



Developmental Services Compliance Inspection Report

Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008

Identifying Information	
Service Provider ID: PL105246	Service Provider Name: Community Living Kingston & District (Main)
Group Category: GROUP1	Agency ID: 513443
Agency Address: 1412 Princess Street Kingston, Ontario K7M 3E5	Contact Title & Contact Name: Executive Director; Peter Sproul
Agency Telephone Number: (613)546-6613 ext 244	
Ministry Staff Name: Darlene Dale	Inspection Exit Meeting Date (yyyy-MM-dd) : 2017-02-14
Program Supervisor Name: Julianne Macleese	Services and Support: Supported Group Living Residences;Intensive Support Residences;Host Family Residences;Supported Independent Living Residences;Community Participation Services and Supports;Caregiver Respite Services and Supports

Visit Number	Time In (yyyy-MM-dd)	Time Out (yyyy-MM-dd)
1	2017-02-06 09:30:20	2017-02-14 12:00:32

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008*.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Policies and Procedures	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
1. Follow P&P Where a service agency is required to have policies and procedures in respect of its quality assurance measures, the agency shall follow the policies and procedures and shall ensure that its staff members, volunteers and members of its board of directors follow them, to the degree that is appropriate given the role of the staff member, volunteer and board member. (Regulation 299/10, 1(3)(a))		X		No evidence that the agency staff followed their policies and procedures regarding Criminal Reference Checks and Volunerable Sector Checks, retention and shredding of document.	A letter and/or documentation confirming completion of corrective action. Agency changed policy to indicate that CRC's will be kept on file for a period of one year and then destroyed.	2017-02-28	Yes
2. Writing, Date, Current Practice Where a service agency is required to have policies and procedures in respect of its quality assurance measures, the agency shall ensure that the policies and procedures are in writing, are dated and reflect the service agency's most current practice. (Regulation 299/10, 1(3)(b))	X						
3. Mission Statement Each service agency shall include in its policies and procedures a mission statement that promotes social inclusion. (Regulation 299/10, 4(1)(1))	X						
4. Service Principles Each service agency shall include in its policies and procedures service principles that promote individualized approaches to supporting persons with developmental disabilities. (Regulation 299/10, 4(1)(2))	X						

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<p>5. Statement of Rights</p> <p>Each service agency shall include in its policies and procedures a statement that outlines the rights of persons with developmental disabilities who are receiving services and supports from the service agency and is based on respect for and the dignity of the individual. (Regulation 299/10, 4(1)(3))</p>	X						
<p>6. Management of Finances</p> <p>Each service agency shall have policies and procedures regarding assistance with the management of finances for a person with a developmental disability who receives services and supports from the agency, where the person requests assistance with the management of their day-to-day finances or the assistance is identified in the person's individual support plan. (Regulation 299/10, 6(1))</p>	X						
<p>7. Public Health Information</p> <p>Each service agency shall have policies and procedures respecting the provision of public health information that may help persons with developmental disabilities who are receiving services and supports from the agency make informed choices about their health. (Regulation 299/10, 7(1)(1))</p>	X						
<p>8. Health Concerns</p> <p>Each service agency shall have policies and procedures to monitor the health concerns of persons with developmental disabilities who are receiving services and supports from the agency, where the supports have been identified in their individual support plan. (Regulation 299/10, 7(1)(2))</p>	X						

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9. Medical Services Each service agency shall have policies and procedures, including documentation, regarding medical services that are provided to the person with a developmental disability, where the service agency is providing assistance. (Regulation 299/10, 7(1)(3)(i))	X						
10. Medication Administration, Self Each service agency shall have policies and procedures, including documentation, regarding administration of medication, including self-administration by the person with a developmental disability. (Regulation 299/10, 7(1)(3)(ii))	X						
11. Medication Errors, Refusals Each service agency shall have policies and procedures, including documentation, regarding any medication errors and any refusals to take any prescribed medication. (Regulation 299/10, 7(1)(3)(iii))	X						
12. Medical Services, Refusals Each service agency shall have policies and procedures, including documentation, regarding any refusals by the person with a developmental disability to obtain or accept medical services that are recommended by a legally qualified medical practitioner or other health professional. (Regulation 299/10, 7(1)(3)(iv))	X						

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13. Emergency Medical Services Each service agency shall have policies and procedures, including documentation, regarding emergency medical services. (Regulation 299/10, 7(1)(3)(v))	X						
14. Medication, Access and Storage Each service agency shall have policies and procedures regarding access to and the storage of prescribed and non-prescribed medication. (Regulation 299/10, 7(1)(4))	X						
15. Medication, Transfer Each service agency shall have policies and procedures for the transfer of medication between different locations where the person with a developmental disability is receiving services and supports. (Regulation 299/10, 7(1)(5)(i))	X						
16. Medication, Responsibility Each service agency shall have policies and procedures for the responsibility for access to and the storage and administration of medication at each of the different locations. (Regulation 299/10, 7(1)(5)(ii))	X						
17. Abuse, Documentation and Reporting Each service agency shall include in its policies and procedures the documentation and reporting of any alleged, suspected or witnessed incidents of abuse of persons with developmental disabilities. (Regulation 299/10, 8(1)(1))	X						

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18. Abuse, Supporting Persons Each service agency shall include in its policies and procedures the manner of supporting a person with a developmental disability, where abuse of that person has been alleged, suspected or witnessed. (Regulation 299/10, 8(1)(2))	X						
19. Abuse, Dealing with Staff & Volunteers Each service agency shall include in its policies and procedures the manner of dealing with service agency staff members and volunteers who have abused or are alleged to have abused persons with developmental disabilities. (Regulation 299/10, 8(1)(3))	X						
20. Abuse, Zero Tolerance A service agency's policies and procedures on abuse shall promote zero tolerance toward all forms of abuse. (Regulation 299/10, 8(3))	X						
21. Abuse, Notification A service agency shall have policies and procedures on the notification of persons acting on behalf of the person with a developmental disability of an alleged, suspected or witnessed incident of abuse. (Regulation 299/10, 9(1))	X						
22. Abuse Notification, Consent The policies and procedures on notification shall require the service agency to obtain the consent of the person with a developmental disability before notifying others, if the person is capable of providing consent. (Regulation 299/10, 9(2))	X						

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23. Privacy and Confidentiality Each service agency shall have policies and procedures that comply with applicable privacy legislation and its privacy and confidentiality obligations under any funding agreement made under the Act. (Regulation 299/10, 10(1)(1))	X						
24. Personal Information, Consent Each service agency shall have policies and procedures regarding consent to any collection, use or disclosure of personal information. (Regulation 299/10, 10(1)(2))	X						
25. Equipment Maintenance A service agency shall have policies and procedures regarding the maintenance of equipment on premises owned or operated by the agency and shall maintain the equipment as recommended by the manufacturer. (Regulation 299/10, 11(3))	X						
26. Personal Safety and Security Each service agency shall have policies and procedures regarding the personal safety and security of persons with developmental disabilities who receive services and supports from the service agency. (Regulation 299/10, 12(1))	X						
27. Orientation and Initial Training, P & P's Each service agency shall have policies and procedures for staff members and volunteers that address the orientation and initial training on the service agency and its policies and procedures. (Regulation 299/10, 13(1)(1)(i))	X						

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28. Orientation and Initial Training, Individual Needs Each service agency shall have policies and procedures for staff members and volunteers that address the orientation and initial training on the individual needs of the persons with developmental disabilities whom the staff member or volunteer will support. (Regulation 299/10, 13(1)(1)(ii))	X						
29. Training, Ongoing Each service agency shall have policies and procedures for staff members and volunteers that address regular ongoing training for staff members and volunteers regarding support for persons with developmental disabilities and service agency policies and procedures as may be appropriate or required. (Regulation 299/10, 13(1)(2))	X						
30. Record Retention and Storage Each service agency shall have policies and procedures on service record retention and secure storage. (Regulation 299/10, 14(1)(b))	X						
31. Training, Challenging Behavior Each service agency shall have policies and procedures regarding training for staff and volunteers to assist them in working with persons with developmental disabilities who have challenging behaviour. (Regulation 299/10, 17(1))	X						

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32. Behavior Intervention Strategies Each service agency shall have policies and procedures regarding the use of behaviour intervention strategies for persons with developmental disabilities who have challenging behaviour. (Regulation 299/10, 19(1))	X						
33. Behaviour Intervention Strategies, Volunteers Each service agency shall have policies and procedures regarding the use of behaviour intervention strategies by volunteers, including whether volunteers are permitted to use behaviour intervention strategies and, if so, under what circumstances. (Regulation 299/10, 19(3))	X						
34. Secure Isolation, Confinement/Time Out, Interval Monitoring A service agency shall ensure that its written policies and procedures on the use of a secure isolation or time-out room address the following: Stages of interval monitoring. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						

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<p>35. Secure Isolation, Confinement/Time Out, Duration/Maximum Time</p> <p>A service agency shall ensure that its written policies and procedures on the use of a secure isolation or time-out room address the following: Duration of time that a person may spend in secure isolation/confinement time-out, any extension periods, and the total/maximum amount of time that a person may spend in secure isolation/confinement time-out. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)</p>	X						
<p>36. Secure Isolation, Confinement/Time Out, Continuous Observation, Monitoring Protocols</p> <p>A service agency shall ensure that its written policies and procedures on the use of a secure isolation or time-out room address the following: Protocols regarding continuous observation and monitoring of a person who is in the secure isolation/confinement time-out room. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)</p>	X						
<p>37. Secure Isolation, Confinement/Time Out, Record Keeping</p> <p>A service agency shall ensure that its written policies and procedures on the use of a secure isolation or time-out room address the following: Regular record keeping (e.g., every fifteen minutes) of secure isolation/confinement time-out room use for each person with a developmental disability who has challenging behaviour, and trend analysis for each person. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)</p>	X						

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38. Secure Isolation, Confinement/Time Out, Notification, Key Staff A service agency shall ensure that its written policies and procedures on the use of a secure isolation or time-out room address the following: Notification of key agency staff that the secure isolation/confinement time-out room has been used, and regular report-backs to key clinicians overseeing the person's behaviour support plan. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
39. Use of Intrusive Behaviour Intervention, Consent and Notification A service agency shall have policies and procedures regarding the notification of persons acting on behalf of the individual with a developmental disability who has challenging behaviour (a contact person). The policies and procedures shall have consideration for an individual's ability to provide consent regarding notification, and shall address: Whether and/or under what circumstances the agency would notify the contact person of the use of intrusive behaviour intervention with the individual, where the intrusive behaviour intervention is outlined in the individual's behaviour support plan. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						

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40. Use of Intrusive Behaviour Intervention, Consent and Notification/Regular Updates A service agency shall have policies and procedures regarding the notification of persons acting on behalf of the individual with a developmental disability who has challenging behaviour (a contact person). The policies and procedures shall have consideration for an individual's ability to provide consent regarding notification, and shall address: Regular updates on the use of intrusive behaviour intervention with the individual to the contact person, when the behaviour support plan does not specify that each use of intrusive behaviour intervention be communicated to the contact person. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
41. Use of Intrusive Behaviour Intervention, Consent and Notification/Crisis Situation A service agency shall have policies and procedures regarding the notification of persons acting on behalf of the individual with a developmental disability who has challenging behaviour (a contact person). The policies and procedures shall have consideration for an individual's ability to provide consent regarding notification, and shall address: Notifying the contact person of the use of a physical restraint with the individual, in a crisis situation. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						

