager Training with slides (June 2018) Corrective Action Plan (CAP) follow up expectation is 4 weeks

FAM

Case Management As A Service

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D 22 There is evidence that the individual has the support of a guardian or advocate as needed.

The intent of this Indicator is to determine that there is documentation identifying the individual's guardianship status. There shall be documentation that the individual's guardianship is reviewed by the Probate Court at least every three years. State law was amended in 2004 such that, for persons DDS determines to be "severe" or "profound", DDS need not submit a report for the 3-year review, unless specifically required by the Probate Court.

There shall be evidence that the individual's team has addressed any identified need for an advocate, guardian or a change in guardianship.

Review the individual's Person Centered Plan - Refer to Home Life, Action Plan, Summary of Representation, Participation & Plan Monitoring, Individual Progress Reviews, LON, regarding the individual's guardianship status and need for one. If there is an identified need, is the team assisting the individual to locate one?

In family settings (FAM), when there is not an agency providing supports, review Case Management Record only. When an agency is providing the FAM supports, review the agency's record for the individual.

Refer to DDS CLA Licensing Regulation: 16f Corrective Action Plan (CAP) follow up expectation is 4 weeks

FAM All Indicators

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D 24 The Person Centered Plan identifies the supports the individual needs to manage his or her finances.

Review the individual's Person Centered Plan – Refer to Home Life (Finances Section), Action Plan, Summary of Representation, Participation & Plan Monitoring, Individual Progress Reviews, LON and provider Financial Assessments.

For individuals living in private ICF/IID homes, this Indicator is to be rated "Not Rated" for the following service types: CLA, DSO, GSE, SEI.

Refer to CT DDS Person Centered Planning Providers Presentation (June 2018)

Refer to CT DDS Person Centered Planning Case Manager Training with slides (June 2018) Corrective Action Plan (CAP) follow up expectation is 4 weeks

FAM All Indicators

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D 43b After the PCP development, providers obtain needed assessments, screenings, evaluations, reports and/or profiles and/or follow-up on recommendations.

The intent of this Indicator is to determine if providers have obtained needed assessments, screenings, evaluations, and reports in a timely manner.

Refer to the individual's Person Centered Plan, Home Life, Work, Day, Retirement or School, Health and Wellness, Action Plan, Summary of Supports and Services, and Individual Progress Reviews to determine what was identified and if these have been addressed within the timeframes specified in the individual's PCP.

Review the individual's record to determine whether the required assessments, screenings and evaluations and reports on file in the individual's records. Have they been implemented within the specified timeframes? If there has been a delay, there is documentation from the provider / team noting the reason for the delay, the rationale and when it is expected to be completed.

Refer to DDS A Guide to Individual Planning

Refer to CT DDS Person Centered Planning Providers Presentation (June 2018)

Refer to CT DDS Person Centered Planning Case Manager Training with slides (June 2018) Corrective Action Plan (CAP) follow up expectation is 4 weeks

R **FAM** All Indicators

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Service: "FAM" Active Indicator? "Yes"

D 44 The individual's Person Centered Plan identifies health and safety issues and strategies.

The intent of this Indicator is to determine if the individual's Person Centered Plan identifies health and safety issues and strategies for the individual and how they will be managed. What is needed to improve the individual's health and safety? Are the individual's needs in this area identified and consistent with the individual's records and reports on file? For example, if it is noted that the individual has a seizure disorder, is there a Seizure Protocol, specific to the individual, noted in the Person Centered Plan and on file in the individual's records? Reviewer should look for consistency across the individual's records.

Refer to the Level of Need (LON), PCP, Home Life, Work, Day, Retirement or School, Health and Wellness, Action Plan, Summary of Supports and Services, and Individual Progress Reviews.

Review the individual's Person Centered Plan to determine if the individual's current health and safety needs are identified and addressed in the Person Centered Plan, and the required assessments, screenings, evaluations, and reports that are required and/or needed have been identified in the Action Plan and/or the Health and Wellness areas of the Person Centered Plan. This includes Behavior Plans, adaptive equipment, medications, a brief overview of health history, allergies.

In family settings (FAM), when there is not an agency providing supports, review Case Management Record only. When an agency is providing the FAM supports, review the agency's record for the individual.

For individuals living in private ICF/IID homes, this Indicator is to be rated "Not Rated" for the following service types: CLA, DSO, GSE, SEI.

Refer to DDS CLA Licensing Regulation: 17e

Refer to DDS A Guide to Individual Planning

Refer to CT DDS Person Centered Planning Providers Presentation (June 2018)

Refer to CT DDS Person Centered Planning Case Manager Training with slides (June 2018)

Reviewer should also note that all modifications are documented in the IP if there are any restrictions in place that conflict with CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 2 weeks.

R **FAM** Case Management As A Service

State Quality Monitor
State Quality Monitor

D 33 The Person Centered Plan documents responsiveness to the individual's requests to make changes in supports and services or providers, if applicable.

The intent of this Indicator is to ensure that there is documentation available to show that the individual's team and/or provider has responded to the individual's requests to make changes in supports, services and/or providers.

Evidence exists in the Person Centered Plan or Individual Progress Reviews that demonstrate that if the individual requested a change there was a response to this request. For example, implementation of the portability process, changes in service type, or amount of support is documented. The individual's Person Centered Plan has been modified to reflect changes in the individual's life goals, circumstances or preferences. Reviewer to look in the Home Life, Work, Day, Retirement or School, Health and Wellness, Action Plan, Summary of Supports and Services, sections of the Person Centered Plan for preferences and goals that may indicate a request for change, and look in Individual Progress Reviews and individual's records for carry through and implementation of requests for changes in supports and services or provider, as applicable.

Refer to the individual's current PCP, Individual Progress Reviews of the Plan, etc.

In family settings (FAM), when there is not an agency providing supports, review Case Management Record only. When an agency is providing the FAM supports, review the agency's record for the individual.

