**Residential Readiness Tool for Residential Habilitation, Life Sharing, and Supported Living Providers**

**Region/Administrative Entity:**

* [ ]  Central:
	+ [ ]  Bedford/Somerset, [ ]  Blair, [ ]  Cambria, [ ]  Centre, [ ]  Columbia/Montour/Snyder/Union, [ ]  Cumberland/Perry, [ ]  Dauphin, [ ]  Franklin/Fulton, [ ]  Huntingdon/Mifflin/Juniata, [ ]  Lancaster, [ ]  Lebanon, [ ]  Lycoming/Clinton, [ ]  Northumberland, [ ]  York/Adams
* [ ]  Northeast
	+ [ ]  Berks, [ ]  Bradford/Sullivan, [ ]  Carbon/Monroe/Pike, [ ]  Lackawanna/Susquehanna, [ ]  Lehigh, [ ]  Luzerne/Wyoming, [ ]  Northampton, [ ]  Schuylkill, [ ]  Tioga, [ ]  Wayne
* [ ]  Southeast
	+ [ ] Bucks, [ ]  Chester, [ ]  Delaware, [ ]  Montgomery, [ ]  Philadelphia
* [ ]  Western
	+ [ ]  Allegheny, [ ]  Armstrong/Indiana, [ ]  Beaver, [ ]  Butler, [ ]  Cameron/Elk, [ ]  Clarion, [ ]  Clearfield/Jefferson, [ ]  Crawford, [ ]  Erie, [ ]  Fayette, [ ]  Forrest/Warren, [ ]  Greene, [ ]  Lawrence, [ ]  McKean, [ ]  Mercer, [ ]  Potter, [ ]  Venango, [ ]  Washington, [ ]  Westmoreland

**Agency Name:** Click or tap here to enter text.

**Primary Contact Information of Agency:** Click or tap here to enter First and Last Name.

Click or tap here to enter Title in Current Role.

Click or tap here to Phone Number.

Click or tap here to enter email address.

**Secondary Contact Information of Agency:** Click or tap here to enter First and Last Name.

Click or tap here to enter Title in Current Role.

Click or tap here to Phone Number.

Click or tap here to enter email address.

**Instructions on Filling out the Readiness Tool**

Agencies (60 days from Orientation to complete):

* Complete all questions in the first column.
* Gather documents to support answers provided within each of the four sections
* Determine your region and county of assigned AE
* Gather Contact Information of Primary and Secondary person of agency
* Go to <https://resreadiness.questionpro.com> to submit completed tool and documentation to AE.

Administrative Entities (30 days from receipt of Residential Readiness Tool from Agency to complete):

* Download and save copy of completed Residential Readiness Tool received from Agency.
* Review information submitted by Agency
* Locate Contact Info and Response ID # from the email received from the Agency (to be entered into QuestionPro)
* Complete all questions in the middle column indicating of the Agency is “fully prepared” or “not fully prepared”
* Go to <https://resreadyae.questionpro.com> to submit completed tool and send to Agency.

| **Section 1 – Administrative Functions** |
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|  **Required Provider Questions****Agency Response (Please provide comments where applicable and upload supporting documents into QuestionPro when prompted)** | **AE Response for Determining Agency’s Readiness** **(Review agency response and determine if agency is fully prepared or not prepared. If not prepared, please include a comment.)** | **Source References** |
| 1A. Since a quality agency will need a tool(s) to effectively manage staffing coverage, how will the agency ensure that staff will be scheduled as needed by the individual(s)? *Please note: While an electronic scheduling system is not required, organization of staffing coverage ensure that the individual’s identified needs (including back-up and crisis plans) are required.***AGENCY COMMENTS:** | 1A. Examples of what the agency could provide:       * a plan or documentation that includes any of the following or similar information,
* Description or documentation of what the scheduling system will consist of?
* How the agency will organize staffing coverage to ensure all individuals needs are met?
* Other evidence was collected

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * Waiver (Appendix D-1, back-up plan)
* Provider Agreement
* Incident Management Bulletin 00-21-02
* 6100.221 (g) Provider’s implementation plan
* 6100.224 Implementation of the individual plan
* 6100.401 Types of incidents and timelines for reporting
* 6100.441 (b)(2) Request for and approval of changes
* 6100.142 Orientation
* 6100.141 Training records
* 6100.45 Quality Management
* 6400.46 Emergency Training
* Individual Monitoring Tool (monitoring services that are provided as indicted in the ISP)
 |
| 1B. How does the agency’s on-call system function and how will this system address contingencies such as failure of a staff person to appear as scheduled or if staff have a need for additional support?**AGENCY COMMENTS:** | 1B. Examples of what the agency could provide:        ·        * On-call system with how it will address contingencies? This could include a contingency plan, for example.