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42. Third Party Review Committee, Membership and Roles A service agency shall have policies and procedures regarding the review committee, its membership, and its roles and responsibilities. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
43. Food and Nutrition Each service agency shall have policies and procedures on food and nutrition, consistent with the recommendations made under Canada's Food Guide and recognize diversity, reflecting the culture and diversity of the persons with developmental disabilities who receive services and supports from the service agency. (Regulation 299/10, 25(1))	X						
44. Inventory, Personal Property Each service agency shall have policies and procedures on the inventory, care and maintenance of the personal property owned by the persons with developmental disabilities who receive services and supports from the service agency. (Regulation 299/10, 25(2))	X						
45. Pets and Service Animals Each service agency shall have policies and procedures on pets and service animals in the residence. (Regulation 299/10, 25(3))	X						

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46. Scalding Prevention, 49 Degrees Celsius Each service agency shall have policies and procedures on scalding prevention, which shall ensure that the service agency has a method of temperature control, monitoring and documentation to ensure that in each residence water from a faucet is not hotter than 49 degrees Celsius. (Regulation 299/10, 25(4))	X						
47. Supervision, Bathing & Showering Each service agency shall have policies and procedures on supervision during bathing and showering to ensure the safety of the person, as appropriate to the needs of the person with a developmental disability. (Regulation 299/10, 25(5))	X						
48. Feedback/Complaints, Individual A service agency shall have written policies and procedures regarding the process for receiving and addressing feedback and complaints about the services and supports that it provides that may be received from: An individual with a developmental disability who receives services and supports from the service agency. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						

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49. Feedback/Complaints, Person Acting on Behalf A service agency shall have written policies and procedures regarding the process for receiving and addressing feedback and complaints about the services and supports that it provides that may be received from: A person acting on behalf of the individual with a developmental disability who receives services and supports from the service agency. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
50. Feedback/Complaints, Public A service agency shall have written policies and procedures regarding the process for receiving and addressing feedback and complaints about the services and supports that it provides that may be received from: The general public. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
51. Complaints/Feedback, Way Received The policies and procedures shall account for differing ways that complaints/feedback may be received (e.g., complaints/feedback submitted in writing, or provided verbally to an agency representative). (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
52. Complaints/Feedback, Documentation The policies and procedures shall identify: How the service agency receives and documents complaints/feedback. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						

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53. Complaints/Feedback, Investigating The policies and procedures shall identify: The process for investigating the matter (if applicable) that must be free of conflict of interest. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
54. Complaints/Feedback, Expected Timelines The policies and procedures shall identify: Expected time period for the complaints/feedback processes (i.e., for each step of the process). (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
55. Complaints/Feedback, Process for Responding The policies and procedures shall identify: The process for responding to complaints/feedback. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
56. Complaints/Feedback, Roles and Responsibilities The policies and procedures shall identify: The roles and responsibilities of persons who may be involved in receiving complaints/feedback, documenting, investigating, resolving and providing notification or confirmation with the individual who submitted the complaint/feedback. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						

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57. Complaints/Feedback, Consideration for Roles & Responsibilities The policies and procedures shall identify: Consideration for the role and any responsibilities of persons who receive support from the service agency, in the complaints/feedback processes. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
58. Complaints/Feedback, Board of Directors/Roles and Responsibilities The policies and procedures shall identify: The role and responsibilities of the Board of Directors in the complaints/feedback processes. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
59. Complaints/Feedback, Conflict of Interest The policies and procedures shall identify: How to avoid conflict of interest that may arise between the person who makes the complaint or provides feedback, and those who may be involved in the review, documentation, investigation, resolution and notification/confirmation. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
60. Fair Review Process The policies and procedures shall identify: How to ensure that the review process is free of any coercion or intimidation or bias, either before, during, or after the review. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						

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61. Complaints/Feedback, Reporting to Police The service agency's policies and procedures on the complaints and feedback process shall comply with reporting requirements set out in the Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008 and its regulations. Where necessary, a service agency shall ensure that a complaint/feedback is: Reported to the police (i.e., as in the case of alleged, suspected or witnessed abuse that may constitute a criminal offence, as required by Ontario Regulation 299/10 regarding quality assurance measures made under the Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008). (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
62. Complaints/Feedback, Reporting to Ministry The service agency's policies and procedures on the complaints and feedback process shall comply with reporting requirements set out in the Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008 and its regulations. Where necessary, a service agency shall ensure that a complaint/feedback is: Reported to the ministry as a serious occurrence through the ministry's serious occurrence reporting process (based on the nature of the complaint/feedback). (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						

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63. Host Family, Minimum Screening Process Requirements, Key Considerations; Family's Willingness and Motivation Written policies and procedures on the key considerations that service agencies must take into account when screening potential host families include the family's willingness and motivation to accept the individual as part of their family as willingness to foster and respect the individual's independence, dignity, self-determination, social inclusion and community participation (Policy Directives for Service Agencies regarding the Host Family Program 1.1)	X						
64. Host Family, Minimum Screening Process Requirements, Key Considerations; physical, mental and emotional capabilities. Service agency's written policies and procedures on the key considerations that service agencies must take into account when screening potential host families include the physical, mental, social and emotional capabilities of the host family to meet the needs of the individual. (Policy Directives for Service Agencies regarding the Host Family Program 1.1)	X						

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65. Host Family, Minimum Standards Screening Process Requirements, Key Considerations; secure financial status. Written policies and procedures on the key considerations that service agencies must take into account when screening for potential host families include secure financial status with adequate income to provide for the needs of the household.] (Policy Directives for Service Agencies regarding the Host Family Program 1.1)	X						
66. Host Family, Minimum Standards Screening Process Requirements, Key Considerations; suitability of the host family setting. Written policies and procedures on the key considerations that the service agency must take into account when screening for potential host families include the suitability of the host family setting for the individual based on factors such as but not limited to, the individual's goals, interests, social connections, health and safety needs and cultural/linguistic, religious background; physical attributes of the home and its surroundings, proximity to natural family members. (Policy Directives for Service Agencies regarding the Host Family Program 1.1)		X		Host Family screening process policies and procedures do not include suitability of the host family setting for the individual based on factors such as but not limited to, the individual's goals, interests, social connections, health and safety needs and cultural/linguistic, religious background; physical attributes of the home and its surroundings, proximity to natural family members.	Final/approved written & dated policies and procedures. Policy updated to include suitability screening of the host family on factors such as individuals goals and interests.	2017-02-28	Yes

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Policies and Procedures	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
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67. Host Family, Minimum Standards Screening Process Requirements, Key Considerations; Orientation, training, monitoring, evaluation Written policies and procedures on the key considerations that the service agency must take into account when screening for potential host families include availability and willingness of the host family to participate in orientation, training and ongoing monitoring and evaluation activities, as outlined in agency policies and procedures (which must accord with MCSS' Policy Directives) and the service agreement. (Policy Directives for Service Agencies regarding the Host Family Program 1.1)	X						
68. Support and Oversight/Training and Orientation Sessions Service agencies administering the Host Family Program must have policies and procedures to address providing training and orientation for the Host Family including but not limited to: initial certification of CPR and first aid, confidentiality, abuse prevention and reporting, serious occurrence reporting (as may be applicable in the agencies policies and procedures) complaints, rights, and care, or ensure that the Host Family has completed equivalent training and orientation. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008*.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Policies and Procedures	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
69. Support and Oversight/Quarterly Meeting Service agencies administering the Host Family Program must have policies and procedures to address meeting in person with the individual, who may be accompanied by a peer, friend or family member as may be appropriate and as may be requested by the individual, at least quarterly and separately from the Host Family, in order to receive feedback and address any issues the individual may have, in a personal and confidential manner. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
70. Support and Oversight/Ongoing Support Service agencies administering the Host Family Program must have policies and procedures to address providing ongoing support to the Host Family as needed e.g., transition support, community information, connection to other host families for advice and support. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
71. Support and Oversight/Respite Service agencies administering the Host Family Program must have policies and procedures to address supporting caregiver respite with consideration for any terms in the agency's service agreement such as making arrangements for planned and emergency caregiver respite where applicable. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008*.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Policies and Procedures	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
72. Support and Oversight/Respite, physical inspection and initial screening Service agencies administering the Host Family Program must have policies and procedures to address supporting caregiver respite with consideration for when a screening should include a physical inspection of the respite provider's home and when a caregiver's respite provider's initial screening should be triggered. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
73. Support and Oversight/Facilitating Contact Service agencies administering the Host Family Program must have policies and procedures to address facilitating contact between the individual, their family/guardian and the host family, as appropriate. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
74. Support and Oversight/Change of Circumstance Service agencies administering the Host Family Program must have policies and procedures to address working with the Host Family and the individual in the event of a change of circumstance where the host family provider is unable to continue in their role as primary caregiver. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with*

Developmental Disabilities Act, 2008.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Policies and Procedures	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
75. Support and Oversight/Move Outside Service Boundaries Service agencies administering the Host Family Program must have policies and procedures to address contacting the Ministry about situations where an individual wants to move with their Host Family to another community outside the agency's service boundaries in Ontario. Considerations for such transfers may include an individual's or their substitute -decision maker's choice, access to and availability of, other community services and proximity to natural family. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
76. Monitoring Personal Safety and Security/Physical Verification. At a minimum, service agencies must have policies and procedures regarding monitoring the personal safety and security of individuals receiving supports and services under the Host Family Program that includes a physical verification of the residence and property to ensure the individual's living space is kept clean and safe. (Policy Directives for Service Agencies regarding the Host Family Program 3.2)	X						

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with*

Developmental Disabilities Act, 2008.

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Policies and Procedures	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
77. Monitoring Personal Safety and Security/Safety Requirements At a minimum, service agencies must have policies and procedures regarding monitoring the personal safety and security of individuals receiving supports and services under the Host Family Program that includes checking safety requirements related to fire safety, health hazards and water quality testing, where applicable, in the Host Family residence and involving other officials/professionals as required. (Policy Directives for Service Agencies regarding the Host Family Program 3.2)	X						
78. Monitoring Personal Safety and Security/Resolution-Concerns Service agencies must have policies and procedures in place to assist in the resolution of any concerns about the placement. (Policy Directives for Service Agencies regarding the Host Family Program 3.2)	X						
79. Monitoring Personal Safety and Security/Serious Occurrence Reporting Service agencies must have policies and procedures regarding when the Host Family must notify the service agency of any serious concerns such as those outlined in Serious Occurrence Reporting Procedures. (Policy Directives for Service Agencies regarding the Host Family Program 3.2)		X		Host Family monitoring policies and procedures do not address when the Host Family must notify the service agency of any serious concerns such as those outlined in Serious Occurrence Reporting Procedures.	Final/approved written & dated policies and procedures. Serious Occurrence notification of Host Family to agency is now in policy.	2017-02-28	Yes

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with*

Developmental Disabilities Act, 2008.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Policies and Procedures	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
80. Renumeration/Rates and Processes The service agency's policies and procedures must address the rates and processes for remuneration to the host family from the service agency, including an articulation of agency supports provided in addition to Ontario Disability Support Program (ODSP) funding. (Policy Directives for Service Agencies regarding the Host Family Program 4.0)	X						
81. Renumeration/Basic Needs The service agency's policies and procedures must address processes to manage accommodation and basic needs expense payments (e.g. where the service agency is paying the Host Family on behalf of an individual). (Policy Directives for Service Agencies regarding the Host Family Program 4.0)	X						
82. Renumeration/Eligible Expenses The service agency does not have written policies and procedures to address reimbursement of eligible expenses where appropriate e.g. out-of-pocket expenses for the host family, travel to medical appointments, etc. (Policy Directives for Service Agencies regarding the Host Family Program 4.0)	X						
General Comments							