For individuals living in private ICF/IID homes, this Indicator is to be rated "Not Rated" for the following service types: CLA, DSO, GSE, SEI.

Refer to Procedure No. I.C.1.PR.002b Subject: Planning and Support Team

Refer to DDS A Guide to Individual Planning

Refer to DDS CLA Licensing Regulation: 17h This indicator also measures CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks

R **FAM** All Indicators

State Quality Monitor
State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

D 15 Individual Progress Reviews identify that the provision of needed supports and services is documented and progress is reviewed.

Refer to "A Guide to Individual Planning". On an ongoing basis, the planning and support team will discuss any significant changes in the person's life that warrant a revision of the person's IP. The planning and support team will identify the nature and minimum frequency of plan reviews and shall meet to review and update the individual plan at least annually. A formal review of the individual plan may be requested at any time by a planning and support team member. In cases where more frequent meetings or progress reports are required by other state or federal regulations, the more stringent requirements shall prevail. Substantial changes in the person's individual plan require formal agreement and documentation by the planning and support team. Revisions to the person's IP should be documented.

Reviews pertain to teaching strategies, nursing care plans, protocols and guidelines. Reviews indicate that supports or services were provided as identified in the person's IP. Follow-up in all areas of the IP is documented and reported on. Corrective Action Plan (CAP) follow up expectation is 4 weeks.

See: SPI 5

Refer to: IP.6 (Summary of Supports and Services), IP.11 (Signature Sheet), IP.12 (Periodic Review)

Reference: DDS CLA Licensing Regulations: 17 h, 17 j

Reference: DDS Procedure No. I.C.1.PR.002b

R **FAM** All Indicators
State Quality Monitor

D 18 Individual Progress Reviews reflect progress on personal outcomes identified in the individual's plan.

The intent of this Indicator is to ensure that the service provider reviews and documents progress on the specific personal outcomes and actions for which they are responsible as outlined in the Action Plan of the individual's Person Centered Plan.

The provider should have documentation that a review has been made based on written, measurable, goals as identified in the Action Plan of the individual's Person Centered Plan.

This Indicator will be considered "Met" when the individual's record indicates that there is documentation that the provider has reviewed one or more personal outcomes noted in the Action Plan of the individual's Person Centered Plan that the provider is responsible for.

In family settings (FAM), when there is not an agency providing supports, review Case Management Record only. When an agency is providing the FAM supports, review the agency's record for the individual.

For individuals living in private ICF/IID homes, this Indicator is to be rated "Not Rated" for the following service types: CLA, DSO, GSE, SEI.

Refer to DDS CLA Licensing Regulation: 17h

Refer to DDS A Guide to Individual Planning This indicator also measures CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks

FAM All Indicators
State Quality Monitor
State Quality Monitor

D 21 The Person Center Plan or Individual Progress Reviews document the individual's satisfaction with supports and services.

The intent of this Indicator is to ensure that there is documentation available regarding the individual's satisfaction with supports and services.

Reviewer should review Individual Progress Reviews, the individual's record for provider "satisfaction" surveys and any documentation within the individual's Person Centered Plan, under the "Home – satisfaction", "Work, Day, Retirement or School", "Health and Wellness" sections of the individual's PCP, that relate to and indicate the individual's and/or their family's/guardian's satisfaction with supports and services that the individual is receiving. If there have been concerns with satisfaction, then there needs to be documentation to show that the provider has taken steps to resolve the identified issues/concerns.

In family settings (FAM), when there is not an agency providing supports, review Case Management Record only. When an agency is providing the FAM supports, review the agency's record for the individual.

For individuals living in private ICF/IID homes, this Indicator is to be rated "Not Rated" for the following service types: CLA, DSO, GSE, SEI.

Refer to DDS A Guide to Individual Planning

Refer to CT DDS Person Centered Planning Providers Presentation (June 2018)

Refer to CT DDS Person Centered Planning Case Manager Training with slides (June 2018) This indicator also measures CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks

FAM All Indicators
State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

D 23 The individual's record contains necessary notifications, including information shared with the individual and their representatives.

The intent of this Indicator is to ensure that there is documentation available to show that the individual and his or her representatives have been properly notified as required.

Refer to the individual's Person Centered Plan - Individual Plan Signature Sheet – Annual Notifications Section.

In family settings (FAM), when there is not an agency providing supports, review Case Management Record only. When an agency is providing the FAM supports, review the agency's record for the individual.

For individuals living in private ICF/IID homes, this Indicator is to be rated "Not Rated" for the following service types: CLA, DSO, GSE, SEI.

Refer to DDS CLA Licensing Regulation: 15a1

Refer to the Individual Plan Signature Sheet for Annual Notifications – Other Notifications section to see if appropriate "check boxes" have been completed and checked off for annual notifications,

Refer to CT DDS Person Centered Planning Providers Presentation (June 2018)

Refer to CT DDS Person Centered Planning Case Manager Training with slides (June 2018) Corrective Action Plan (CAP) follow up expectation is 4 weeks

R **FAM** Case Management As A Service

State Quality Monitor
State Quality Monitor

D 58 The individual has been informed of the complaint procedure to follow if he or she is not satisfied with his or her services and supports.

The intent of this Indicator is to ensure that there is documentation available to show that the individual and his or her representatives have been informed of the complaint procedure to follow if he or she is not satisfied with the services and supports being reviewed.

Refer to agency policy and see if there is a documented complaint process. Documentation may include but is not limited to: consumer handbook, resident rights, agency policy, etc.

Refer to the individual's Person Centered Plan, Individual Progress Reviews to see if providers have documented informing the individual of their complaint process if they are not satisfied with services and supports that are being provided by the provider.

Verify that the individual and/or guardian have signed an acknowledgement of the agency's grievance procedure.