[ ]  **Fully Prepared**[ ]  **Not Prepared** **AE Comments:** |
| **1C. Does the agency have a system to track all staff trainings, including the training source, content, dates, length of training, copies of certificates received as applicable, and persons attending as well as the 12 month timeframe covered by the annual training year?** This also includes tracking trainings and requirements for all professionals such as staff employed or contracted that are providing services as part of the Residential Service, including but not limited to behavioral specialist, communication specialists, temporary agency staff, etc. **AGENCY COMMENTS:** | 1C. Examples of what the agency could provide:        * A description or documentation of a tracking system that the agency will use that will have the ability to track training source, content, dates, length of training, copies of certificates received as applicable, and persons attending as well as the 12 month timeframe covered by the annual training year
* Frequency with which it will be updated;

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * 6100.45 Quality Management
* 6100.141. Training records
* 6100.142 Orientation training
* 6100.346. Staff training.
* 6100.143 – Orientation and annual training
* Residential Habilitation, Life Sharing and Supported Living service definitions in ODP’s waivers
* Applicable ODP Announcements/ Communications on Orientation and Training Requirements
* Provider Agreement
* Individual Monitoring Tool (monitoring services that are provided as indicted in the ISP)
 |
| 1D. How does the agency ensure that staff will be trained on the individual’s needs prior to working alone with the individual, as identified on the ISP?**AGENCY COMMENTS:** | 1D. Examples of what the agency could provide:       * Information on how staff will be trained on the individual’s needs; ·
* What trainings the staff will take prior to working alone with the individual that will prepare them on how to meet the individual’s needs?
* A description of staff being trained on each individuals ISP?,

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * 6100.142 Orientation training
* 6100.346. Staff training.
* 6100.143 – Orientation and annual training
* Residential Habilitation, Life Sharing and Supported Living service definitions in ODP’s waivers
* Applicable ODP Announcements/ Communications on Orientation and Training Requirements
 |
| 1E. Who will you identify to be your Health Risk Screening Tool (HRST) rater? *Please note, your agency must have at least 1 rater per 25 individuals*tool with each individual?**AGENCY COMMENTS:** | 1E. Examples of what the agency could provide:       * Who will be identified as the HRST rater?
* How will they plan to ensure they will have an HRST rater within the agency?

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** |  |
| 1F. Do you plan for your nurse clinical reviewer to be trained and available to complete the HRST or will you contract with HRS, Inc?**AGENCY COMMENTS:** | 1F. Examples of what the agency could provide:       * A plan for the nurse clinical reviewer to be trained and able to complete the HRST?
* A plan for contracting with an HRS, Inc?

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * ODP Communication 19-052
 |
| 1G. Does the agency have an emergency preparedness plan for which staff are properly trained? This could include plans on: emergency relocation due to weather, power outages, bed bug infestation; outbreak of communicable disease, etc. Please note: ODP expects providers check and follow the CDC and DOH guidelines.**AGENCY COMMENTS:** | 1G. Examples of what the agency could provide:       * Emergency response plan to address individuals’ safety and protection;
* communications;
* operational procedures;

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * Waiver Assurance on Health and Welfare
* Waiver language in the Residential Habilitation service description and qualification requirements
* 6400.46 Emergency training
 |
| 1H. How does the agency plan to maintain documentation while meeting HIPAA and ensuring staff are trained on how to maintain confidentiality? *ODP recommends that the agency has an electronic documentation system in place..* **AGENCY COMMENTS:** | 1H. Examples of what the agency could provide:       * How individual records are going to be tracked and stored according to HIPAA;
* How confidentiality guidelines will be followed?

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * 6100.52 Applicable statutes and regulations
* 6100.141. Training records
* 6100.346. Staff training.
* 6400.211-217 Individual Records
* U.S. Department of Health and Human Services HIPAA information
* PA Department of Human Services HIPAA information
 |
| 1I. Is the individual’s information in a private area of the home that is accessible for all staff who need the information to render services and assure the individual’s health and safety (including DSPs, executive staff, etc.) that maintains HIPAA compliance? If yes, please describe how it’s accessible. This could include information about the individual’s communication, daily routine, dietary restrictions, medical conditions, individual service and progress notes, ISP, Behavioral Support Plans, Crisis Intervention Plans, etc. **AGENCY COMMENTS:** | 1I. Examples of what the agency could provide:       * A description of how this information will be accessible

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * 6100.52 Applicable statutes and regulations
* 6100.141. Training record
* 6100.346. Staff training
 |
| 1J. Within the agency, are each staff person’s roles defined with clear expectations of their responsibilities? Examples:  Does your DSP know their roles and responsibilities according to the service they are rendering? Does your behavioral specialist understand their job description? **AGENCY COMMENTS:**  | 1J. Examples of what the agency could provide:       * Documentation or a plan of staff person’s role(s) and how the staff person will have a clear understanding of their responsibilities?

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * 6100.45 Quality Management
* 6100.85 Delivery of HCBS.
* 6100.142 Orientation
* 6100.143 Annual Training
* Residential Habilitation, Life Sharing and Supported Living service definitions in ODP’s waivers
 |
| 1K. How will you ensure Residential standards (such as waiver provider qualification standards) are met for executive level staffing?**AGENCY COMMENTS:** | 1K. Examples of what the agency could provide:       * Documentation or a plan of the residential standards;
* Documentation / explanation of how executive level staff will meet the Residential Standards?

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * 6100.81 HCBS Provider Requirements
* 6100.84 Provision, Update and Verification of Information
 |
| 1L. Explain how the agency ensures the medication administration protocol adheres to ODP policy and regulation. **AGENCY COMMENTS:** | 1L. Examples of what the agency could provide:       * A medication administration protocol that aligns with ODP’s policies and regulations?

