

## Key Regulatory Compliance Checklist for Adequacy of Individualized Supports

### ATTACHMENT B

#### V.G.3 Checklist for all annual visits

Domain	Regulation Number to be Checked for Compliance  *for all services <b>except</b> for Case Management for Individuals with DD	Documents Requiring Electronic Submission  *for all services <b>except</b> for Case Management for Individuals with DD	Regulation Number to be Checked for Compliance  *for <b>Case Management</b> services for Individuals with DD	Documents Requiring Electronic Submission  *for <b>Case Management</b> services for Individuals with DD
<p><b>Safety and freedom from harm</b></p> <p>Settlement Agreement (SA) <b>examples</b> include: neglect and abuse, injuries, use of seclusion or restraints, deaths, effectiveness of corrective actions, licensing violations)</p>	<ul style="list-style-type: none"> <li>• 12VAC35-105-160.C</li> <li>• 12VAC35-105-160-D2</li> <li>• 12VAC35-105-160.E</li> <li>• 12VAC35-105-665A.6</li> <li>• 12VAC35-105-780(5)</li> </ul>	<ul style="list-style-type: none"> <li>• Internal documentation of level I serious incidents.</li> <li>• Quarterly reviews</li> <li>• Root cause analysis for level II and level III serious incidents.</li> <li>• Parts I-V of ISP including safety plan and falls risk plan</li> <li>• Documentation that medication errors have been reviewed quarterly (3 quarters worth)</li> </ul>	<ul style="list-style-type: none"> <li>• 12VAC35-105-160.C</li> <li>• 12VAC35-105-160-D2</li> <li>• 12VAC35-105-160.E</li> <li>• 12VAC35-105-665A.6</li> <li>• 12VAC35-105-780(5)</li> <li>• 12VAC35-105-1240 (7)</li> <li>• 12VAC35-105-1240 (12)</li> </ul>	<ul style="list-style-type: none"> <li>• Internal documentation of level I serious incidents.</li> <li>• Quarterly reviews</li> <li>• Root cause analysis for level II and level III serious incidents.</li> <li>• Parts I-V of ISP including safety plan and falls risk plan</li> <li>• Documentation that medication errors have been reviewed quarterly (3 quarters worth)</li> </ul>
<p><b>Physical, mental and behavioral health and well-being</b></p> <p>SA <b>examples</b> include: access to medical care (including preventative care), timeliness and adequacy of interventions (particularly in response to changes in status);</p>	<ul style="list-style-type: none"> <li>• 12VAC35-105-675A</li> <li>• 12VAC35-105-675B</li> <li>• 12VAC35-105-675C</li> <li>• 12VAC35-105-810</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly reviews (2 quarters worth)</li> <li>• Re-assessments completed as a result of changes in status</li> <li>• Behavior plan, assessment that plan was based on</li> <li>• Documentation to show staff was trained on plan, date, by whom</li> </ul>	<ul style="list-style-type: none"> <li>• 12VAC35-105-1240 (4)</li> <li>• 12VAC35-105-1240 (11)</li> </ul>	<ul style="list-style-type: none"> <li>• CM notes showing individual linked to services as identified in assessments or steps to show making attempts</li> </ul>

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<p style="text-align: center;"><b>Avoiding Crisis</b></p> <p>SA <b>examples</b> include Avoiding crises (e.g., use of crisis services, admissions to emergency rooms or hospitals, admissions to Training Centers or other congregate settings, contact with criminal justice system);</p>	<ul style="list-style-type: none"> <li>• 12VAC35-105-665.A.7</li> </ul>	<ul style="list-style-type: none"> <li>• Crisis/relapse plan as appropriate for individual and incorporated into ISP</li> </ul>	<ul style="list-style-type: none"> <li>• 12VAC35-105-665A.7</li> </ul>	<ul style="list-style-type: none"> <li>• Crisis/relapse plan as appropriate for individual and incorporated into ISP</li> <li>• REACH referral and service specific plans as evidence for avoiding crisis</li> </ul>
<p style="text-align: center;"><b>Stability</b></p> <p>This domain will be measured through QSR</p>	<ul style="list-style-type: none"> <li>• N/A</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• 12VAC35-105-1245</li> </ul>	<ul style="list-style-type: none"> <li>• Clear documentation that at each face to face meeting the CM is documenting that services are being provided in accordance with individual's preferences?</li> </ul>