In a family setting (FAM), review the Case Management file only when there is not an agency providing the FAM supports. When an agency is providing the FAM supports, review the agency's records for the individual This indicator also measures CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks

FAM All Indicators
State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

D 40

The individual's record contains documentation on DDS Form 255's for incidents of injury, restraint, unusual incidents and medication errors, and documentation to show that incidents and accidents have been reported, investigated and followed-up as appropriate.

The intent of this Indicator is to determine if the provider is routinely reporting all incidents and accidents using the DDS 255 Incident Report Forms and Critical Incident Follow-Up Form as necessary and is maintaining a copy of DDS 255's & 255m's at the service location

Review the individual's file to see if the DDS 255's & 255m's are on file for incidents involving injuries, unusual incidents, hospitalizations including ER & Walk-in visits, use of restraint and medication errors. Some providers use "incident reports" similar to the DDS 255 and DDS 255m, within their electronic documentation systems. This is acceptable. However, if documents for incidents cannot be located within the electronic system and/or the system is "down" or not working at the time of the review, the provider will have 24 -48 to provide the report to the reviewer, or it will be rated as "Not Met".

Verify that Follow-up is complete for all incidents and accidents that warrant follow up (e.g., follow-up may be by a nurse, team, clinician or other professional).

Discovery of accidents and incidents may occur in the course of reviewing documentation in general. For example, a provider log or nursing progress note may indicate an occurrence of an incident or accident. If so, look for related incident and accident reports completed by the provider.

Refer to DDS Procedure I.D.PR.009 Incident Reporting. This procedure delineates a standard process for reporting, documentation and follow-up, along with Attachments A – L.

For Individuals who live in Own/Family Home and receive DDS funded services, refer to I.D.PR.009a.

In a family setting (FAM), review the Case Management file only when there is not an agency providing the FAM supports. Documentation may be found in the family home for people who hire their own staff. The reviewer should ask the individual or personal representative if there is any documentation kept in these areas. Otherwise, documentation will be maintained in the case management record and with the FI record. When an agency is providing the FAM supports, review the agency's records for the individual. Corrective Action Plan (CAP) follow up expectation is 2 weeks as this indicator is identified as health and safety concern.

FAM

[All Indicators](#)

State Quality Monitor

D 54

The individual has not experienced abuse or neglect.

The intent of this Indicator is to determine if the individual has experienced substantiated abuse and/or neglect involving the service being reviewed.

The reviewer shall reference eCAMRIS prior to the review to identify reports of abuse or neglect.

At the time of the review, the reviewer shall ask the provider to identify reports of abuse or neglect.

Rate "Not Met" if the individual has experienced substantiated abuse or neglect during the review period, for the service being reviewed.

Rate "Not Rated" if an investigation is pending, for the service being reviewed.

This Indicator shall not be rated "N/A".

In a family setting (FAM), review the Case Management file only when there is not an agency providing the FAM supports. When an agency is providing the FAM supports, review the agency's records for the individual.

Refer to DDS CLA Licensing Regulation: 15a4a, 15a4C

Refer to DDS Policy and Procedure:

I.F. PO.001: Abuse and Neglect

I.F. PR.001: Abuse and Neglect, Allegations: Reporting and Intake Processes

I.F. PR.003: Abuse and Neglect, Investigation: Assignment, Tracking, Review, Completion

I.F. PO.004: Abuse and Neglect: Recommendations and Prevention Activities Corrective Action Plan (CAP) follow up expectation is 2 weeks as this indicator is a health and safety concern.

FAM

[All Indicators](#)

State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

D 46

The individual's record shows policies and procedures were followed, and follow-up to Abuse and Neglect concerns regarding the individual, including notification to families.

The intent of this indicator is to verify that policies and procedures were followed if there was a report of abuse or neglect, including documentation detailing follow-up and notification to families and guardians.

Refer to DDS Policy and Procedure I.F.PO.001, Abuse and Neglect.

Refer to DDS Procedure I.F.PR.002, Abuse and Neglect/Notification.

The individual's record verifies that all allegations of abuse or neglect were made within required time frames ("report, or cause a report to be made to Office of Protection and Advocacy [OPA] as soon as is practically possible upon noticing or learning of the suspected abuse or neglect"/DMR OPA Interagency Agreement) and to appropriate agencies: OPA if the individual is between 18-59 years of age; Department of Children and Families (DCF) if the individual is under 18 years of age; Department of Social Services (DSS) if the individual is 60 years of age or over; and Department of Public Health (DPH) if a medical facility or provider is licensed by the DPH.

Documentation verifies an investigation was completed, with a subsequent determination. If abuse or neglect was substantiated, and recommendations were a result of that determination, documentation verifies implementation of the recommendations. If recommendation(s) were not implemented, documentation reflects rationale for no implementation.

If the individual is between 18-59 years of age, Protective Services, or Immediate Protective Services, may be warranted and imposed by the OPA. Protective Services are actions intended to prevent abuse or neglect, and include, but are not limited to: the provision of medical care for physical and mental health needs; the provision of support services in the facility (if applicable), including the time limited placement of department staff in such facility; the relocation of a person with an intellectual disability to a facility able to offer such care; assistance in personal hygiene; food; clothing; adequately heated and ventilated shelter; protection from health and safety hazards; protection from maltreatment, the result of which includes, but is not limited to, malnutrition, deprivation of necessities or physical punishment; and transportation necessary to secure any of the above-stated services. Documentation verifies the development and submission to the OPA of a Protective Service Plan within fifteen calendar days from receipt of the investigation report. The commencement of Immediate Protective Services shall occur prior to receipt of the completed investigation report.

Subsequent to the initial provision of protective services, the individual's record contains evidence of review of the plan, including meeting with the individual at least once every six months, to determine whether continuation or modification of the services is warranted. The review of the protective service plan also verifies implementation across all applicable settings.