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.461 Self-Administration
* 6100.462 Medication Administration
* 6100.463 Storage and disposal of medications
* 6100.464 Prescription medications
* 6100.465 Medication record
* 6100.466 Medication Errors
 |
| 1M. How will the agency manage medication errors?**AGENCY COMMENTS:** | 1M. Examples of what the agency could provide:        ·        * A description or documentation of what protocol they will follow which will include:
	+ When/how they will report the incident
	+ Staff training or retraining
	+ How the agency will keep documentation on the medication error and
	+ how it was handled.

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.462 Medication Administration
* 6100.464 Prescription medications
* 6100.465 Medication record
* 6100.466 Medication Errors
* Incident Management Bulletin 00-21-02
 |
| 1N. How will the agency ensure that staff are trained on medication administration that aligns with ODP’s policies and regulations? *Please note: Residential Habilitation staff administering medications must take the standard course only once. After, they are required to take an annual practicum to be completed yearly based on the date of their original qualification to pass medication. Life Sharing staff administering medications must take the Modified Medication Administration Course. Unlike Residential Habilitation, there is no annual practicum, however, they have to take the Modified Medication Administration Course every two years.***AGENCY COMMENTS:** | 1N. Examples of what the agency could provide:        ·        * A plan to ensure staff are trained, including a tracking method

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.468 Medication administration training
* 6100.469 Exceptions
 |
| 1O. How will the agency ensure medication is stored properly?**AGENCY COMMENTS:** | 1O. Examples of what the agency could provide:       * An understanding of how to properly store medications

.**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.461 Self-Administration
* 6100.463 Storage and disposal of medications
* 6100.466 Medication Errors
 |

| **Best Practice****Section 1 – Administration Functions** |
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| 1. | It is best practice for the agency to collect feedback from individuals and/or from person(s) designated by the individual about the quality of the services/supports that the agency provides. The agency should have a policy on how the individuals and person(s) designated by the individual will be trained on how to provide feedback and how the feedback will be collected. |
| 2. | Best practice would be for the agency to have a written plan for marketing, operational standpoints, etc. This could include policies and procedures about how their business will have ongoing operations, how to manage a referral base/marketing plan, positions descriptions, staffing guidelines, agency protocols, etc.  |
| 3. | It is best practice for your agency to manage expenses prior to receiving authorizations and billing for services provided.For example, if your agency has access to funds, such as a line of credit, to address immediate needs (such as cash flow issues, paying staff to be trained before the authorized service begins for an individual, maintain mortgage payments, general upkeep of the property, etc.).It is recommended that the agency has the following, but is not limited to:* a business plan with loan/banking information;
* a line of credit or a reserve account.
* IRS filings
* documentation that shows recent audits or financial reviews

*Source Reference(s):* * *MyODP.org - Fundamentals of Sound Financial Strategies webcast*
* *55 Pa. Code 6100.484*
* *Small Business Administration Website*
 |
| 4. | It is best practice for the agency to have documentation (such as a business plan) that is detailed and includes all aspects of the operation. Some examples of what the documentation might include are as follows:* Policies and procedures on how to recruit employees who will provide quality services
* Retention strategies
* Personnel policies (such as paid leave time, work compensation, etc.)
* How to supervise and support staff providing services at the service locations at a micro/macro level
* How to manage the agency’s workforce
* Ensuring 24/7 support for staff and individuals
* Having a detailed back-up plan for individuals to ensure services are not interrupted
* Incident Management policies/procedures that go above and beyond the ODP requirements
 |
| 5. | Best practice would be to develop relationships with County/Administrative Entities, provider associations/network partners, and to maintain status on the AE listservs, ODP communications, etc. |
| 6. | Best practice is for the agency to become familiar with the PA Family Network and the benefit of connecting families to the organization.*Source Reference(s):** *MyODP.org Individual and Family resources*
 |
| 7. | Best practice would be for the agency to be aware of self-advocacy organizations, such as Self-Advocates United as 1 (SAU1), and to encourage and support individuals to connect and participate with the organization. *Source Reference(s):**MyODP.org Individual and Family resources* |
| 8. | It is best practice for the agency to have a Code of Conduct/Ethics and that their staff are trained on that. |

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| [ ]  By checking this box, I acknowledge that I have read and understand the above best practice statements. If I do have any questions, I will consult with my AE. |

| **Section 2 – Environment** |
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| **Required Provider Questions****Agency Response (Please provide comments where applicable and upload supporting documents into QuestionPro when prompted)** | **AE Response for Determining Agency’s Readiness** **(Review provider response and determine if provider is fully prepared or not prepared. If not prepared, please include a comment.)**  | **Source References** |
| 2A. How does the agency ensure the purchase/lease of current or future homes follow the requirements of the Centers for Medicare and Medicaid (CMS) Home and Community Based (HCBS) Settings Rule as well as ODP requirements? *Examples of ODP requirements related to the CMS HCBS Settings Rule: Knowledge about the CMS HCBS Settings Rule; Knowledge about the Noncontiguous Approval Process; Knowledge and understanding of 55 Pa. Code Chapter 6100.441 through 6100.445* **AGENCY COMMENTS:** | 2A. Examples of what the agency could provide:       * A business plan that shows that the physical property/service location will be in compliance with the HCBS Settings Rule and ODP requirements will be followed·
* Knowledge about any of the examples listed in the question or related topics in relation to the HCBS Settings Rule?