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008*.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Board Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
<p>1. Mission Statement, Service Principles, Statement of Rights</p> <p>Each service agency shall conduct a mandatory orientation to its mission statement, service principles and statement of rights with its new members of its board of directors. (Regulation 299/10, 4(2)(b))</p>	X						
<p>2. Mission Statement, Service Principles, Statement of Rights, Annual Review</p> <p>Each service agency shall ensure that its board of directors conduct an annual review of its mission statement, service principles and statement of rights, which shall include updating as necessary. (Regulation 299/10, 4(2)(c))</p>	X						
<p>3. Mission Statement, Service Principles, Statement of Rights, Review Dates</p> <p>Each service agency shall record the dates of all orientations, refreshers and reviews conducted under clauses (b). (Regulation 299/10, 4(2)(d))</p>	X						
<p>4. Financial Records, Annual Review Report</p> <p>The service agency shall ensure books of accounts and financial records prepared and maintained in accordance with subsection (2) are independently reviewed by a third party annually; the independent review shall include a report to the board of directors. (Regulation 299/10, 6(3))</p>	X						

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008*.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Board Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
5. Abuse Policies Orientation, Annual In addressing quality assurance measures respecting abuse prevention and reporting, each service agency shall provide a mandatory orientation to all new members of the board of directors on the agency's policies and procedures on abuse prevention, identification and reporting and a refresher on the policies and procedures every year thereafter. (Regulation 299/10, 8(2)(b))	X						
6. Privacy and Confidentiality Orientation Each service agency shall provide an orientation to new members of its board of directors regarding its policies and procedures respecting privacy and confidentiality and consent to collection, use or disclosure of personal information. (Regulation 299/10, 10(2))	X						
7. References A service agency shall arrange for a personal reference check and require a police records check for board members, if they will have direct contact with the persons with developmental disabilities who receive services and supports from the service agency. (Regulation 299/10, 13(3))			X				
8. References, ASAP The service agency shall ensure that the personal reference check and police records check are completed as soon as possible for the new board member before or after they assume their responsibilities with the agency. (Regulation 299/10, 13(5))			X				

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with*

Developmental Disabilities Act, 2008.

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Board Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
9. References, Supervision Until the completion of their reference check, their police records check and their orientation and initial training, a board member shall have direct contact with persons with developmental disabilities only when being supervised. (Regulation 299/10, 13(6))			X				
General Comments							

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008*.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Staff-Volunteer Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
1. Mission Statement, Service Principles, Statement of Rights Each service agency shall conduct a mandatory orientation to its mission statement, service principles and statement of rights with its new staff members, new volunteers. (Regulation 299/10, 4(2)(b))	X						
2. Mission Statement, Service Principles, Statement of Rights, Annual refresher Each service agency shall conduct an annual refresher for its staff and volunteers of the mission statement, service principles and statement of rights thereafter. (Regulation 299/10, 4(2)(b))	X						
3. Mission Statement, Service Principles, Statement of Rights, Dates Each service agency shall record the dates of all orientations, refreshers and reviews conducted under clauses (b). (Regulation 299/10, 4(2)(d))	X						
4. Training, First Aid & CPR Each service agency shall provide training to its staff members on first aid and CPR or shall arrange for the training to be provided by third party health professionals or medical professionals. (Regulation 299/10, 7(3))	X						

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Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Staff-Volunteer Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
5. Training, Specific Needs Each service agency shall provide training to its staff members on meeting the specific needs for the health and well-being of persons with developmental disabilities who are receiving services and supports from the agency, including any controlled acts as required. (Regulation 299/10, 7(4)(a))	X						
6. Training, Third Party Each service agency shall arrange for the training to be provided by third party health professionals or medical professionals. (Regulation 299/10, 7(4)(b))	X						
7. Abuse, Training Each service agency shall provide mandatory training on abuse prevention, identification and reporting to all of its staff members and volunteers who have direct contact with persons with developmental disabilities who are receiving services and supports. (Regulation 299/10, 8(2)(a)(i))	X						
8. Abuse, Annual Training Each service agency shall provide a refresher course on the matters referred to in subclause (i) every year thereafter. (Regulation 299/10, 8(2)(a)(ii))	X						
9. Privacy and Confidentiality, Training Each service agency shall train its staff members and volunteers regarding its policies and procedures respecting privacy and confidentiality and consent to collection, use or disclosure of personal information. (Regulation 299/10, 10(2))	X						

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008*.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Staff-Volunteer Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
10. Emergency Preparedness Plan, Training Each service agency shall have training for its staff members in the procedures outlined in the emergency preparedness plan. (Regulation 299/10, 11(1)(3))	X						
11. Orientation and Initial Training, P & P's Each service agency shall have policies and procedures for staff members and volunteers that address the orientation and initial training on the service agency and its policies and procedures. (Regulation 299/10, 13(1)(1)(i))	X						
12. Orientation and Initial Training, Individual Needs Each service agency shall have policies and procedures for staff members and volunteers that address the orientation and initial training on the individual needs of the persons with developmental disabilities whom the staff member or volunteer will support. (Regulation 299/10, 13(1)(1)(ii))	X						
13. Training, Ongoing Each service agency shall have policies and procedures for staff members and volunteers that address the regular ongoing training for staff members and volunteers regarding support for persons with developmental disabilities and service agency policies and procedures as may be appropriate or required. (Regulation 299/10, 13(1)(2))	X						

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Developmental Disabilities Act, 2008.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Staff-Volunteer Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
14. References, Staff A service agency shall arrange for a personal reference check and require a police records check for all new staff members. (Regulation 299/10, 13(2))	X						
15. References, Volunteers A service agency shall arrange for a personal reference check and require a police records check for volunteers if they will have direct contact with the persons with developmental disabilities who receive services and supports from the service agency. (Regulation 299/10, 13(3))	X						
16. Written Protocols, Local Police A service agency shall have written protocols with their local police services to ensure that the type of information provided through a police records check is appropriate to the position being applied for. (Regulation 299/10, 13(4))	X						
17. References, ASAP The service agency shall ensure that the personal reference check and police records check are completed as soon as possible for the new staff member and volunteer before or after they assume their responsibilities with the agency. (Regulation 299/10, 13(5))	X						

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008*.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Staff-Volunteer Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
18. References, Supervision Until the completion of their reference check, their police records check and their orientation and initial training, a staff member and volunteer shall have direct contact with persons with developmental disabilities only when being supervised. (Regulation 299/10, 13(6))	X						
19. Training, Physical Restraint Each service agency shall train all staff members who work directly with persons with developmental disabilities on the use of physical restraint. (Regulation 299/10, 17(2))	X						
20. Physical Restraint, Training Package, Suitable for Adults with a Developmental Disability Further to the requirements to train direct care staff on the use of physical restraint, as listed in section 17(2), 'General behaviour intervention strategies training' of Ontario Regulation 299/10, it is important to note that the training package used by service agencies meet the criteria outlined below: The curriculum is suitable for use with adults with a developmental disability and addresses the clients' needs, based on an assessment of risk of the individuals receiving support. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						

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Developmental Disabilities Act, 2008.

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Staff-Volunteer Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
21. Physical Restraint, Training Package/Emergency Situations Further to the requirements to train direct care staff on the use of physical restraint, as listed in section 17(2), "General behaviour intervention strategies, training", of Ontario Regulation 299/10, it is important to note that the training package used by service agencies meet the criteria outlined below: The curriculum provides training that enables direct care staff to respond to emergency situations at all times. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
22. Training, Behaviour Support Plan Each service agency shall ensure that staff members who work directly with persons with developmental disabilities who have challenging behaviour are trained before beginning work with the person they will support: the behaviour support plan of the person they will be supporting. (Regulation 299/10, 17(3)(1))	X						
23. Training, Behaviour Interventions Each service agency shall ensure that staff members who work directly with persons with developmental disabilities who have challenging behaviour are trained on the following, before beginning work with the person they will support: the use of behaviour interventions that are outlined in the behaviour support plan of the persons they will be supporting. (Regulation 299/10, 17(3)(2))	X						

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Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Staff-Volunteer Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
24. Training, Behaviour Interventions, Volunteers Each service agency shall ensure that, where the service agency's policies and procedures permit volunteers to work directly with persons with developmental disabilities who have challenging behaviour, the volunteers are trained on the matters referred to in subsection (3), before beginning volunteer work with the person they will support. (Regulation 299/10, 17(4))	X						
25. Training Records, Behaviour Interventions Each service agency shall maintain training records on the use of behaviour interventions for staff members and volunteers who work directly with persons with developmental disabilities who have challenging behaviour. (Regulation 299/10, 17(5))	X						
26. Training & Refresher, Behaviour Interventions The training on the use of behaviour interventions for staff members and volunteers, including refresher courses required under a training program, may be provided by the service agency or by a third party. (Regulation 299/10, 17(6))	X						
27. Behavior Intervention Strategies, Volunteers Each service agency shall have policies and procedures regarding the use of behaviour intervention strategies by volunteers, including whether volunteers are permitted to use behaviour intervention strategies and, if so, under what circumstances. (Regulation 299/10, 19(3))	X						
General Comments							

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Developmental Disabilities Act, 2008.

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Staff-Volunteer Records	Yes	No	N/A	Observed Non-Compliance		Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Required for Compliance		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
					Follow-up Comments		
19. Three staff were noted to have Certificates of CPI that have just expired - staff are registered in a course within 30 days.							

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Individual Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
<p>1. Mission Statement, Service Principles & Statement of Rights</p> <p>Each service agency shall conduct a mandatory orientation to its mission statement, service principles and statement of rights with persons receiving services and supports and any persons acting on their behalf when they begin to receive services and supports. (Regulation 299/10, 4(2)(a))</p>	X						
<p>2. Mission Statement, Service Principles & Statement of Rights, Annual Refresher</p> <p>Each service agency shall conduct an annual refresher on the mission statement, service principles and statement of rights with persons receiving services and supports and any persons acting on their behalf. (Regulation 299/10, 4(2)(a))</p>	X						
<p>3. Mission Statement, Service Principles & Statement of Rights, Review Dates</p> <p>Each service agency shall record the dates of all orientations, refreshers and reviews conducted under clauses (a). (Regulation 299/10, 4(2)(d))</p>	X						
<p>4. Privacy & Confidentiality</p> <p>Each service agency shall review its policies and procedures on privacy and confidentiality and consent to collection, use or disclosure of personal information with persons who receive services and supports from the agency and shall do so in a language and manner, and with a level of support, that is appropriate to the capacity of the person with a developmental disability and with any person acting on their behalf. (Regulation 299/10, 10(3))</p>	X						

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Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Individual Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
5. Personal Information, Consent Each service agency must follow their policies and procedures regarding consent to any collection, use or disclosure of personal information. (Regulation 299/10, 10(1)(2))	X						
6. Abuse, Education/Refresher Each service agency shall provide mandatory education and awareness-building on abuse prevention and reporting to persons with a developmental disability receiving services and supports from the service agency in a language and manner that is appropriate to the capacity of the person with a developmental disability when the person begins to receive services and supports from the service agency and every year thereafter. (Regulation 299/10, 8(2)(c))	X						
7. Community Activities Each service agency shall support the participation of persons with developmental disabilities in various activities in the community, including work, recreation and social, cultural and religious events, as desired by the person with a developmental disability and identified in their individual support plan. (Regulation 299/10, 4(3)(a))	X						
8. Informed Decisions, Risk Considerations Each service agency shall, so persons with developmental disabilities can make informed decisions, provide information and supports to persons with developmental disabilities regarding activities in their individual support plan, including the consideration of risks. (Regulation 299/10, 4(3)(b))	X						

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Developmental Disabilities Act, 2008.