In a family setting (FAM), review the Case Management file only when there is not an agency providing the FAM supports. When an agency is providing the FAM supports, review the agency's records for the individual. Corrective Action Plan (CAP) follow up expectation is 2 weeks as this indicator is identified as a health and safety concern.

Refer to DDS CLA Licensing Regulation: 15a4A, 15a4C, 15a4D

R

FAM

All Indicators

State Quality Monitor

D 7a

The individual receives necessary oral and dental care including assessment, treatment and follow-up.

The intent of this Indicator is to see that required oral/dental care assessments and appointments are current and documented in the individual's record. Oral/dental appointments are to occur in the required time frames as recommended by the dentist / hygienist, or others making the dental referral request. Reference oral/dental reports and consultant sheets for results and required follow-up.

Refer to the Person Centered Plan, Home Life, Work, Day, Retirement or School, Health and Wellness, Action Plan, Summary of Supports and Services, and Individual Progress Reviews as evidence may be found throughout the individual's PCP.

Refer to DDS Health Standard #09-1, Routine Preventative Health Care and Attachment A, Minimum Preventative Care Guidelines.

Refer to Health Standard #9-02 Guidelines for Deferred, Limited, or Declined Healthcare.

In a family setting (FAM), documentation may be found in the family home for people who hire their own staff. The reviewer should ask the individual or personal representative if there have been any oral/dental visits and if there is any documentation kept in these areas e.g. calendar. The reviewer should rate "Met" when the family reports that they have had an oral/dental appointment even if documentation is not available. Families often do not keep documentation of visits and do not send all information to their Case Manager; otherwise, documentation will be maintained in the case management record.

When an agency is providing the FAM supports, review the agency's records for the individual. Corrective Action Plan (CAP) follow up expectation is 4 weeks

R

FAM

All Indicators

State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

D 7b Support providers carry out all health related orders as determined by health care professionals.

The intent of this Indicator is to see that required health related orders are current and documented in the individual's record. This may be for medication, treatment or follow-up appointments.

Review medical reports, assessments, physician's orders and consultant sheets for recommended assessments, treatment and follow-up. Documentation shall reflect that the individual's support team and health care provider(s) have considered and implemented all health related orders and recommendations. This applies to medical treatment, special dietary requirements, occupational therapy, physical therapy, and other therapeutic services.

Review the individual's record to verify documentation for results and required follow-up.

Refer to the Person Centered Plan, Home Life, Work, Day, Retirement or School, Health and Wellness, Action Plan, Summary of Supports and Services, and Individual Progress Reviews as recommendations and evidence may be found throughout the individual's PCP.

Refer to DDS Health Standard #09-1, Routine Preventative Health Care and Attachment A, Minimum Preventative Care Guidelines.

Refer to Health Standard #9-02 Guidelines for Deferred, Limited, or Declined Healthcare.

For review purposes, D7b does not apply to medication administration or dental orders.

In a family setting (FAM), documentation may be found in the family home for people who hire their own staff. The reviewer should ask the individual or personal representative if there have been any medical visits and if there is any documentation kept in these areas e.g. calendar. The reviewer should rate "Met" when the family reports that they have had a medical appointment even if documentation is not available. Families often do not keep documentation of visits and do not send all information to their Case Manager; otherwise, documentation will be maintained in the case management record.

When an agency is providing the FAM supports, review the agency's records for the individual. Corrective Action Plan (CAP) follow up expectation is 4 weeks

• **FAM** All Indicators
State Quality Monitor

D 8 There is evidence the individual experiences prompt treatment, management and follow-up services for his or her health issues upon identification.

Timely medical follow-up should be provided to the individual as recommended by his/her health care providers.

Reference: IP.4

Refer to DDS CLA Licensing Regulations: 18 a3A, 18 a4A, 18 a4B Corrective Action Plan (CAP) follow up expectation is 4 weeks

• **FAM** All Indicators
State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

D 35

Support person training regarding the individual's health, safety, and plan is documented.

The intent of this Indicator is to determine if the support person interviewed for the review is trained in all areas necessary to support the individual.

□

Refer to the PCP Home Life, Action Plan, Summary of Supports and Services, Individual Progress Reviews to determine individual's health and safety needs.

Ensure that documentation is on file that staff have been trained in all individual protocols, guidelines, procedures, individual specific plans, RN Delegated Tasks,

etc. that are included and identified in the PCP.

□

There is documentation that the support person is trained within 30 days of hire and prior to working alone regarding the individual's health, safety and programmatic support needs including the PCP, LON and DDS Aquatic Safety Screening. This may include training on the individual's behavior support plan, dietary needs, OT/PT protocols, nurse delegated tasks, and other needed guidelines and protocols, etc. Individual-specific training will occur at least annually and

whenever there are changes in the individual's health, safety and plan.

□

Additionally, in all services in which there is a public or private provider agency delivering services, there is documentation that the support person is trained in

the following areas:

□

Within 30 days of hire and prior to working alone, then ongoing as new Active Safety Alerts are issued:

Active DDS Safety Alerts

□

Within 30 days of hire, prior to working alone and, annually thereafter:

Blood borne Pathogens

Emergency Relocation including the Red Book

DDS Fire Safety

□

Within 30 days of hire, prior to working alone, and every two years thereafter:

Provider Policies and Procedures

Health Standard No.: 16-2 Safe Eating and Drinking Guidelines for Individuals with Swallowing Difficulties (Dysphagia)

Communicable Disease Control

Hazardous Materials Handling

Signs and Symptoms of Disease and Illness

Basic Health and Behavioral Needs

Emergency Procedures (Emergency Plan)

Seizures

□

Note: For Dysphagia training - All qualified trainers in safe eating and drinking and swallowing risks shall utilize the DDS training curriculum. Training in safe eating and drinking and swallowing risks shall be provided by a qualified trainer.