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * CMS HCBS Settings Rule
* DHS page: https://www.dhs.pa.gov/contact/DHS-Offices/Pages/ODP-HCBS%20Final%20Rule.aspx
* CMS page:https://www.medicaid.gov/medicaid/home-community-based-services/guidance/home-community-based-services-final-regulation/index.html
* Local Zoning Standards
* 6100.443 Integration
* 6100.444 Size of service location
* 6100.445 Locality of service location
* ODP Announcement 19-138 Request for Approved Program Capacity and Noncontiguous Clearance Form
 |
| 2B. What is the agency’s protocol to assist an individual who is preparing to move into the agency’s service location/home?**AGENCY COMMENTS:** | 2B. Examples of what the agency could provide:       * A protocol/transition plan that includes, but not: limited to: ·
	+ How the individual is able to consider the home and location that is chosen to move into. ·
	+ The individual must have a choice of who to share a bedroom with, if applicable ·
	+ Licensing and Noncontiguous approval ·
	+ Team meeting and planning with the Supports Coordinator, individual and individual’s family, etc. ·
	+ Tour/visit of new home by individual/family ·
	+ Meeting with individual and prospective housemates ·
	+ Community Integration planning ·
	+ Home and/or Vehicle adaptations completed to meet individual need ·
	+ Necessary equipment is present to ensure health and safety ·
	+ Accommodating moving of personal possessions ·
	+ Timely follow-up with the individual regarding satisfaction and quality of care
	+ Timely follow - up with ISP team to update on transition and collaborate on needed problem-solving

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * ODP ISP Manual, Section 3 Development of the ISP
* 6100.183 (e) Additional rights of the individual in a residential service location
* 6100.301 – Individual Choice
* 6100.302 – Cooperation during Individual Transition
* 6100.303 – Involuntary Transfer or Change of Provider
* 6100.304 – Written Notice
* 6100.305 Continuation of Service
* 6100.306 – Transition Planning
* 6100.307 – Transfer of Records
 |
|  2C. How will the agency ensure a person-centered home environment? This includes, but is not limited to, the individuals: Having choice in schedule and activities: Having privacy for themselves and a secure place for their possessions; ·        Receiving scheduled and unscheduled visitors, at any time; Having access to food at any time; Furnishing and decorating their bedroom and common areas of the home how the individual likes; Staff being trained on person-centered practices and on the individual’s ISP *Other recommendations include that the agency (list not inclusive): Ensures the home is person-centered and not staff-centered, such as not displaying agency policies around the house. Assists the individuals with trying new experiences that may be of interest or of preference to the individual? Assists individuals to make choices. This includes choices within their home such as decorating their home the way they want, exploring the option of having a pet, trying new hobbies, etc.* **AGENCY COMMENTS:** | 2C. Examples of what the agency could provide:       * A description or documentation of how the agency will be prepared to ensure the Residential home will be person-centered?

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * 6100.182 – Rights of the Individual
* 6100.183 – Additional Rights of the Individual in a Residential Service Location
* 6100.142 Orientation
* 6100.143 Annual Training
* CMS HCBS Settings Rule
* DHS page: https://www.dhs.pa.gov/contact/DHS-Offices/Pages/ODP-HCBS%20Final%20Rule.aspx
* CMS page: https://www.medicaid.gov/medicaid/home-community-based-services/guidance/home-community-based-services-final-regulation/index.html
* MyODP – information on person centered planning.
* Everyday Lives ISAC Recommendations
 |
| 2D. What are the agency’s procedures to ensure: Staff are monitoring the condition of the home?;Staff report maintenance issues of the home?;The maintenance issues that were identified, were fixed?;There are necessary supplies for maintaining the home in safe conditions (cleaning supplies, lightbulbs, snow removal services, etc.)**AGENCY COMMENTS:** | 2D. Examples of what the agency could provide:       * Procedures to ensure staff are monitoring the condition of the home? ·
* Staff report maintenance of the home? ·
* Process to confirm identified maintenance issues were fixed That there are necessary supplies for maintaining the home in safe conditions?

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** |  |
| 2E. How does the agency plan to meet the individual’s needs (including the proper amount of staff) to ensure that the individual has   transportation that includes going to the doctors, getting to and from their place of employment, going out into the community, etc.?   *Relating to transportation, ODP recommends that the agency:Has a plan for maintenance and cleaning of transportation vehicles; Has transportation logs filled out by staff to track trips, locations, mileage, gas purchases; Assists the individuals with public transportation; Collaborates with other Residential homes within the agency for transportation needs; Uses individual preferences when it comes to seating arrangements in the agency’s vehicle;  Has a back-up plan for when the vehicle is not able to be used; Has documentation in each individual’s ISP if the individual is safe to be in the vehicle alone and for how long; Has gas cards in each vehicle; Has a policy for how to manage car accidents and that staff are trained to this policy.***AGENCY COMMENTS:** | 2E. Examples of what the agency could provide:       * A description, documentation, or a plan of how transportation will be provided for successfully for the individuals to go to and from doctor’s appointments, community activities, etc.