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Individual Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
9. Individual Support Plan Each service agency shall develop an individual support plan for each person with a developmental disability who receives services and supports from the agency that addresses the person's goals, preferences and needs. (Regulation 299/10, 5(1)(1))	X						
10. Individual Support Plan, Annual Review Each service agency shall review the individual support plan annually with the person with a developmental disability and any persons acting on their behalf and update the plan as necessary. (Regulation 299/10, 5(1)(2))	X						
11. Individual Support Plan, Sharing Information Each service agency shall discuss with the person with a developmental disability both during the development of the individual support plan and at its annual review, the circumstances when, if any, the person would permit the information in the support plan to be shared with persons other than agency staff members and the persons with whom it may be shared. (Regulation 299/10, 5(1)(3))	X						
12. Individual Support Plan, Date Each service agency shall record the date of the individual support plan and the dates of any updates of the plan. (Regulation 299/10, 5(1)(4))	X						

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Individual Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
13. Individual Support Plan, Participation The service agency shall ensure that the person with a developmental disability is supported to participate as fully as possible in the development and annual review of their individual support plan. (Regulation 299/10, 5(2))	X						
14. Individual Support Plan, Assessments The service agency shall base the individual support plan on information contained in the application form, the needs assessment used by the application entity, the stated goals and preferences of the person with a developmental disability and other relevant clinical assessments. (Regulation 299/10, 5(3))	X						
15. Individual Support Plan, Involved Persons The individual support plan shall identify the persons who were involved in its development. (Regulation 299/10, 5(4)(a))	X						
16. Individual Support Plan, Goals & Outcomes The individual support plan shall identify the specific short-term and long-term goals of the person with a developmental disability and expected outcomes. (Regulation 299/10, 5(4)(b))	X						
17. Individual Support Plan, Community Resources The individual support plan shall identify other community resources that may be required or accessed or both, including medical, vocational, recreational, cultural, religious and social resources. (Regulation 299/10, 5(4)(c))	X						

The following items are to be assessed prior to recommending to a Director under the *Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008*.

Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Individual Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
18. Individual Support Plan, Funded Services & Supports The individual support plan shall identify the specific funded services and supports that are to be provided to the person with a developmental disability. (Regulation 299/10, 5(4)(d))	X						
19. Individual Support Plan, Actions The individual support plan shall identify actions required to achieve expected outcomes. (Regulation 299/10, 5(4)(e))	X						
20. Individual Support Plan, Roles & Responsibilities The individual support plan shall identify the persons responsible for implementing the actions, including setting out their roles and responsibilities. (Regulation 299/10, 5(4)(f))	X						
21. Individual Support Plan, Services & Supports The individual support plan shall identify the manner in which services and supports are to be provided. (Regulation 299/10, 5(4)(g))	X						
22. Individual Support Plan, Allocated Resources The individual support plan shall identify amount of allocated resources. (Regulation 299/10, 5(4)(h))	X						
23. Individual Support Plan, Update The individual support plan shall identify the date of review to update the individual support plan to clarify goals, expected outcomes and allocated resources. (Regulation 299/10, 5(4)(i))	X						

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					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
24. Individual Support Plan, Safeguards The individual support plan shall identify any necessary safeguards to protect the health and safety of the person with a developmental disability when receiving services and supports. (Regulation 299/10, 5(4)(j))	X						
25. Individual Support Plan, Finances The individual support plan shall identify the level of support the person has requested or requires to manage their day-to-day finances. (Regulation 299/10, 5(4)(k))	X						
26. Adequate Support Staff A service agency shall maintain adequate support staff, at a level identified in the person's individual support plan, to address the safety, security and well-being of persons with developmental disabilities who receive services and supports from the service agency. (Regulation 299/10, 12(2))	X						
27. Financial Records, Separate The service agency shall prepare and maintain separate books of accounts and financial records for each person with a developmental disability who receives assistance from the service agency with the management of their day-to-day finances for each fiscal year. (Regulation 299/10, 6(2))	X						

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28. Financial Records, Annual Review The service agency shall ensure books of accounts and financial records prepared and maintained in accordance with subsection (2) are independently reviewed by a third party annually; the independent review shall include a report to the board of directors. (Regulation 299/10, 6(3))	X						
29. Medical Services Each service agency shall have policies and procedures including documentation regarding medical services that are provided to the person with a developmental disability, where the service agency is providing assistance. (Regulation 299/10, 7(1)(3)(i))	X						
30. Medical and Dental Appointments Each service agency shall ensure assistance is provided to the person to attend regular medical and dental appointments, as needed, and that a log is kept or documentation is kept on file with respect to the person's regular medical and dental appointments. (Regulation 299/10, 24(1))	X						
31. Medical Services, Refusals Each service agency shall have policies and procedures including documentation regarding any refusals by the person with a developmental disability to obtain or accept medical services that are recommended by a legally qualified medical practitioner or other health professional. (Regulation 299/10, 7(1)(3)(iv))	X						

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32. Emergency Medical Services Each service agency shall have policies and procedures including documentation regarding emergency medical services. (Regulation 299/10, 7(1)(3)(v))	X						
33. Medication Administration, Self Each service agency shall have policies and procedures including documentation regarding administration of medication, including self-administration by the person with a developmental disability. (Regulation 299/10, 7(1)(3)(ii))	X						
34. Medication Errors/Refusals Each service agency shall have policies and procedures including documentation regarding any medication errors and any refusals to take any prescribed medication. (Regulation 299/10, 7(1)(3)(iii))	X						
35. Medication Administration Record In addressing quality assurance measures respecting the well-being of the person, each service agency shall ensure a medicine administration record is kept for the person. (Regulation 299/10, 24(2))	X						
36. Information, Prescription Medication Each service agency shall ensure information, as applicable and appropriate, is provided to the person with respect to prescription medication. (Regulation 299/10, 24(3)(i))	X						

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37. Public Health Information A service agency shall ensure that the public health information is available and presented in a language and manner, and with the level of support, that the person with a developmental disability needs. (Regulation 299/10, 7(2))	X						
38. Information, Diet & Nutrition Each service agency shall ensure information, as applicable and appropriate, is provided to the person with respect to diet and nutrition. (Regulation 299/10, 24(3)(ii))	X						
39. Information, Personal Hygiene Each service agency shall ensure information, as applicable and appropriate, is provided to the person with respect to personal hygiene. (Regulation 299/10, 24(3)(iii))	X						
40. Information, Personal Fitness Each service agency shall ensure information, as applicable and appropriate, is provided to the person with respect to personal fitness. (Regulation 299/10, 24(3)(iv))	X						
41. Information, Sexual Health Each service agency shall ensure information, as applicable and appropriate, is provided to the person with respect to sexual health. (Regulation 299/10, 24(3)(v))	X						

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42. Information, Health & Safety Each service agency shall ensure information, as applicable and appropriate, is provided to the person with respect to behaviour that may pose a threat to the person's health, safety or well-being. (Regulation 299/10, 24(3)(vi))	X						
43. Information, Self-Esteem & Well-Being Each service agency shall ensure information, as applicable and appropriate, is provided to the person with respect to self-esteem and well-being. (Regulation 299/10, 24(3)(vii))	X						
44. Information, Communication Each service agency shall ensure information, as applicable and appropriate, is provided to the person with respect to communication skills. (Regulation 299/10, 24(3)(viii))	X						
45. Information, Relationships Each service agency shall ensure information, as applicable and appropriate, is provided to the person with respect to developing relationships. (Regulation 299/10, 24(3)(ix))	X						
46. Service Record, Individual In addressing quality assurance measures respecting service records, each service agency shall keep a record for each person receiving services and supports from the service agency. (Regulation 299/10, 14(1)(a))	X						

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47. Service Record, Application for Developmental Services and Supports At a minimum, the service record shall include a copy of the person's Application for Developmental Services and Supports. (Regulation 299/10, 14(2)(a))	X						
48. Service Record Supports Intensity Scale At a minimum, the service record shall include a copy of the person's Supports Intensity Scale needs assessment. (Regulation 299/10, 14(2)(b))	X						
49. Service Record, Individual Support Plan At a minimum, the service record shall include a copy of the person's individual support plan. (Regulation 299/10, 14(2)(c))	X						
50. Service Record, Retention The service agency shall retain a person's service record for a minimum of seven years after the person is no longer receiving services and supports from the agency. (Regulation 299/10, 14(3))	X						
51. Behavior Support Plan, Individual Each service agency shall develop an individual behaviour support plan for each person with a developmental disability who has challenging behaviour. (Regulation 299/10, 18(1))	X						

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					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
52. Behaviour Support Plan, Individual's Involvement In addition to the requirements for a behaviour support plan and approval of a behaviour support plan containing intrusive behaviour interventions strategies, as listed in section 18, "Behaviour support plan", of Ontario Regulation 299/10, a service agency shall ensure the following: The behaviour support plan is developed with the involvement of the person with a developmental disability who has challenging behaviour and/or, where applicable, persons acting on behalf of the person with a developmental disability, and the plan documents their involvement. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
53. Behaviour Support Plan, Consent In addition to the requirements for a behaviour support plan and approval of a behaviour support plan containing intrusive behaviour interventions strategies, as listed in section 18, "Behaviour support plan", of Ontario Regulation 299/10, a service agency shall ensure the following: The person with a developmental disability who has challenging behaviour and/or, where applicable, persons acting on behalf of the person with a developmental disability, provides consent to the behaviour support plan and the strategies that it outlines. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						

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54. Behaviour Support Plan, Fading and Elimination A service agency shall ensure the following: The clinician(s) who approved the plan includes provision for the eventual fading or elimination of intrusive behaviour intervention strategies, which may be outlined in the behaviour support plan. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
55. Behaviour Support Plan, Adaptive skills The behaviour support plan shall outline positive behaviour intervention strategies, and where applicable, intrusive behaviour intervention strategies and how the strategies may be used to reduce or change challenging behaviour and address the acquisition of adaptive skills. (Regulation 299/10, 18(2))	X						
56. Behavior Support Plan, Challenging Behaviour The service agency shall ensure that the behaviour support plan addresses the challenging behaviour identified in the behavioural assessment of the person with a developmental disability. (Regulation 299/10, 18(3)(a))	X						
57. Behaviour Support Plan, Risks The service agency shall ensure that the behaviour support plan considers the risks and benefits of the various interventions that can be used to address the behaviour. (Regulation 299/10, 18(3)(b))	X						

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58. Behaviour Support Plan, Least Intrusive The service agency shall ensure that the behaviour support plan sets out the least intrusive and most effective strategies possible. (Regulation 299/10, 18(3)(c))	X						
59. Behaviour Support Plan, Monitored The service agency shall ensure that the behaviour support plan is monitored for its effectiveness. (Regulation 299/10, 18(3)(d))	X						
60. Behaviour Support Plan, Approved The service agency shall ensure that the behaviour support plan is approved by a psychologist, a psychological associate, a physician, a psychiatrist or behaviour analyst certified by the Behaviour Analyst Certification Board, where the behaviour support plan includes intrusive behaviour intervention strategies. (Regulation 299/10, 18(3)(e))	X						
61. Behaviour Support Plan, Review The service agency shall ensure that the behaviour support plan is reviewed at least twice in each 12-month period. (Regulation 299/10, 18(3)(f))	X						