□

□

Within 30 days of hire, prior to working alone, and at a frequency determined by the provider policy: □

HIPAA and confidentiality

Health Standard No.: 17-1 Water Safety

□

Note: The absence of a provider policy re. follow-up training will be rated as "Not Met"

□

□

Within six months of hire for Private Provider Employees (one and done, unless provider policy specifies otherwise).

DDS – Approved ADA Training

□

Note: Best Practice is to renew ADA Training annually.

□

□

Within six months of hire and annually, thereafter for DDS (public employees):

DDS – Approved ADA Training

□

□

Within six months of hire and annually, thereafter:

Alzheimer and Dementia Care

Note: This is required in all residential settings that support individuals who are 50 years old, or older and with Down Syndrome.

□

For CLA, CRS, ICF, etc. – Look for documentation that at least one staff per home is trained in Alzheimer and Dementia Care

For CCH – Look for documentation that the Licensee is trained in Alzheimer and Dementia Care

□

□

Within six months of hire and every two years thereafter:

Individual Program Planning Process

First Aid (Note: Where certification exceeds this timeframe, for example Red Cross, this shall be considered "Met")

Behavioral Emergency Techniques (note: the retraining requirements of the DDS-approved curriculum must be implemented to be considered "Met", for example PMT).

□

Additionally, in CLAs:

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

Within 30 days of hire and prior to working alone, and every two years thereafter:

Routines of the residence

▮

Refer to provider staff development policies and procedures to determine if any additional provider-mandated training is completed as required.

▮

When providers utilize the "train the trainer" model for training staff, there should be documentation on file to show that the subject matter expert – topic specialist

(for example, OT, PT) trained a staff person or the nurse to train others.

▮

Refer to:

DDS Policy II-D-PO-5, "Staff Training"

Health Standard No.: 17-1 Water Safety

CLA Licensing regulation, 17a-227-14

Health Standard No.: 16-2 Safe Eating and Drinking Guidelines for Individuals with Swallowing Difficulties (Dysphagia)

DDS Safety Alerts

DDS "Fire Safety Prevention, Safety Training and Awareness"

Department of Labor (OSHA) Standard Corrective Action Plan (CAP) follow up expectation is 2 weeks as this indicator is identified as a health and safety concern.

R

FAM

All Indicators

State Quality Monitor

D 55

The support person has documented training regarding individual rights.

The intent of this Indicator is to determine that the support person who is interviewed for this review has documentation of training in Human (Individual) Rights.

Initial training should be completed within 30 days of hire, and before working alone. Refer to provider policies and procedures regarding the frequency of re-training.

In a family setting (FAM), when there is not an agency providing the FAM supports, review the Fiscal Intermediary record. When an agency is providing the FAM supports, review the agency's records. Corrective Action Plan (CAP) follow up expectation is 4 weeks

R

FAM

All Indicators

State Quality Monitor

D 56

The support person has documented training regarding abuse and neglect reporting and prevention.

Review the training record of the support person interviewed for this QSR to determine that annual Abuse and Neglect reporting and prevention is documented. Support person training should occur within 6 months of hire, and then annually thereafter.

Refer to DDS Policy and Procedure:

I.F. PO.001: Abuse and Neglect

I.F. PR.001: Abuse and Neglect, Allegations: Reporting and Intake Processes

I.F. PR.004: Abuse and Neglect: Recommendations and Prevention Activities

▮

In a family setting (FAM), when there is not an agency providing the FAM supports, review the Fiscal Intermediary record. When an agency is providing the FAM supports, review the agency's records.

▮

Refer to DDS CLA Licensing Regulation: 14c3 Corrective Action Plan (CAP) follow up expectation is 2 weeks as this indicator is identified as a health and safety concern.

R

FAM

All Indicators

State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

O Observation

O 26 The individual shows satisfaction with things that he or she chooses to do.

The intent of the indicator is to determine through observation, if the individual appears satisfied with activities around the home, at work or in the community. This also includes satisfaction with leisure activities, relationships and lifestyle preferences. This indicator also measures CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks

FAM All Indicators

State Quality Monitor

State Quality Monitor

O 2 The individual is treated by staff in a respectful and dignified manner.

The intent of this indicator is to determine if support persons treat the individual respectfully. The individual is referred to by name and spoken to in friendly, respectful tones. The individual is introduced to new people and included in conversations. The individual is not touched nor is his/her wheelchair moved without permission. Support persons do not ignore the individual. The individual is provided with personal appearance/grooming support as desired and/or needed.

If immediate jeopardy situation refer to: J1, Abuse or neglect observed or reported. Corrective Action Plan (CAP) follow up expectation is 2 weeks as this indicator identified as a health and safety concern.

FAM All Indicators

State Quality Monitor

O 5 The individual exercises rights as he or she chooses.

The intent of this indicator is to observe that the individual's rights are supported and promoted. Examples include but are not limited to; use of the telephone or internet, access to personal mail, access to funds, access to privacy, to be free from unnecessary restraint, to be free from unnecessary restrictions, to be free from abuse and neglect, the right to prompt medical and dental treatment, the right to vote, the right to practice chosen religious beliefs, and the right to make daily choices about what to eat, wear and who to associate with.

Refer to Connecticut General Statutes, 17a-238 This indicator also measures CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks

FAM All Indicators

State Quality Monitor

O 9 Support persons follow policies and procedures, as applicable, that affect restrictions of the individual's rights.

Are restrictive procedures, as identified on the individual's PRC/HRC request approvals, implemented correctly? Rate this Indicator based on observations of support person's actions relevant to the individual that may involve restrictions of his or her rights.

Observe if restrictive procedures are done according to DDS policy and procedure. Refer to: DDS Manual, Service Delivery – I.D. PR.009 Incident Reporting Attachments A-K, I.D. PR.011 Incident Reporting own home, I.E. PO.003 Behavior Medications, I.E. PO.004 PRC, IE PR.003 Behavior Modifying Medication Attachments A+B, IE PR.004 PRC Attachments A-F, IE PR.006 Pre-Sedation, I.F. PO.001 Abuse and Neglect, I.F. PR.001 Abuse and Neglect.