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * 6100.182 Rights of the individual
* 6100.186 Facilitating personal relationships
* 6100.261 Access to the community
* 6100.262 Employment
* 6100.302 Cooperation during individual transition
 |
| 2F. What is the agency’s plan to support individuals who have experienced  trauma and/or have a dual diagnosis*? Examples include, but not limited to:Ensuring staff are trained on the needs of the individual, which might include needing to be trained on trauma-informed care; Ensuring the individual receives proper support from professionals such as a licensed therapist, counselor, victim’s assistance programs, etc.* **AGENCY COMMENTS:** | 2F. Examples of what the agency could provide:        ·        * A plan on how they will support individuals who have experienced trauma or a dual diagnosis?
	+ The plan could include, but not limited to:
	+ Training on trauma-informed care;
	+ How they will ensure proper professional support for the individual, etc.

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * Incident Management Bulletin 00-21-02 and Attachment 1
 |
|  2G. How will the agency ensure staff are trained on the individual’s mobility needs during transportation, how to operate specialized vehicles (i.e. wheel chair vans), and have the necessary qualification to operate a vehicle, if applicable? *Examples include, but not limited to: How the agency will ensure staff have a current license, vehicle insurance, registrations, state inspections, etc.;How to operate the vehicle; How to operate lifts or other accessible adaptations for the individual to access the vehicle; How to use public transportation; etc.* **AGENCY COMMENTS:** | 2G. Examples of what the agency could provide:       * How the agency will ensure staff are trained on the individual’s mobility needs during transportation
* How the agency will ensure that the staff are trained in the use and access to the mode of transportation
* Current staff driver’s licenses, vehicle insurance, registrations and state inspections are tracked.
* A policy or procedure how the agency will operationalize the use of the provider qualification documentation record (PQDR) to track this information.

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * 6100.442 Physical Accessibility
 |
| 2H. How will staff assist the individual in maintaining personal relationships, including having regular contact with people of the individual’s choosing? **AGENCY COMMENTS:** | 2H. Examples of what the agency could provide:       * An explanation, policy, or protocol of how the agency will communicate routinely or as needed with the person(s) designated by the individual; and
* An explanation that ensures communication will be understood by individual and person designated by individual.

[ ]  **Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.50 Communication
* 6100.182 Rights of the individual
* 6100.186 Facilitating Personal Relationships
* 6100.223 Content of the Individual Plan
* 6400.44 Program Specialist
* 6500.43 Life Sharing Specialist
* ISP Manual
* Provider Agreement
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| **Best Practice** **Section 2 – Environment** |
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| 1. | It is best practice to honor an individual’s choice of who the individual lives with. (*Please note: it is* ***required*** *that the individual has a choice with whom they share a bedroom.)* |
| 2. | Best practice includes the agency establishing positive community relationships. This could include, but not limited to the following: * Building relationships with neighbors
* Responsive to complaints, including parking and driving complaints, complaints from neighbors, etc.
* Agency nurses engage with hospitals to explain their role and how they can be supportive while the individual is inpatient and during discharge planning
* Developing relationships with doctors, medical specialists, etc.
* Developing relationships with local law enforcement, behavioral health providers, etc.
* Developing relationships with Health Care Quality Unit (HCQU)

Being aware of these connections, will benefit the agency and the individuals.*Source Reference(s):** *DHS page:* *https://www.dhs.pa.gov/contact/DHS-Offices/Pages/ODP-HCBS%20Final%20Rule.aspx*
* *CMS page:* *https://www.medicaid.gov/medicaid/home-community-based-services/guidance/home-community-based-services-final-regulation/index.html*
 |
| 3. | Since PA is an Employment 1st state, Residential providers should encourage their individuals to seek competitive integrated employment or meaningful day activities (such as volunteering in the individual’s community, or participating in local events/activities/clubs, etc.) |
| 4. | Residential providers are encouraged to have ongoing conversations with the individual(s) about how they would like to spend their day. For example, if the individual is of retirement age, does the individual want to retire from their place of employment or stop attending their day program to pursue other activities? Person-centered planning is key. |

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| [ ]  By checking this box, I acknowledge that I have read and understand the above best practice statements. If I do have any questions, I will consult with my AE. |

| **Section 3 – Staff Support** |
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| **Required Provider Questions****Agency Response (Please provide comments where applicable and upload supporting documents into QuestionPro when prompted)** | **AE Response for Determining Agency’s Readiness** **(Review provider response and determine if provider is fully prepared or not prepared. If not prepared, please include a comment.)** | **Source References** |
| 3A. How will the agency ensure that there is direct in-person supervision of staff? **AGENCY COMMENTS:** | 3A. Examples of what the agency could provide:       * A plan of how the agency will provide direct in-person supervision of staff

 [ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * Qualification standards in ODP’s Waivers for residential services
 |
| 3B. How will you ensure communication between executive staff and administrative staff with direct staff who work with the individuals? **AGENCY COMMENTS:** | 3B. Examples of what the agency could provide:       * A policy, procedure, or a communication plan that ensures communication between all staff within the agency

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * Provider Agreement
* Individual Monitoring Tool (monitoring services that are provided as indicted in the ISP)
* 6100.45 Quality Management
 |
| 3C. How will you ensure staff communicate with: Each other between shift changes; On-call/back-up staff;Supports Coordinators; Other providers; etc.**AGENCY COMMENTS:** | 3C. Examples of what the agency could provide:       * A communication plan that includes that how there will be shared communication between staff and others.
* This may include staff logs, communication book, etc.