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<p>62. Third Party Review Committee, Reviewing All Behaviour Support Plans</p> <p>A service agency shall ensure the following: The agency has access to a review committee for all behaviour support plans that are developed for the person(s) with a developmental disability who have challenging behaviour who are supported by the agency, and ensures that the behaviour support plans for the person(s) are reviewed by the committee. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)</p>	X						
<p>63. Behaviour Support Plan, Interventions Used</p> <p>The service agency shall ensure that positive behaviour interventions and intrusive behaviour interventions are used as outlined in the behaviour support plan of the person with a developmental disability. (Regulation 299/10, 19(2))</p>	X						
<p>64. Behaviour Support Plan, Immediate Risk</p> <p>A service agency shall ensure that intrusive behaviour intervention is used solely when the person with a developmental disability is at immediate risk of harming themselves or others or causing property damage. (Regulation 299/10, 20(1))</p>	X						
<p>65. Use of Physical/Mechanical Restraint</p> <p>A service agency shall ensure that physical or mechanical restraint is carried out using the least amount of force that is necessary to restrict the person's ability to move freely. (Regulation 299/10, 20(2))</p>			X				

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66. Restraint, Isolation, Confinement Time-Out/Staff Involved, Debriefing A service agency shall adopt the following standards for debriefing after a physical restraint (including physical restraint in a crisis situation), mechanical restraint, or secure isolation/confinement time-out: A debriefing process is conducted among all staff who were involved in the restraint or secure isolation/confinement time-out. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
67. Restraint, Isolation, Confinement Time-Out/Others Present, Debriefing A service agency shall adopt the following standards for debriefing after a physical restraint (including physical restraint in a crisis situation), mechanical restraint, or secure isolation/confinement time-out: Staff inquire with others who were in the vicinity and witnessed the restraint or secure isolation/confinement time-out (e.g., other persons with a developmental disability who are supported in the same area, visitors) as to their well-being from having witnessed the restraint. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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68. Restraint, Isolation, Confinement Time-Out/Manager Notified A service agency shall adopt the following standards for debriefing after a physical restraint (including physical restraint in a crisis situation), mechanical restraint, or secure isolation/confinement time-out: The supervisor or manager who oversees the behaviour support plan of the person with challenging behaviour who was restrained or in secure isolation/confinement time-out is made aware of the restraint or secure isolation/confinement time-out. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
69. Restraint, Isolation, Confinement Time-Out/Debriefing Other Support Staff A service agency shall adopt the following standards for debriefing after a physical restraint (including physical restraint in a crisis situation), mechanical restraint, or secure isolation/confinement time-out: Other staff who support the person are made aware of the restraint or secure isolation/confinement time-out (e.g., in the event of a shift change shortly after the restraint or secure isolation/confinement time-out has taken place). (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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70. Restraint, Isolation, Confinement Time-Out/Debriefing Individual A service agency shall adopt the following standards for debriefing after a physical restraint (including physical restraint in a crisis situation), mechanical restraint, or secure isolation/confinement time-out: A debriefing process is conducted with the individual who was restrained or in secure isolation/confinement time-out (including individuals involved in a crisis situation), as soon as he/she is able to participate, and to the extent that he/she is willing to participate. The debriefing must be structured to accommodate the person with a developmental disability's psychological and emotional needs and cognitive capacity. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
71. Restraint, Isolation, Confinement Time-Out/Debriefing, Documented A service agency shall adopt the following standards for debriefing after a physical restraint (including physical restraint in a crisis situation), mechanical restraint, or secure isolation/confinement time-out: Debriefings are documented. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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72. Restraint, Isolation, Confinement Time-Out/Debriefing, Reasonable Timeframes A service agency shall adopt the following standards for debriefing after a physical restraint (including physical restraint in a crisis situation), mechanical restraint, or secure isolation/confinement time-out: The debriefing process is conducted within a reasonable time period (i.e., within two business days) after the restraint or secure isolation/confinement time-out is carried out (including crisis situations). If circumstances do not permit a debriefing process to be conducted within a reasonable time period, the debriefing process should be conducted as soon as possible after the reasonable time period, and a record must be kept of the circumstances that prevented the debriefing process from being conducted within the reasonable time period. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
73. Restraint, Isolation, Confinement Time-Out/Debriefing, Serious Occurrence Reporting A service agency shall adopt the following standards for debriefing after a physical restraint (including physical restraint in a crisis situation), mechanical restraint, or secure isolation/confinement time-out: A serious occurrence report is filed with the Ministry of Community and Social Services, as may be appropriate and as per the serious occurrence reporting procedure. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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74. Intrusive Behavior Intervention, Monitored A service agency shall ensure that when intrusive behaviour intervention is used, the person with a developmental disability is monitored on a regular basis. (Regulation 299/10, 20(3))		X		82 Aberfoyle, 403 Parkway and 390 Mowat The agency did not provide evidence that the person was monitored when the intrusive intervention was used - chemical restraint.	A letter and/or documentation confirming completion of corrective action. Agency updated monitoring record sheet to confirm monitoring of person when chemical restraint is used.	2017-02-28	Yes
75. Secure Isolation, Confinement Time-Out, Interval Monitoring A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency shall ensure that its written policies and procedures on the use of a secure isolation or time-out room address the following: Stages of interval monitoring. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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76. Secure Isolation, Confinement Time-Out, Duration/Maximum Time A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency shall ensure that its written policies and procedures on the use of a secure isolation or time-out room address the following: Duration of time that a person may spend in secure isolation/confinement time-out, any extension periods, and the total/maximum amount of time that a person may spend in secure isolation/confinement time-out. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
77. Secure Isolation, Confinement Time-Out, Continuous Observation, Monitoring Protocols A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency shall ensure that its written policies and procedures on the use of a secure isolation or time-out room address the following: Protocols regarding continuous observation and monitoring of a person who is in the secure isolation/confinement time-out room. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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78. Secure Isolation, Confinement Time-Out, Record Keeping A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency shall ensure that its written policies and procedures on the use of a secure isolation or time-out room address the following: Regular record keeping (e.g., every fifteen minutes) of secure isolation/confinement time-out room use for each person with a developmental disability who has challenging behaviour, and trend analysis for each person. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
79. Restraint, Isolation, Confinement Time-Out, Stopped A service agency shall ensure that the use of physical restraint, mechanical restraint, and secure isolation/confinement time-out is stopped when there may be a risk that the restraint itself will endanger the health or safety of the individual who is being restrained; or the supporting staff person(s) have assessed the individual and situation and have determined that there is no longer a clear and imminent risk that the individual will injure him/herself or others. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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80. Secure Isolation, Confinement Time-Out, Notification, Key Staff A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency shall ensure that its written policies and procedures on the use of a secure isolation or time-out room address the following: Notification of key agency staff that the secure isolation/confinement time-out room has been used, and regular report-backs to key clinicians overseeing the person's behaviour support plan. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
81. Intrusive Behavior Interventions, Safeguards A service agency or the clinician who oversees the behaviour support plan must ensure that there are safeguards to prevent misuse of intrusive behaviour intervention. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
82. Intrusive Behavior Intervention, Recorded A service agency shall record all incidents in the person's file where intrusive behaviour intervention is used on a person with a developmental disability. (Regulation 299/10, 20(4))	X						

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83. Use of Intrusive Behaviour Intervention, Consent and Notification/Regular Updates A service agency shall have policies and procedures regarding the notification of persons acting on behalf of the individual with a developmental disability who has challenging behaviour (a contact person). The policies and procedures shall have consideration for an individual's ability to provide consent regarding notification, and shall address: Regular updates on the use of intrusive behaviour intervention with the individual to the contact person, when the behaviour support plan does not specify that each use of intrusive behaviour intervention be communicated to the contact person. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
84. Use of Intrusive Behaviour Intervention, Consent and Notification/Crisis Situation A service agency shall have policies and procedures regarding the notification of persons acting on behalf of the individual with a developmental disability who has challenging behaviour (a contact person). The policies and procedures shall have consideration for an individual's ability to provide consent regarding notification, and shall address: Notifying the contact person of the use of a physical restraint with the individual, in a crisis situation. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						

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85. Intrusive Behavior Intervention, Evaluated A service agency shall based on the incidents recorded in respect of a person under subsection (4), evaluate the use and effectiveness of the intrusive behaviour interventions used on the person. (Regulation 299/10, 20(5))	X						
86. Intrusive Behavior Interventions, Review & Analysis A service agency shall have a means to record and track intrusive behaviour intervention procedures for the purpose of review and analysis. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
87. Behaviour Intervention Strategies, Monitor Use A service agency shall ensure that: Supervisors monitor the application and use of behaviour intervention strategies (both positive and intrusive strategies), to see that the strategies are carried out as outlined in the behaviour support plan and in accordance with best practices in the field. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
88. Physical Restraint, Crisis Situation In a crisis situation, the following rules apply to service agencies: physical restraint is the only intrusive behaviour intervention that a service agency may use in crisis situations and may only be used where positive behaviour interventions have proven to be ineffective. (Regulation 299/10, 21(1))	X						

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Yes - denotes compliance **No** - denotes non-compliance **N/A** - denotes not applicable

Individual Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
89. Physical Restraint, Least Amount of Force In a crisis situation, the following rules apply to service agencies: the service agency shall ensure that the physical restraint is carried out using the least amount of force that is necessary to restrict the person's ability to move freely. (Regulation 299/10, 21(2))	X						
90. Crisis Situation Incidents In a crisis situation, the following rules apply to service agencies: the service agency shall record all crisis situation incidents in the person's file, including the details of the incident. (Regulation 299/10, 21(3))	X						
91. Crisis Intervention, Use of Physical Restraint/Three or more in 12 months If a person with a developmental disability experiences three crisis situations within a 12 month period, the service agency shall investigate the potential causes of the behaviour and factors that may have led to the crisis situations. This investigation may lead to a functional assessment of the individual and the development of a behaviour support plan for him/her. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						

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Developmental Disabilities Act, 2008.