If immediate jeopardy situation, refer to: J19 Untrained staff (safety issues, behavioral interventions, medication administration, emergency plan). Reviewer should also note that all modifications are documented in the IP if there are any restrictions in place that conflict with CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks

FAM All Indicators

State Quality Monitor

O 3 The individual has privacy when he or she wants or needs it.

The intent of this indicator is to determine if the person is afforded privacy. Privacy may involve having locks on doors, personal access to a phone, access to own mail, personal space for possessions, visits with friends and family in private, etc. The individual's confidential information is not posted in view. Support staff discuss health care needs and personal issues with the individual privately. If desired, is there opportunity for the person to have privacy and/or time away from others? If sharing a room, consider how comfortable the person is with privacy arrangements with roommate.

Refer to behavior program and/or supervision guidelines as needed.

Refer to Connecticut General Statute 17a-238(b)
Corrective Action Plan (CAP) follow up expectation is 4 weeks

This indicator also measures CMS settings rule compliance.

FAM All Indicators

State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

- O 6** The environment supports the individual's needs, abilities, and interests.
- The intent of this indicator is to observe and determine if the environment supports the needs, abilities and interests of the individual. For example, has the environment been adjusted for a person with limited mobility or visual impairment? Does the environment have accessible bathrooms for individuals who use adaptive equipment? Is there enough room to navigate around the environment for individuals using walkers and wheelchairs? Is space available for individuals to pursue personal hobbies? Corrective Action Plan (CAP) follow up expectation is 4 weeks
- FAM** Cultural Competency
State Quality Monitor
State Quality Monitor
- O 15** Adaptive equipment and assistive technology, if needed, is used by the individual to increase his or her independent participation in daily activities.
- The intent of this Indicator is to determine if the individual is using adaptive equipment/assistive technology as identified in the Person Centered Plan.
- Look for physician's orders to identify needed equipment, technology and devices. This may include hearing aids, glasses, switch plates, communication boards and devices, dining equipment, barrier-free lifts, transportation needs, bed shakers, strobe lights, etc. Observe if support persons ensure that identified equipment, technology and devices are used. Observations should be consistent with appropriate and safe use of adaptive equipment as identified in the individual's PCP. Observe during times that the individual would typically use the adaptive equipment.
- If Immediate Jeopardy situation, refer to: J19 Untrained Staff. Corrective Action Plan (CAP) follow up expectation is 4 weeks
- FAM** All Indicators
State Quality Monitor
- O 4** The individual is supported to make choices in all areas observed.
- The intent of this indicator is to determine if the person is routinely afforded choice. Support staff offer and encourage personal choice of activities, food and beverages, privacy, entertainment, etc.
- If not observed, rate "Not Rated". This indicator also measures CMS final settings rule compliance. Corrective Action Plan (CAP) follow up expectation is 4 weeks
- FAM** All Indicators
State Quality Monitor
- O 10** Support persons communicate in effective ways the individual can understand and takes the time to listen to the individual and are responsive when the individual communicates.
- The intent of this indicator is to determine if support staff communicate effectively with the person. Support persons rephrase comments to assure the person understands the discussion, and give the individual time, as needed, to respond. Support persons use speech, signing, gestures, question cues, communicate in the individual's native language, use adaptive equipment if applicable, offer clear choices and acknowledge the individual's responses, etc.
- Refer to behavior and/or communication guidelines as applicable. Corrective Action Plan (CAP) follow up expectation is 4 weeks
- FAM** All Indicators
State Quality Monitor
State Quality Monitor
- O 17** Support persons respond to the individual's needs for assistance.
- The intent of this indicator is to observe if support staff respond to an individual's need for assistance. Responses must be prompt, meaningful and respectful. Corrective Action Plan (CAP) follow up expectation is 4 weeks
- FAM** All Indicators
State Quality Monitor
- O 14** Support persons recognize and use naturally occurring opportunities when teaching.
- Support persons use incidental and informal teaching that occurs naturally and spontaneously in the course of daily events. Teaching that occurs naturally may or may not be related to an PCP goal. If there is no opportunity to observe natural teaching, rate "Not Rated." Corrective Action Plan (CAP) follow up expectation is 4 weeks
- FAM** All Indicators
State Quality Monitor
- O 13** The individual is supported to accomplish outcomes as identified in his or her plan.
- The intent of this indicator is to determine if the plan is being implemented as designed. The supports and services identified in the individual's plan are coordinated and integrated in observed settings.
- The supports and services identified in the DDS Family Respite Center visit forms are coordinated and integrated as necessary. Corrective Action Plan (CAP) follow up expectation is 4 weeks
- FAM** All Indicators
State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