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * ODP’s bulletin and communications claims documentation related to service notes
* 6400.188 Home Services
* 6500.158 Life Sharing Services
 |
| 3D. How will the agency ensure all staff are trained on the individual’s preferred method of communication, which includes written, oral and other forms of communication?**AGENCY COMMENTS:** | 3D. Examples of what the agency could provide:       * A policy, procedure, or plan on how to ensure staff will be trained on the individual’s preferred method of communication?

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * Provider Agreement
* 6100.50 Communication
* 6100.141 Training Records
* 6100.143 Annual Training
* 6100.45 Quality Management
 |
| 3E. How will the agency ensure that all staff have access to company policies, communications, etc.?**AGENCY COMMENTS:** | 3E. Examples of what the agency could provide:       * An explanation on how the agency will distribute company policies, communications, etc.

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * ISP Manual
* Provider Agreement
 |
| 3F. Communication Specialist and Behavioarl Support are part of the residential services and must be available when needed, and qualified as stated in ODP’s waivers. When the agency provides services to individuals who require this level of care, how and what will the agency do to ensure that your behavioral specialist and/or communication specialist will be immediately available and meets the qualification standards? **AGENCY COMMENTS:** | 3F. Examples of what the agency could provide:        ·        * A plan on how they will ensure a behavioral specialist and communication specialist will be identified and immediately available when needed;
* how the professional will have the qualifications as documented in the ODP waivers.

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.346 Staff Training
* 6100.347 Prohibited procedures
* 6100.345 Behavior support component of the individual plan
* 6100.142 Orientation
* 6100.143 Annual Training
* Residential Habilitation, Life Sharing, and Supported Living service definitions and qualification requirements in ODP’s waivers
 |
| 3G. How and what will the agency do to ensure that the Behavioral Specialist will communicate, work collaboratively with, and train the residential staff in understanding basic tenets of behavioral support (e.g., Functional Behavioral Assessment, data collection, etc.) and in implementing the Behavioral Support Plan and Crisis Intervention Strategies including restrictive procedures, if applicable?**AGENCY COMMENTS:** | 3G. Examples of what the agency could provide:       * An attestation that describes how the agency will provide ongoing opportunities for the Behavioral Specialist to train staff in understanding the basic tenets of behavioral support (e.g., Functional Behavioral Assessment, data collection, etc.) and in implementing the Behavioral Support Plan and Crisis Intervention Strategies including restrictive procedures? ·
* An attestation on how the agency will ensure that the Behavioral Specialist will have ongoing communication work collaboratively with the residential staff?

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** |  |
| 3H. How does the provider plan to ensure that a process or procedure is in place to provide crisis support to participants, including how to de-escalate a behavior if needed? Please describe what the process or procedure is and who will provide this care.**AGENCY COMMENTS:** | 3H. Examples of what the agency could provide:       * A process or procedure that described how the support will be provided by people who know the individual and know their Behavioral Support Plan and Crisis Intervention Strategies, if applicable? ·
* The process or procedure that includes who will have the experience and expertise to de-escalate or intervene appropriately if the behaviors come to a point beyond de-escalation.

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** |  |
| 3I. How will your agency ensure that a nurse is immediately available when an individual requires their direct or indirect service?**AGENCY COMMENTS:** | 3I. Examples of what the agency could provide:       * A plan on how they will ensure a nurse will be identified and immediately available when needed;

 **☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * Residential Habilitation, Life Sharing, and Supported Living service definitions and qualification requirements in ODP’s waivers
 |
| 3J. How do you ensure that all staff who implement or manage a behavior support component of an individual plan are trained on the specific techniques or procedures that are included in the plan?**AGENCY COMMENTS:** | 3J. Examples of what the agency could provide:       * How the agency will ensure that staff are trained the behavior support component, if applicable

[ ]  **Fully Prepared**[ ]  **Not Prepared****AE Comments:** | * 6100.346 Staff Training
* 6100.347 Prohibited procedures
* 6100.345 Behavior support component of the individual plan
* 6100.143 Annual Training
 |
| 3K. How will the agency ensure access to a Human Rights Team (HRT) and appropriate referrals to a Human Rights Committee?**AGENCY COMMENTS:** | 3K. Examples of what the agency could provide:       * A plan on how the agency will ensure that a HRT is in place for the individuals receiving services.