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Individual Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
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92. PRN Protocol A service agency shall ensure that where prescribed medication is recommended to be used to address a person's challenging behaviour, as part of their behaviour support plan, a one-time visit to a physician, or a visit to a hospital emergency room, there is a protocol for the use of prescribed medication administered on a pro re nata (PRN) (as needed) basis only, on advice of the prescribing clinician. PRNs are not to be administered: Excessively, beyond the recommended dosage/As a punishment for the person's behaviour, a mistake or wrong-doing/For convenience, to make it easier for staff to support the person/As a substitute for meaningful supports. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
93. Medication, Challenging Behaviour Regular Review A service agency shall ensure that all medication prescribed to the person with a developmental disability who has challenging behaviour is reviewed by the prescribing physician, and is included in the regular review of the individual's behaviour support plan. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						

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Individual Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
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94. Prohibited Practices In addition to the definitions and examples of behaviour interventions set out in section 15, “Application and definitions”, of Ontario Regulation 299/10 (the quality assurance measures regulation), the following practices are never to be used by a service agency in addressing the challenging behaviour of a person with a developmental disability: Mistreatment of the person/Noxious stimulus/Deprivation of basic human needs. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
95. Protocols, Monitoring and Assessing the Individual's Condition A service agency shall ensure that there are protocols in place that must be followed in monitoring and assessing the condition of the person with a developmental disability during the use of intrusive behaviour intervention. These protocols may differ, depending on the type of intrusive intervention, and on the individual and his/her needs. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
96. Serious Occurrence Report, Injury and/or Mistreatment When applicable, a service agency shall file a serious occurrence report with the Ministry of Community and Social Services (e.g., in an instance where a person becomes seriously injured, or an instance where allegations of mistreatment emerge). (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						

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Individual Records	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
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97. Inventory, Personal Property Every service agency to which this Part applies shall have policies and procedures on the inventory, care and maintenance of the personal property owned by the persons with developmental disabilities who receive services and supports from the service agency. (Regulation 299/10, 25(2))	X						
98. Supervision, Bathing and Showering Each service agency shall have policies and procedures on supervision during bathing and showering to ensure the safety of the person, as appropriate to the needs of the person with a developmental disability. (Regulation 299/10, 25(5))		X		202 Splinter HIGH-The agency did not provide evidence of written precautions on supervision to ensure the person's safety during bathing and showering.	Response and/or demonstrated action will be required within 24 hours of receipt of written receipt of Letter of Non Compliance describing corrective measures and timelines to rectify the issue. A letter and/or documentation confirming the completion of corrective action within 10 business days. Protocols in place for individuals and staff reviewed protocols.	2017-02-28	Yes
General Comments							
#66-73: There is no documentation to support the use of physical restraints, mechanical restraints or secure isolation/confinement time out. #75-80: There is no documentation to support the use of secure isolation/confinement time out.							

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Records and Documentation	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
1. Third Party, Compliance Where a service agency contracts with a third party to provide services and supports to persons with developmental disabilities, the service agency shall ensure that the contract requires that the third party comply with the quality assurance measures that would apply to the service agency if it were providing the services and supports. (Regulation 299/10, 3(2)(a))	X						
2. Third Party, Monitoring Where a service agency contracts with a third party to provide services and supports to persons with developmental disabilities, the service agency shall monitor the performance of the contract to ensure that the third party complies with the quality assurance measures. (Regulation 299/10, 3(2)(b))	X						
3. Abuse, Annual P & P Review Each service agency shall conduct a mandatory review of its policies and procedures on the prevention, identification and reporting of abuse annually and update the policies and procedures as determined by the review. (Regulation 299/10, 8(2)(d))	X						
4. Abuse, Police Reporting Where a service agency suspects any alleged, suspected or witnessed incidents of abuse of a person with a developmental disability may constitute a criminal offence, the service agency shall immediately report to the police the alleged, suspected or witnessed incident of abuse. (Regulation 299/10, 8(4)(a))	X						

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5. Abuse, Internal Investigation Where a service agency suspects any alleged, suspected or witnessed incidents of abuse of a person with a developmental disability may constitute a criminal offence, the service agency shall not initiate an internal investigation before the police have completed their investigation. (Regulation 299/10, 8(4)(b))	X						
6. Abuse, Zero Tolerance A service agency shall complete a review of its policies and procedures to promote zero tolerance of abuse of persons with developmental disabilities at least once a year. (Regulation 299/10, 8(5)(a))	X						
7. Abuse, Changes A service agency shall assess whether changes to its policies and procedures may be necessary to prevent occurrences of abuse. (Regulation 299/10, 8(5)(b))	X						
8. Abuse, Implementation A service agency shall promptly implement the changes that are determined to be necessary as a result of the review. (Regulation 299/10, 8(5)(c))	X						

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					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
9. Abuse, Written Record A service agency shall prepare a written record of its review of its policies and procedures to promote zero tolerance of abuse and of any changes to the policies and procedures that are determined to be necessary as a result of the review. (Regulation 299/10, 8(6))	X						
10. Abuse Notification, Consent The policies and procedures on notification shall require the service agency to obtain the consent of the person with a developmental disability before notifying others, if the person is capable of providing consent. (Regulation 299/10, 9(2))	X						
11. Emergency Preparedness Plan, Inside Each service agency shall have an emergency preparedness plan to address emergencies that may occur inside premises owned or operated by the service agency where persons with developmental disabilities are receiving services and supports from the agency, examples of which include power outages, fire, flood, storm damage, pandemic and medical emergency. (Regulation 299/10, 11(1)(2)(i))	X						

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Records and Documentation	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
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12. Emergency Preparedness Plan, Outside Each service agency shall have an emergency preparedness plan to address emergencies that may occur outside premises owned or operated by the service agency where persons with developmental disabilities are receiving services and supports from the agency, examples of which include a medical emergency and instances where a person with a developmental disability runs away or becomes lost. (Regulation 299/10, 11(1)(2)(ii))	X						
13. Continuity of Operation Plan Each service agency shall have a continuity of operation plan that ensures safety around agency owned or agency operated premises during a service disruption. (Regulation 299/10, 11(1)(4))	X						
14. Approved Fire Safety Plan, Document Upon the request of a Director, a service agency shall produce to the Director its approved fire safety plan where required under Ontario Regulation 213/07 (Fire Code) made under the Fire Protection and Prevention Act, 1997. (Regulation 299/10, 11(2))	X						
15. Equipment Maintenance A service agency shall have policies and procedures regarding the maintenance of equipment on premises owned or operated by the agency and shall maintain the equipment as recommended by the manufacturer. (Regulation 299/10, 11(3))	X						

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16. Adequate Support Staff A service agency shall maintain adequate support staff, at a level identified in the person's individual support plan, to address the safety, security and well-being of persons with developmental disabilities who receive services and supports from the service agency. (Regulation 299/10, 12(2))	X						
17. Food and Nutrition Each service agency shall have policies and procedures on food and nutrition, which policies and procedures shall be consistent with the recommendations made under Canada's Food Guide and which shall recognize diversity, reflecting the culture and diversity of the persons with developmental disabilities who receive services and supports from the service agency. (Regulation 299/10, 25(1))	X						
18. Pets and Service Animals Each service agency shall have policies and procedures on pets and service animals in the residence. (Regulation 299/10, 25(3))	X						
19. Water, 49 degrees Celsius Each service agency shall have policies and procedures on scalding prevention, which shall ensure that the service agency has a method of temperature control, monitoring and documentation to ensure that in each residence water from a faucet is not hotter than 49 degrees Celsius. (Regulation 299/10, 25(4))		X		Parkway The agency did not provide documented evidence to indicate that the water from the faucet is maintained below 49 degrees Celsius.	A letter and/or documentation confirming completion of corrective action. Charts developed to monitor and maintain temperature of water below 49 degrees Celsius.	2017-02-28	Yes

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20. Clean and Safe, Residence Each service agency shall ensure that the residence is kept safe and clean. (Regulation 299/10, 26(1)(a))	X						
21. Clean and Safe, Inside and Outside Each service agency shall ensure that the recreation and common areas, both inside and outside the residence, are kept safe and clean, where these areas are owned or operated by the service agency. (Regulation 299/10, 26(1)(c))	X						
22. Exits, Clear Each service agency shall ensure that all exits in the residence are kept clear at all times. (Regulation 299/10, 26(1)(d))	X						
23. Appliances and Furnishings Each service agency shall ensure that appliances and furnishings in the residence are clean and are in good condition and working order. (Regulation 299/10, 26(1)(e))	X						
24. Hazardous Household Products Each service agency shall ensure that hazardous household products are stored and used safely within the residence. (Regulation 299/10, 26(1)(f))	X						

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					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
25. Feedback/Complaints, Individual A service agency shall have written policies and procedures regarding the process for receiving and addressing feedback and complaints about the services and supports that it provides that may be received from: An individual with a developmental disability who receives services and supports from the service agency. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
26. Feedback/Complaints, Person Acting on Behalf A service agency shall have written policies and procedures regarding the process for receiving and addressing feedback and complaints about the services and supports that it provides that may be received from: A person acting on behalf of the individual with a developmental disability who receives services and supports from the service agency. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
27. Feedback/Complaints, Public A service agency shall have written policies and procedures regarding the process for receiving and addressing feedback and complaints about the services and supports that it provides that may be received from: The general public. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						

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28. Information, Plain Language A service agency must provide information in plain language on the complaints/feedback process to all individuals with a developmental disability who come in to service with the agency, and/or a person acting on their behalf (where applicable). (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
29. Request, Policies and Procedures A service agency must provide a copy of its written policies and procedures to any person who requests it. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
30. Complaints/Feedback, Way Received The policies and procedures shall account for differing ways that complaints/feedback may be received (e.g., complaints/feedback submitted in writing, or provided verbally to an agency representative). (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
31. Complaints/Feedback, Expected Timelines The policies and procedures shall identify: Expected time period for the complaints/feedback processes (i.e., for each step of the process). (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						

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32. Complaints/Feedback, Process for Responding The policies and procedures shall identify: The process for responding to complaints/feedback. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
33. Complaints/Feedback, Roles and Responsibilities The policies and procedures shall identify: The roles and responsibilities of persons who may be involved in receiving complaints/feedback, documenting, investigating, resolving and providing notification or confirmation with the individual who submitted the complaint/feedback. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
34. Complaints/Feedback, Board of Directors/Roles and Responsibilities The policies and procedures shall identify: The role and responsibilities of the Board of Directors in the complaints/feedback processes. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
35. Resolution, Reasonable Efforts The service agency shall receive, document, and review all feedback, and receive, document, review, and attempt to resolve all complaints. Wherever possible, the service agency shall make reasonable efforts to resolve or address the matter to the mutual satisfaction of both the person who has made the complaint and the service agency. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						

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36. Resolving complaints/Serious and Frivolous A service agency shall take all complaints seriously, and review and investigate all matters. A service agency is not, however, expected to attempt to resolve complaints that it may determine to be frivolous or vexatious. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
37. Complaints/Feedback, No Risk to Person A service agency shall ensure that a person who submits a complaint or provides feedback is not at risk of having his/her services and supports negatively impacted or withdrawn, as a consequence of submitting the complaint/feedback. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
38. Complaints/Feedback, Reporting to Police The service agency's policies and procedures on the complaints and feedback process shall comply with reporting requirements set out in the Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008 and its regulations. Where necessary, a service agency shall ensure that a complaint/feedback is: Reported to the police (i.e., as in the case of alleged, suspected or witnessed abuse that may constitute a criminal offence, as required by Ontario Regulation 299/10 regarding quality assurance measures made under the Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008). (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						

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39. Complaints/Feedback, Reporting to Ministry The service agency's policies and procedures on the complaints and feedback process shall comply with reporting requirements set out in the Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008 and its regulations. Where necessary, a service agency shall ensure that a complaint/feedback is: Reported to the ministry as a serious occurrence through the ministry's serious occurrence reporting process (based on the nature of the complaint/feedback). (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
40. Complaints/Feedback, Review and Analysis In order to promote continuous quality improvement, a service agency shall conduct a review and analysis of the complaints and feedback received to evaluate the effectiveness of its policies and procedures, on an annual basis. A service agency shall also conduct a review and analysis of the complaints and feedback received to consider the need to revise any other policies and procedures that the agency may have in place. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						
41. Complaints/Feedback/Risk Assessment A service agency shall share information about its complaints/feedback process, and/or about complaints/feedback, as part of the ministry's risk assessment process, upon request by the ministry. (Policy Directives for Service Agencies: 1.0 Complaints/Feedback Process)	X						