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<p><b>Choice and self-determination</b></p> <p>SA <b>examples</b> include service plans developed through person-centered planning process, choice of services and providers, individualized goals, self-direction of services</p>	<ul style="list-style-type: none"> <li>• 12VAC35-105-660.D</li> <li>• 12VAC35-105-675D.3</li> </ul>	<ul style="list-style-type: none"> <li>• Informed choice form</li> <li>• Signature sheet for ISP</li> <li>• ISP meeting notes with essential components</li> </ul>	<ul style="list-style-type: none"> <li>• 12VAC35-105-660 D</li> <li>• 12VAC35-105-675D.3</li> <li>• 12VAC35-105-1255</li> </ul>	<ul style="list-style-type: none"> <li>• Informed choice form</li> <li>• Signature sheet for ISP</li> <li>• ISP meeting notes with essential components</li> <li>• Written policy describing how individuals are assigned case managers and how they can request a change of their assigned case manager.</li> </ul>
<p><b>Community inclusion</b></p> <p>SA <b>examples</b> include community activities, integrated work opportunities, integrated living options, educational opportunities, relationships with non-paid individuals</p>	<ul style="list-style-type: none"> <li>• 12VAC35-105-610</li> </ul>	<ul style="list-style-type: none"> <li>• Proof of community inclusion tied to ISP, individualized</li> </ul>	<ul style="list-style-type: none"> <li>• 12VAC35-105-1240.1</li> <li>• 12VAC35-105-1240.4</li> </ul>	<ul style="list-style-type: none"> <li>• Is there documentation the individual is accessing community supports consistent with their goals?</li> <li>• If there are barriers to an individual accessing their expressed supports that are more integrated, is there a plan in place to address this barrier.</li> </ul>
<p><b>Access to services</b></p> <p>SA <b>examples</b> include: waitlists, outreach efforts,</p>	<ul style="list-style-type: none"> <li>• 12VAC35-105-645.B</li> <li>• 12VAC35-105-693.C</li> </ul>	<ul style="list-style-type: none"> <li>• Last 3 admission screenings if applicable</li> </ul>	<p>12VAC35-105-1240.6</p>	<p>CM notes and reviews show:</p> <ul style="list-style-type: none"> <li>• There documentation of coordination with other</li> </ul>

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<p>identified barriers, service gaps and delays, adaptive equipment, transportation, availability of services geographically, cultural and linguistic competency);</p>		<ul style="list-style-type: none"> <li>• Discharge plan and discharge summary for last individual discharged from service.</li> </ul>		<p>service providers as needed via CM notes or signature sheets.</p>
<p><b>Provider capacity</b></p> <p>SA <b>examples</b> include caseloads, training, staff turnover, provider competency</p>	<ul style="list-style-type: none"> <li>• 12VAC35-105-665.D</li> <li>• 12VAC35-105-450</li> </ul>	<ul style="list-style-type: none"> <li>• Most recent proof of DD competency completed</li> <li>• Proof staff trained on individuals ISPs for those individuals reviewed</li> <li>• Training policy</li> <li>• Proof staff have received training at frequency outlined in policy</li> </ul>	<p>12VAC35-105-1240.5</p>	<p>CM notes and reviews show:</p> <ul style="list-style-type: none"> <li>• There is documentation of locating, developing, or obtaining needed services?</li> <li>• If needed services were not available.</li> </ul>