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.344 Human rights team
* Bulletin 00-21-01 Guidance for Human Rights Teams and Human Rights Committees
 |

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| **Best Practice****Section 3 – Staff Support** |
| It is important for the provider to consider ways of helping the individual with understanding his/her dignity of risk (learning to understand that each decision has consequences). Everyone at some point, is faced with circumstances that a decision is made that others may not approve of / feel like it was the safest or best decision. The provider is encouraged to have policies and procedures that will assist staff in respecting the individual’s right to choose and providing the necessary supports when then individual chooses to make a decision that may have negative or unintended consequences.  |

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| [ ]  By checking this box, I acknowledge that I have read and understand the above best practice statements. If I do have any questions, I will consult with my AE. |

| **Section 4 – Individual’s Interest / The Person at the Center of the Plan** |
| --- |
| **Required Provider Questions****Agency Response (Please provide comments where applicable and upload supporting documents into QuestionPro when prompted)** | **AE Response for Determining Agency’s Readiness** **(Review provider response and determine if provider is fully prepared or not prepared. If not prepared, please include a comment.)** | **Source References** |
| 4A. When an individual uses a communication system, how will the agency ensure the communication system is in working order and support the individual to use the communication system?**AGENCY COMMENTS:** | 4A. Examples of what the agency could provide:       * An attestation, policy, or protocol of how each individual will be assessed for communication assistance through assistive technology / communication device

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * ODP Bulletin 00-08-18
* 6100.50 Communication
* ODP Bulletin 00-14-04
* 6100.182 Rights of the Individual
* 6100.221 (g) Development of the individual plan
* 6100.223 Content of the Individual Plan
* 6400.185 Content of the Individual Plan
* 6400.188 Home Services
 |
| 4B. How will the agency ensure that written, oral and other forms of communication with the individual, and persons designated by the individual,  occur in a language and means of communication understood by the individual or a person designated by the individual?  How will the agency ensure that direct support professionals understand each individual’s communication (including visual gestural; sign language; spoken primary language such as English, Spanish, Russian, Mandarin, etc.)?**AGENCY COMMENTS:** | 4B. Examples of what the agency could provide:       * An attestation, policy, or protocol of how the agency will ensure that all forms of communication will be in the preferred method and able to be understood by the individual and persons designated by the individual.
* An attestation, policy, or protocol that will ensure that all direct support professionals understand each individual’s communication method for whom they work with?

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.50 Communication
 |
| 4C. How will the agency train and ensure that staff at all levels understand the rights of the individuals?**AGENCY COMMENTS:** | 4C. Examples of what the agency could provide:       * A policy, or procedure how the agency will ensure staff are trained on the individuals’ rights?
* How the staff will understand the individual’s rights as stated in the 55 Pa. Code 6100 regulations?

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.142 Orientation
* 6100.143 Annual Training
* 6100.181 Exercise of Rights
* 6100.182 Rights of the Individual
* 6100.183 Additional Rights of the Individual in a Residential Service Location
 |
| 4D. How will the agency ensure that each individual who is receiving services will be educated on his/her rights as defined in the Chapter 6100 regulations?   *ODP recommends that staff take the training on Individual Rights on MyODP.org***AGENCY COMMENTS:** | 4D. Examples of what the agency could provide:       * An attestation, policy, or procedure how the agency will ensure individuals understand what their rights are?
* An attestation, policy, or procedure how the agency will explain the rights section of the 55 Pa. Code Chapter 6100 regulations?

**☐ Fully Prepared****☐ Not Prepared** **AE Comments:** | * 6100.181 Exercise of Rights
* 6100.182 Rights of the Individual
* 6100.183 Additional Rights of the Individual in a Residential Service Location
* 6100.185 Informing of Rights
 |
| 4E. What is the agency’s protocol for managing the individual’s finances, if applicable? *Best practice could include the following: Residential manager does weekly balances; Once monthly reconciling cash and ledgers; Safes in each house with limited access; Educate staff on the agency’s policy/protocol, ODP’s policy and regulations, on how to budget and assist the individual with managing his/her money. The agency randomly does financial checks at the home***AGENCY COMMENTS:** | 4E. Examples of what the agency could provide:       * A protocol that describes the steps for managing the individual’s finances which could include the actual system used for managing the finances, the process for the administration of funds, withdrawals, account balances, and the internal control mechanisms.
* Who will be the individual’s rep-payee?

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.401 Types of Incidents and Timelines for Reporting
* 6100.350 Access to or the use of an Individual’s Personal Property
* 6100.694 Managing individual finances
 |
| 4F. How will the agency encourage and support the individual to be involved in meaningful activities in his/her community?**AGENCY COMMENTS:** | 4F. Examples of what the agency could provide:       * An attestation, policy, or procedure on how the agency will encourage individuals to be active in the community?·
* How staff will be trained on community integration?
* How staff will be trained on the ISP to understand the individual’s interest and preferences?

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.142 Orientation
* 6100.143 Annual Training
* 6100.184 Negotiation of Choices
* 6100.261 Access to the community
* 6100.223 Content of the individual plan
* 6100.221 (g) Development of the individual plan
* 6400.44 Program Specialist
 |
| 4G. How will the agency continue to explore each individual’s interests and preferences and how will their interests and preferences be addressed?**AGENCY COMMENTS:** | 4G. Examples of what the agency could provide:       * An attestation of how they discovered the individuals interests and preferences?

☐ Fully Prepared☐ Not Prepared | * 6100.182 Rights of the individual
* 6100.222 Individual Plan Process
* 6100.223 Content of the individual plan
* 6100.227 Progress notes
 |
| 4H. How will the agency ensure assistance, support, and guidance is provided as needed to enable each individual to participate in the development and implementation of the ISP?**AGENCY COMMENTS:** | 4H. Examples of what the agency could provide:       * An attestation, policy, or protocol on how the agency will ensure assistance and participation with the development in the ISP?