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Records and Documentations	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
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42. Third Party Review Committee, Intrusive Behavior Supports/Ethical A service agency shall have access to a third party committee that reviews the behaviour support plans of person(s) who have a developmental disability who have challenging behaviour who are receiving support from the agency, and provides advice as to whether the use of intrusive behavioural supports are: Ethical and appropriate to the person's needs and assessment results, based on professional guidelines and best practices. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
43. Third Party Review Committee, Findings and Recommendations A service agency shall ensure that the review committee's findings and any recommendations are documented and provided back to the clinician that oversees the behaviour support plan. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
44. Third Party Review Committee, Findings and Recommendations, Implementation A service agency shall review the committee's findings and recommendations and determine how the findings and recommendations may be implemented. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						

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45. Memorandum of Understanding Between Agencies A service agency shall develop a procedure (which may be formalized, as in a memorandum of understanding) to address situations where a person with a developmental disability who has challenging behaviour receives support from more than one agency, in order to ensure that the strategies outlined in the behaviour support plan are carried out in a consistent manner. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
46. Physical Restraint, Training Package, Agency Needs Further to the requirements to train direct care staff on the use of physical restraint, as listed in section 17(2), “General behaviour intervention strategies, training”, of Ontario Regulation 299/10, it is important to note that the training package used by service agencies meet the criteria outlined below: The training curriculum addresses the agency’s needs. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
47. Physical Restraint, Training Package/CNSC Ontario A service agency shall ensure that it selects a training package that has been identified for use by Community Networks of Specialized Care Ontario. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						

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48. Physical Restraint, Training Package/Curriculum A service agency shall ensure that the curriculum of the training program it selects includes information on understanding human behaviour, how to effectively support a person in a manner that allows the individual to feel safe, engaged and respected, as well as early warning signs of, and means to prevent, a crisis situation. This may include information on early intervention techniques, strategies to assist a person to calm him/herself and de-escalate a situation, and ways to promote personal safety during a crisis situation (for staff and for the individual), in the event that a crisis situation arises. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)	X						
49. Mechanical Restraint, Good Working Order A service agency shall ensure that where a mechanical restraint is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, any apparatus or device used as part of a mechanical restraint meets all of the following standards: It is checked by agency staff to ensure that it is in good working order at all times. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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<p>50. Mechanical Restraint, Dedicated Manufacturer</p> <p>A service agency shall ensure that where a mechanical restraint is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, any apparatus or device used as part of a mechanical restraint meets all of the following standards: It is purchased from a company that is dedicated to manufacturing such devices. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)</p>			X				
<p>51. Host Family, Non-Family member</p> <p>Host Families cannot be a family member of the individual with a developmental disability as defined in the policy directive definition. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)</p>	X						
<p>52. Cap, New Host Family Placements</p> <p>There can be no more than two placements - i.e. persons placed - children and/or adults - in a host family's home. This includes children or adults who have been placed in the host family's home by other service providers - e.g., placements made by organizations or programs other than the Host Family Program. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)</p>	X						

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Records and Documentation	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
53. Cap, New Host Family Placements; Exemptions/Extenuating Circumstances The exemption to the cap on the number of placements in a Host Family Home may only be considered if the key considerations for screening host families are satisfied. The reasons for permitting any exemptions will be documented in writing and kept on file by the service agency. The agency will also notify the Ministry of the arrangements within 10 business days where an exemption or extenuating circumstances was approved by the agency. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)	X						
54. Home Study, Minimum Performance Standard As a minimum performance standard, service agencies are required to conduct a home study of the potential Host Family. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)	X						
55. Home Study, Interviews The service agencies are required to conduct a home study of the potential Host Family, based on interviews with people living in the home conducted by staff from the service agency. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)	X						

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Developmental Disabilities Act, 2008.

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Records and Documentation	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
<p>56. Home Study, References</p> <p>The service agencies are required to conduct a home study of the potential Host Family, based on a review of character references and police records checks, including current vulnerable sector checks (within the last six months) of all adults living on a full- or part-time basis in the host family home. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)</p>	X						
<p>57. Home Study, Physical Verification/Safety Standards</p> <p>The service agencies are required to conduct a home study of the potential Host Family, based on the physical verification that the home and property meet the requirements of a safe living environment, as well as any applicable legislation and by-laws, including but not limited to: fire safety, health hazards, and water testing, if applicable. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)</p>	X						
<p>58. Home Study, Written Report</p> <p>Service agencies are required to prepare a written report on the findings of the study to substantiate approval or lack of approval of a potential host family. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)</p>	X						

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Records and Documentation	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
59. Host Family, Re-Assessment Agencies are required to re-assess a host family's suitability in any of the following circumstances: any significant changes involving the Host Family, the individual, and/or their living situation -e.g. physical/mental illness, death of a family member, accident. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)	X						
60. Host Family, Re-Assessment/New Adult Service agencies are required to re-assess a host family's suitability in any of the following circumstances: when a new adult is living in the home on a full-time or part-time basis. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)	X						
61. Host Family, Re-Assessment/Unable to Provide Care Service agencies are required to re-assess a host family's suitability in any of the following circumstances: when the primary caregiver in the host family is unable to continue providing care to the individual. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)	X						
62. Host Family, Re-Assessment/Relevant Concerns Service agencies are required to re-assess a host family's suitability in any of the following circumstances: where the service agency, individual or natural family has any significant concerns about the placement. (Policy Directives for Service Agencies regarding the Host Family Program 1.0)	X						

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<p>63. Service Agreement, Written/Signed</p> <p>The service agency must have a signed written agreement in place with the host family for new placement and existing placements that includes certain minimum requirements regarding the provision of services to the individual with a developmental disability. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)</p>	X						
<p>64. Service Agreement/Training and Orientation</p> <p>Service agencies shall have a signed service agreement with the host family for each placement that addresses host family's participation in training and orientation, including pre-placement visits, CPR and first aid training, and training regarding abuse prevention and reporting policies. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)</p>	X						
<p>65. Service Agreement/On-going Monitoring and Inspection</p> <p>Service agencies shall have a signed service agreement with the host family for each placement that addresses the Host Family's agreement for the agency to conduct ongoing monitoring and physical safety reviews of the home and property of the placement, including home visits at least every 60 days with assessment of health and safety requirements, with at least an annual unannounced visit. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)</p>	X						

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Records and Documentation	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
66. Service Agreement/Required to Report/Significant Changes Service agencies shall have a signed service agreement with the host family for each placement that addresses the requirement for host family to report any significant changes involving the host family, the individual, and/or their living situation e.g. physical/mental illness, death of a family member, accident. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						
67. Service Agreement/Required to Report/New Adult Service agency shall have a signed agreement with the Host Family for each placement that addresses the Host Family's requirement to report when a new adult or child is living in the home on a full-time or part-time basis. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						
68. Service Agreement/Required to Report/Unable to Continue Care Service agency shall have a signed agreement with the Host Family for each placement that addresses the Host Family's requirement to report when the primary caregiver in the Host Family is unable to continue providing care to the individual (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						

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Records and Documentation	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
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69. Service Agreement, Significant Concerns Service agency shall have a signed agreement with the Host Family for each placement that addresses the Host Family's requirement to report any other significant concerns that could impact the individual. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						
70. Service Agreement/Roles and Responsibilities/Safe Living Environment Service agencies shall have a signed service agreement with the host family for each placement that addresses the roles and responsibilities of the host family including providing a comfortable and safe living environment. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						
71. Service Agreement, Independence Service agencies shall have a signed service agreement with the host family for each placement that addresses the roles and responsibilities of the host family including fostering the individual's independence, dignity, self-determination, social inclusion and community participation. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						

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					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
<p>72. Service Agreement/Roles and Responsibilities/Basic Health Care</p> <p>Service agencies shall have a signed service agreement with the host family for each placement that addresses assisting the individual with health care, basic needs, and other activities of daily living. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)</p>	X						
<p>73. Service Agreement/Roles and Responsibilities/Nutritious Meals</p> <p>Service agencies shall have a signed service agreement with the host family for each placement that addresses providing nutritious meals. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)</p>	X						
<p>74. Service Agreement/Roles and Responsibilities/Community Activities</p> <p>Service agencies shall have a signed service agreement with the host family for each placement that addresses assisting the individual to attend school, work and community activities, as well as encouraging other activities in the community. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)</p>	X						

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<p>75. Service Agreement/Roles and Responsibilities/Individual Support Plan</p> <p>Service agencies shall have a signed service agreement with the host family for each placement that addresses implementing components of the individual support plan according to the terms of the placement. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)</p>	X						
<p>76. Service Agreement/Roles and Responsibilities/Financial Records</p> <p>Service agencies shall have a signed service agreement with the host family for each placement that addresses maintaining financial and administrative records. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)</p>	X						
<p>77. Service Agreement/Roles and Responsibilities/Ongoing Training</p> <p>Service agencies shall have a signed service agreement with the host family for each placement that addresses participating in initial and ongoing training and reviews with the service agency at least annually. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)</p>	X						

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					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
78. Service Agreement/Roles and Responsibilities/Regular Communication Service agencies shall have a signed service agreement with the host family for each placement that addresses maintaining regular communication with the service agency and providing updates e.g. changes in the individual's behaviour or support needs, changes in family situation including any new proposed placement, serious accident or injury. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						
79. Service Agreement/Caregiver Respite Service agencies shall have a signed service agreement with the host family for each placement that addresses caregiver respite provided by the service agency where applicable. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						
80. Service Agreement/Agency Screened Respite Providers Service agencies shall have a signed service agreement with the host family for each participant that addresses the use of agency-screened respite providers. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						

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81. Service Agreement/Accessibility of Agency Staff Service agencies shall have a signed service agreement for each placement with the host family that addresses accessibility of agency staff to the individual, host family, and the individual's family as appropriate. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						
82. Service Agreement/Confirmation of Insurance Service agencies shall have a signed service agreement with the host family for each placement that addresses confirmation of insurance coverage carried by the host family, as may be applicable and appropriate e.g., home insurance, liability insurance, vehicle insurance. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						
83. Service Agreement/Problem Resolution and Complaints Service agencies shall have a signed service agreement with the host family for each placement that addresses problem resolution and complaint processes to address situations where the individual raises a concern with the host family. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						

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84. Service Agreement/Changing or Ending Placement Service agencies shall have a signed service agreement with the host family for each placement that addresses procedures associated with changing and/or ending the placement including that failure of the Host Family to comply with any stipulations may result in termination of the Host Family arrangement. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						
85. Service Agreement/Conflict of Interest Service agencies shall have a signed service agreement with the host family for each placement that addresses the means to address any potential conflicts of interest e.g. if a member of the host family is a staff member or board member of a service agency, etc. (Policy Directives for Service Agencies regarding the Host Family Program 2.0)	X						
86. Support and Oversight/Training and Orientation Sessions At a minimum, service agencies must provide training and orientation sessions to the host family including, but not limited to: initial certification of CPR, first aid, confidentiality, abuse prevention and reporting, as may be applicable in the agency's policies and procedures complaints, rights, care, and any other topic the agency considers relevant. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						

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87. Support and Oversight/Ongoing Support At a minimum, service agencies must provide ongoing support to the host family as needed e.g., transition support, community information, connection to other host families for advice and support (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
88. Support and Oversight/Respite At a minimum, service agencies must support caregiver respite with consideration for any terms in the agency's service agreement such as making arrangements for planned and emergency caregiver respite where applicable. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
89. Support and Oversight/ Respite Screening At a minimum, service agencies must support caregiver respite with consideration for when a screening should include a physical inspection of the respite provider's home. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
90. Support and Oversight/ Screening Triggered At a minimum, service agencies must support caregiver respite with consideration for when a caregiver respite provider's initial screening should be triggered, for example overnight respite or paid respite or regularity of respite provision. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						