- O 7** Sufficient support persons are available to meet the individual's support and service needs identified in his or her Plan.
- The intent of this Indicator is to determine if sufficient support persons are on duty to carry out the individual's PCP, as well as, meet the needs of the other individuals receiving support in the setting.
- Review the support person's schedule for the visit day, as needed, and compare to on duty support persons. If possible, observe during times identified as needing enhanced staffing to verify that the support is provided as specified.
- Refer to specific needs and support person requirements as identified in the individual's Person Centered Plan, Behavior Support Plan, Supervision Guidelines."Sufficient support persons" is defined in the individual's Person Centered Plan (e.g., two-person transfer required, a requirement for a support person to be within visual sight of the individual at all times, arms-length supervision, 1:1 staffing).
- If immediate jeopardy situation refer to Jeopardy Guidelines: J18 Inadequate number of staff (supervision, implementation of behavioral interventions, evacuation). If improper staffing levels, reviewer should notify supervisor and obtain a Plan of Correction, on site, from provider supervisor/director indicating that the most stringent supervision/staffing ratios will be in place until the individual's team can meet to clarify proper staffing levels.
- Refer to DDS CLA Licensing Regulation: 13b Corrective Action Plan (CAP) follow up expectation is 2 weeks as this indicator identified as a health and safety concern.
- FAM** All Indicators
State Quality Monitor
- O 8** Support persons are able to demonstrate the skills needed to assist the individual to achieve his or her outcomes.
- Support staff should demonstrate competence in all aspects of the individuals care.
- Refer to the PCP for skill/training requirements and observe for evidence of these skills. Corrective Action Plan (CAP) follow up expectation is 4 weeks
- FAM** All Indicators
State Quality Monitor
- O 18** Support persons protect the individual's safety.
- Observe if support persons are available and appropriate staffing ratios are maintained, in order to protect the individuals safety. Corrective Action Plan (CAP) follow up expectation is 2 weeks as this indicator identified as a health and safety concern.
- FAM** All Indicators
State Quality Monitor
- O 21** The individual's health needs are addressed during daily activities.
- This may include specialized health needs such as dietary, nursing delegated tasks, etc.
- Refer to DDS CLA Licensing Regulation: 18a3A, 18c2. Corrective Action Plan (CAP) follow up expectation is 2 weeks as this indicator identified as a health and safety concern.
- FAM** All Indicators
State Quality Monitor
- O 25** Support providers follow applicable DDS Health Regulations, policies, and procedures, advisories and directives.
- The intent of this Indicator is to observe that support person(s) have knowledge and understanding of applicable DDS Health Regulations, standards, policies, procedures, advisories and directives and that they demonstrate that knowledge during the course of the observation period in regards to the support given to the individual being reviewed. For example, the individual's Level of Need, dysphagia risk assessments, bathing and personal care protocols, and bed safety and side rail assessments are being implemented during the course of the review, as applicable.
- For individual's receiving services from a provider agency, observation is to be done for the areas identified in the Person Centered Plan as the responsibility of the provider agency.
- For FAM service type, observation is to be done for the areas identified in the Person Centered Plan as the responsibility of the FAM support provider agency.
- If immediate jeopardy situation refer to: J19 Untrained staff (Safety protocols, behavioral interventions, Medication Administration, emergency plan).
- "Not Rated" would be used if there is no opportunity to observe implementation of the policies. "N/A" can never be used for this Indicator. Corrective Action Plan (CAP) follow up expectation is 4 weeks
- FAM** All Indicators
State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

SPI Support Person Interview

- SPI 30** If the individual chooses, what would you do to support the individual to change his or her lifestyle, personal activities and/or routines?

The intent of this indicator is to determine if the support person knows how to support the individual to make changes to his or her lifestyle, personal activities and/or routines should the individual choose. This indicator also measures CMS final settings rule compliance.

 - **FAM** All Indicators
State Quality Monitor

- SPI 29** How do you help the individual to choose and participate in experiences and activities that he or she wants? Give some recent examples.

The intent of this indicator is to determine if the support person assists the individual to participate in chosen activities and to learn about community resources and activities. Support person is able to give recent examples of how the individual was assisted to choose and participate. This indicator also measures CMS final settings rule compliance.

 - **FAM** All Indicators
State Quality Monitor

- SPI 39** How do you support the individual to express their ethnicity, cultural heritage, and religious preference if he or she wants?

The intent of this indicator is to determine if the support person is knowledgeable of the individual's preferences regarding their ethnicity, cultural heritage and religion.

Describe how you assist the individual to participate in activities that reflect his or her cultural, ethnic or religious preferences.

For example, the individual may choose to attend cultural, ethnic or religious activities such as festivals, parades, movies, holiday traditions, celebrations, restaurants or shopping opportunities, etc.

If there is no evidence of preference by the individual and the support person is aware of this, rate "Met".

If the support person is unaware of recognized ethnic, cultural and religious preferences of the individual, rate this "Not Met." This indicator also measures CMS final settings rule compliance.

 - **FAM** Cultural Competency
State Quality Monitor
State Quality Monitor

- SPI 14** How do you support the individual to develop and maintain healthy relationships including those with family as he or she wishes?

The intent of this indicator is to determine if the support person has knowledge of the individual's ability in developing relationships.

How do you support the individual to understand the benefits and risks of developing new relationships?

Are there obstacles that impede the individual from developing relationships (e.g., staff support levels, support staff schedules, finances, transportation, medical complications, and family relationships)? If so, how does this affect the support you provide? This indicator also measures CMS final settings rule compliance.

 - **FAM** All Indicators
State Quality Monitor

- SPI 2** What activities in the person's action plan/IP are you working on to support the person in meeting their goals?

The intent of this Indicator is to determine whether the support person working with the individual at the time of the review is aware of the individual's PCP and what the individual should be working on during their shift and at that service location.

Support persons are able to discuss identified goals from the individual's PCP, Action Plan, and Individual Progress Reviews. The support person identifies and discusses how the individual's goals are integrated into his or her daily routine.

For Family Respite Center guests – refer to information regarding pre-admission, admission and visitation as identified in DDS Family Respite Services Policy and Procedures.

Rate "Not Met" if the support person does not know where the individual's PCP is located or if they are not aware of the PCP and what the individual should be working on. This indicator also measures CMS final settings rule compliance

 - **FAM** All Indicators
State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

SPI 22 How are you supporting the person to learn money management skill and understand their benefits?

The intent of this indicator is to determine if the support person is knowledgeable of his or her responsibility to help the individual participate and learn money skills. Examples include: incidental teaching opportunities, money exchange during a purchase, making selections, informing the individual during a transaction process, support independent purchase transactions, banking, formal programs, budgeting, identifying coins and bills.

If the PCP identifies that the individual is independent or another party is responsible for money management, then rate "N/A".

FAM All Indicators

State Quality Monitor

SPI 11 What are the behavioral interventions used to support the individual?

The intent of this Indicator is to determine if the support person is knowledgeable of the individual's behavioral support needs as identified in his or her PCP and Behavior Support Plan.