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.221 Development of the Individual Plan
* 6100.222 Individual Plan Process
* 6100.223 Content of the Individual Plan
* 6100.224 Implementation of the Individual Plan
* Residential Habilitation, Life Sharing and Supported Living service definitions in ODP’s waivers
 |
| 4I. How will the agency ensure staff are trained and understand the Incident Management system?**AGENCY COMMENTS:** | 4I. Examples of what the agency could provide:       * An attestation, policy, or procedure of how the agency will ensure all staff are trained, which includes understanding the Incident Management policies and procedures?; ·
* An attestation of how the agency will ensure staff understand what they were trained on?
* What the agency will use to train the staff on Incident Management?

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.143 Annual Training
* 6100.142 Orientation
* 6100.401 Types of incidents and timelines for reporting
* 6100.402 Incident investigation
* 6100.403 Individual needs
* 6100.404 Final incident report
* 6100.405 Incident analysis
* ODP Bulletin 00-21-02, Incident Management
 |
| 4J. How will the agency implement Incident Management and who will fill the various roles as described in ODP Bulletin 00-21-02, Incident Management?**AGENCY COMMENTS:** | 4J. Examples of what the agency could provide:       * How the Incident Management process will be implemented?;
* Who will be filling the various roles in the Incident Management process?

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.143 Annual Training
* 6100.142 Orientation
* 6100.401 Types of incidents and timelines for reporting
* 6100.402 Incident investigation
* 6100.403 Individual needs
* 6100.404 Final incident report
* 6100.405 Incident analysis
* ODP Bulletin 00-21-02, Incident Management
 |
| 4K. How will the agency ensure that each individual is educated on the Victim’s Assistance Program and how to access it? *The provider may need to remind the individual about such resources if an incident occurs.***AGENCY COMMENTS:** | 4K. Examples of what the agency could provide:       * An attestation, policy, or procedure on how the individual will be educated on Victim’s Assistance Program?
* An attestation, policy, or procedure explaining what materials are used to educate the individuals on the Victim’s Assistance Program?

**☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * IM Bulletin 00-21-02
* Attachment 1 of the IM Bulletin 00-21-02
 |
| 4L. How will the agency use the data collected through Incident Management to analyze trends, to develop risk-mitigation strategies, or to inform new policies or procedures?**AGENCY COMMENTS:** | 4L. Examples of what the agency could provide:       * How data will be collected and managed?

What the data will be used for? **☐ Fully Prepared****☐ Not Prepared****AE Comments:** | * 6100.45 Quality management
* 6100.401 Types of incidents and timelines for reporting
* 6100.402 Incident investigation
* 6100.403 Individual needs
* 6100.404 Final incident report
* 6100.405 Incident analysis
* ODP Bulletin 00-21-02, Incident Management
 |

| **Best Practice Questions****Section 4 – Individual’s Interest / The Person at the Center of the Plan** |
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| 1. | It is best practice for the agency to become knowledgeable about the LifeCourse framework and then incorporate the LifeCourse framework when assisting with the development of the individual’s ISP. *Please Note: ODP recommends that all staff,* including management, *take the training on the LIfeCourse Framework on* *MyODP.org* *and how to use the* *LifeCourse Framework and tools**.**Source Reference(s):** *Charting the LifeCourse information: on MyODP* *https://www.myodp.org/* *and* *https://www.lifecoursetools.com/*
* *MyODP.org - announcements on LifeCourse information*
 |
| 2. | Best practice is for the agency to assist the individual(s) with assessing and determining housemate compatibility.*Source Reference:** *MyODP.org Individual and Family resources*
* *6100.182(e) Rights of the Individual*
 |
| 3. | Best practice is for the agency to involve the individuals who are receiving the residential service in interviewing and hiring decisions regarding direct support professionals who will be working for them. Further, when hiring and/or assigning staff, the individual's staff preferences should be taken into consideration (e.g. male/female preference). It is best practice for the agency to take into account the type of care the individual will receive as part of the residential service and try to accommodate the individuals’ staff preferences. This is especially important when intimate personal-care will be provided.  |
| 4. | ODP offers a variety of training resources, as found on MyODP.org. It is best practice that providers use these trainings resources to maintain competency with current operations. Providers are permitted to use their own developed competency based training, but it must meet ODP requirements. ODP may ask to review the provider’s training materials. (A competency based training consists of a tool that can measure staff’s comprehension and application of the skill/concepts learned. This helps the provider to also assess the quality of the training.) |
| 5. | ODP expects providers to have a Culture of Safety. A Culture of Safety is the agency’s commitment to quality and safety, based on values, attitude’s, perceptions, competencies, and patterns of behavior. In relation to incident management, the agency should promote this Culture of Safety which will encourage their staff to respect, listen, ask, believe, and respond to alleged incidents or incidents that were seen by staff. *Source Reference:** *https://www.myodp.org/course/view.php?id=1814*
* *Incident Management Bulletin 00-21-02*
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| [ ]  By checking this box, I acknowledge that I have read and understand the above best practice statements. If I do have any questions, I will consult with my AE. |

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| **AE’s Overall Determination**  |
| [ ]  Ready to Provide Residential Services* Each required question has been marked “Fully Prepared”

[ ]  Not Ready to Provide Residential Services* There are still outstanding issues/concerns on some of the “Not Fully Prepared” questions.

Explanation regarding the determination:**AE Comments:** |