Any physical intervention techniques that support persons use are from a DDS approved curriculum, for example, P.M.T. (Physical and Psychological Management Techniques).

Refer to DDS Procedure No.I.D.PR.009 – Incident Reporting, Attachment J - DDS Approved Training Curriculum for Use of Aversive and Physical Restraint Procedures for a complete list that is periodically updated.

This Indicator will be rated as "N/A" if there are no behavioral support needs / interventions / guidelines.

Refer to: DDS Policy No. I.F.PO.001 – Abuse and Neglect, and DDS Procedure No.I.F.PR.001 – Abuse/Neglect Reporting and Intake Process, I.F.PR.001 – Abuse/Neglect Allegations Reporting and Intake Process, I.F.PR.004 – Abuse/Neglect Investigations-Recommendations and Prevention Activities. Reviewer should also note that all modifications are documented in the IP if there are any restrictions in place that conflict with CMS final settings rule compliance.

FAM All Indicators

State Quality Monitor

SPI 15 If the person expresses they do not feel safe, how are you addressing this concern?

The intent of this indicator is to determine that support persons are knowledgeable of the individual's specific safety needs and how they are addressed. (e.g.: pica, bolting behavior, dietary needs, bed rails, water safety, ambulation, regulating hot water, bathing, etc.).

Do you have any other concerns about the individual 's safety that are not currently identified or addressed?

FAM All Indicators

State Quality Monitor

SPI 17 What are the individual's needs during an evacuation?

The intent is to ensure that the support person is knowledgeable of the individual's specific needs and requirements. Information from the support person should coincide with the individual's needs as outlined in the site emergency plan. (Examples: Transfer guidelines, staffing, supervision, prompting.)

FAM All Indicators

State Quality Monitor

SPI 16 How is the individual taught to recognize and report unsafe situations to others?

The intent of this indicator is to ensure that the support person is knowledgeable of their role in teaching the individual safety skills. This can be in the form of incidental teaching opportunities or formal teaching strategies. (Examples: Broken latches and locks, lack of heat, safe flooring, walkways, stove, cooking, hot water, overloaded outlets, safe transportation, staffing levels and supervision and public safety awareness.)

FAM All Indicators

State Quality Monitor

SPI 35 What are the individual's medical needs and how are these addressed?

The intent of this Indicator is to determine the staff person's knowledge of the individual's medical needs and how they are addressed.

Refer to the individual's Person Centered Plan, LON and other medical documents for information about the individual's medical circumstances and treatment expectations including guidelines and protocols (e.g., for seizures, psychiatric conditions, cardiac issues, diabetic conditions, allergies, special diet).

Ask the support person "Tell me about the individual's medical needs, how they are addressed and what support you provide, if any, to carry them out"

An alternate question: "Tell me about [name a specific condition identified in the individual's medical record], how the condition is addressed and what support you might provide".

If the staff person's knowledge of the individual's medical needs is not in accord with treatment expectations for him or her, rate this Indicator "Not Met."

FAM All Indicators

State Quality Monitor

Report Filters:

Reviewer Role: "State Quality Monitor"

Service: "FAM" Active Indicator? "Yes"

SPI 34 How is the individual supported to learn about and live a healthy lifestyle and discuss his or her health concerns?

How do you support the individual to participate in activities to stay healthy? If the support person indicates that the individual makes unhealthy lifestyle choices, how are these addressed to ensure the consumer has acknowledged the risk he or she is taking? Does the support person have access to educational health information and is this information shared with the individual?

FAM

All Indicators

State Quality Monitor

SPI 40 How do you help the individual to learn to avoid potentially abusive and neglectful situations and speak up if you believe something is wrong?

The intent of this indicator is to ensure that the support person is knowledgeable of their role in teaching the individual to avoid potential abusive and neglectful situations. Informal ways: support persons counsel the individual about the safe and unsafe places in town, people who you don't know who ask for favors and possible responses to them, keeping money in personal accounts, etc. Formal ways: harm prevention, "street-smart" classes, etc.

FAM

All Indicators

State Quality Monitor

SPI 10 How do you support the person to know their rights and be able to speak up for them self?

The intent of this indicator is to determine if the support person actively supports the individual to exercise rights. Examples may include, but are not limited to: assisting to make choices, request changes, refuse requests, use the phone, have privacy, maintain confidentiality and send and receive mail.

Refer to Connecticut General Statutes, 17a-238(a)
compliance.

This indicator also measures CMS final settings rule

FAM

All Indicators

State Quality Monitor

SPI 9 What would you do if you witness abuse or neglect occurring?

The intent of this indicator is to determine if the support person is knowledgeable about the intervention and reporting requirements associated with witnessing abuse or neglect.

A "Met" rating indicates that the support person identifies that he or she would intervene immediately on behalf of the individual if he or she witnesses abuse or neglect. The support person identifies he or she is to make a verbal report as a mandated reporter to the appropriate agency (OPA, DCF, DSS or DPH) and to the supervisor of the agency to which they are assigned, informing them of any apparent or suspected abuse or neglect. The support person initiates reporting the circumstances on a DDS Form 255.

This indicator is rated "Not Met" when the support person's statements are not consistent with DDS policy and procedure.

Refer to: DDS Policy No. I.F.PO.001 – Abuse and Neglect and DDS Procedure No.I.F.PR.001 – Abuse/Neglect Allegations: Reporting and Intake Processes

FAM

All Indicators

State Quality Monitor

SPI 32 How is the individual supported to make a change in his or her services if desired?

The intent of this indicator is to determine if the support person is knowledgeable of their role in supporting the individual to make a change in their services if he or she wants to. Examples include: Assisting the person in notifying the Case Manager or other team members, assisting the person to request meetings, assisting the person in identifying service and provider options. This indicator also measures CMS final settings rule compliance.

FAM

All Indicators

State Quality Monitor