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Records and Documentation	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
91. Support and Oversight/Facilitating Contact At a minimum, service agencies must facilitate contact between the individual, their family/guardian and the host family, as appropriate. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
92. Support and Oversight/Change of Circumstance At a minimum, service agencies must work with the host family and the individual in the event of a change of circumstance where the host family provider is unable to continue in their role as carer. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
93. Support and Oversight/Move Outside Service Boundaries At a minimum, service agencies must contact the Ministry about situations where an individual wants to move with their host family to another community outside the agency's service boundaries in Ontario. Considerations for such transfers may include choice, access to other community services and proximity to natural family. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						

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Records and Documentation	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
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94. Monitoring Unannounced Meeting At a minimum, service agencies must oversee and monitor the host family's compliance with their service agreement; meet with the host family and the individual in person at every 60 days (or more often as needed, at the agency's discretion), including at least one unannounced annual visit, with the purpose of ensuring that minimum performance standards continue to be met. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
95. Monitoring, Meeting with the Individual Quarterly At a minimum, service agencies must meet in person with the individual, who may be accompanied by a peer, friend or family member as may be appropriate and as may be requested by the individual, at least quarterly and separately from the Host Family, in order to receive feedback and address any issues the individual may have, in a personal and confidential manner. (Policy Directives for Service Agencies regarding the Host Family Program 3.1)	X						
96. Monitoring Personal Safety and Security/Physical Verification At a minimum, service agencies must monitor the personal safety and security of individuals receiving supports and services under the Host Family Program that includes a physical verification of the residence and property to ensure the individual's living space is kept clean and safe. (Policy Directives for Service Agencies regarding the Host Family Program 3.0)	X						

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97. Monitoring Personal Safety and Security/Safety Requirements At a minimum, service agencies must monitor the personal safety and security of individuals receiving supports and services under the Host Family Program that includes checking safety requirements related to fire safety, health hazards and water quality testing, where applicable, in the host family residence and involving other officials/professionals as required. (Policy Directives for Service Agencies regarding the Host Family Program 3.0)	X						
98. Monitoring Personal Safety and Security/Resolution-Concerns At a minimum, service agencies must assist in the resolution of any concerns about the placement. (Policy Directives for Service Agencies regarding the Host Family Program 3.0)	X						
99. Monitoring Personal Safety and Security/Serious Occurrence Reporting At a minimum, service agencies must report serious occurrences to the Ministry in accordance with Serious Occurrence Reporting Procedures. (Policy Directives for Service Agencies regarding the Host Family Program 3.0)	X						

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100. Monitoring Personal Safety and Security/Written Records At a minimum, service agencies must document and maintain written records of all monitoring visits/inspections of the host family home and meetings with both host family providers and individuals. (Policy Directives for Service Agencies regarding the Host Family Program 3.0)	X						
101. Monitoring Personal Safety and Security/Inspection Results At a minimum, service agencies must provide copies of inspection results to the host family provider and the individual and/or the individual's family/legal guardian. (Policy Directives for Service Agencies regarding the Host Family Program 3.0)	X						

General Comments

53. Contact PS to ensure they are aware of the one family that has 2 adults who have DD and 3 Foster Children through Children's Aid. Julianne was aware.

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Site Inspection	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
1. Medication, Responsibility Each service agency shall have policies and procedures for the responsibility for access to and the storage and administration of medication at each of the different locations. (Regulation 299/10, 7(1)(5)(ii))	X						
2. Equipment Maintenance A service agency shall have policies and procedures regarding the maintenance of equipment on premises owned or operated by the agency and shall maintain the equipment as recommended by the manufacturer. (Regulation 299/10, 11(3))	X						
3. Adequate Support Staff A service agency shall maintain adequate support staff, at a level identified in the person's individual support plan, to address the safety, security and well-being of persons with developmental disabilities who receive services and supports from the service agency. (Regulation 299/10, 12(2))	X						
4. Record Retention and Storage Each service agency shall have policies and procedures on service record retention and secure storage. (Regulation 299/10, 14(1)(b))	X						
5. Diet and Nutrition Each service agency shall ensure information, as applicable and appropriate, is provided to the person with respect to diet and nutrition. (Regulation 299/10, 24(3)(ii))	X						

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Site Inspection	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
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6. Pets and Service Animals Each service agency shall have policies and procedures on pets and service animals in the residence. (Regulation 299/10, 25(3))	X						
7. Water, 49 degrees Celsius Each service agency shall have policies and procedures on scalding prevention, which shall ensure that the service agency has a method of temperature control, monitoring and documentation to ensure that in each residence water from a faucet is not hotter than 49 degrees Celsius. (Regulation 299/10, 25(4))	X						
8. Clean and Safe, Residence Each service agency shall ensure that the residence is kept safe and clean. (Regulation 299/10, 26(1)(a))	X						
9. Recreation Area Each service agency shall ensure that the residence has a recreation area or common area. (Regulation 299/10, 26(1)(b))	X						
10. Recreation Area, clean and safe Each service agency shall ensure that the recreation and common areas, both inside and outside the residence, are kept clean and safe, where these areas are owned or operated by the service agency. (Regulation 299/10, 26(1)(c))	X						

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11. Exits, Clear Each service agency shall ensure that all exits in the residence are kept clear at all times. (Regulation 299/10, 26(1)(d))	X						
12. Appliances and Furnishings Each service agency shall ensure that appliances and furnishings in the residence are clean and are in good condition and working order. (Regulation 299/10, 26(1)(e))	X						
13. Hazardous Household Products Each service agency shall ensure that hazardous household products are stored and used safely within the residence. (Regulation 299/10, 26(1)(f))	X						
14. 20 degrees Celsius Each service agency shall ensure that a residence that is owned or operated by the service agency has a minimum temperature of 20 degrees Celsius throughout the residence from October 1 to May 31 each year. (Regulation 299/10, 26(1)(g))	X						
15. Bed, Appropriate Size Each service agency shall ensure that the sleeping accommodations for each person with a developmental disability that the service agency supports is provided with a bed of appropriate size. (Regulation 299/10, 26(1)(h)(i))	X						

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16. Suitable Mattress Each service agency shall ensure that the sleeping accommodations for each person with a developmental disability that the service agency supports is provided with a suitable mattress. (Regulation 299/10, 26(1)(h)(ii))	X						
17. Bedding, Weather Each service agency shall ensure that the sleeping accommodations for each person with a developmental disability that the service agency supports is provided with bedding appropriate to weather. (Regulation 299/10, 26(1)(h)(iii))	X						
18. Furniture and Clothing Storage Each service agency shall ensure that the sleeping accommodations for each person with a developmental disability that the service agency supports is provided with appropriate individual furniture and clothing storage (in the bedroom, where possible). (Regulation 299/10, 26(1)(h)(iv))	X						
19. Space, Personal Possessions/Hobbies Each service agency shall ensure that the sleeping accommodations for each person with a developmental disability that the service agency supports is provided with sufficient space to keep their personal possessions and to pursue hobbies and interests without unwanted or unwarranted intrusion from others. (Regulation 299/10, 26(1)(h)(v))	X						

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Site Inspection	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
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20. Exterior Window/Coverings Each service agency shall ensure that the sleeping accommodations for each person with a developmental disability that the service agency supports is provided with an exterior window and window coverings. (Regulation 299/10, 26(1)(h)(vi))	X						
21. Cooling Room Each service agency shall ensure that the residence has at least one cooling room for extreme heat days. (Regulation 299/10, 26(2)(a))	X						
22. Humidex Level Each service agency shall ensure that the cooling room is maintained at a humidex level below 35 degrees Celsius at all times. (Regulation 299/10, 26(2)(b))	X						
23. Secure Isolation, Confinement Time-Out, Bedroom A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency will ensure that the physical space of the secure isolation/confinement time-out room: Is not used as a bedroom for a person with a developmental disability who has challenging behaviour. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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Site Inspection	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
24. Secure Isolation, Confinement Time-Out, Physical Space A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency will ensure that the physical space of the secure isolation/confinement time-out room: Is of an adequate size for the person with a developmental disability who has challenging behaviour. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
25. Secure Isolation, Confinement Time-Out, Objects A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency will ensure that the physical space of the secure isolation/confinement time-out room: Does not contain any objects that could be used by the person to cause injury or damage to him/herself or others (i.e., staff who may enter the room). (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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Site Inspection	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
26. Secure Isolation, Confinement Time-Out, Safe A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency will ensure that the physical space of the secure isolation/confinement time-out room: Is a safe area, with modifications (as appropriate) that would protect the person from self-injury. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
27. Secure Isolation, Confinement Time-Out, Emergency Escape A service agency shall ensure that its fire escape plan includes provisions for escape from the secure isolation/confinement time-out room, in the event of an emergency. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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Site Inspection	Yes	No	N/A	Observed Non-Compliance	Required for Compliance	Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
28. Secure Isolation, Confinement Time-Out, Constant Observation/Monitoring A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency will ensure that the physical space of the secure isolation/confinement time-out room: Has means to allow for constant observation and monitoring of the person by service agency staff (e.g., a window, a video-camera). (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
29. Secure Isolation, Confinement Time-Out, Adequate Lighting A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency will ensure that the physical space of the secure isolation/confinement time-out room: Is adequately illuminated so that the person inside the room may be seen. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
30. Secure Isolation, Confinement Time-Out, Ventilation, Heated/Cooled A service agency shall ensure that, where secure isolation/confinement time out is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, the following performance standards and measures are adopted: A service agency will ensure that the physical space of the secure isolation/confinement time-out room: Is adequately ventilated and heated/cooled. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
31. Secure Isolation, Confinement Time-Out, Lock Easily Released If the secure isolation/confinement time-out room has a lock on the door to prevent the person from leaving the room, the service agency will ensure that the lock can be easily released from the outside in an emergency. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
32. Mechanical Restraint, Manufacture and Designed A service agency shall ensure that where a mechanical restraint is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, any apparatus or device used as part of a mechanical restraint meets all of the following standards: It is designed and manufactured for use as a mechanical restraint. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				

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					Follow-up Comments		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
33. Mechanical Restraint , Appropriate Size A service agency shall ensure that where a mechanical restraint is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, any apparatus or device used as part of a mechanical restraint meets all of the following standards: It is appropriate for use with the individual (e.g., the size of the device or apparatus is appropriate to the size and weight of the person). (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
34. Mechanical Restraint, Good Repair A service agency shall ensure that where a mechanical restraint is recommended to be used to address a person's challenging behaviour as part of their behaviour support plan, any apparatus or device used as part of a mechanical restraint meets all of the following standards: It is maintained in good repair by the manufacturer or by a person or organization recommended by the manufacturer. (Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour)			X				
General Comments							
#23-31: There is no area designated as isolation/confinement time out at this location. #32-34: There are no mechanical restraints applied at this location. 6. Agency has pets at many different locations and the pet immunization records and care are up to date.							



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Staff Discussions	Yes	No	N/A	Observed Non-Compliance		Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Required for Compliance		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
					Follow-up Comments		
Staff Discussion							



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Individual Discussions	Yes	No	N/A	Observed Non-Compliance		Date to be Completed (yyyy-MM-dd)	Requirement Met within 10 Business Days
					Required for Compliance		Date Requirement Met post 10 Business Days (yyyy-MM-dd)
					Follow-up Comments		
Individual Discussion							

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Recommendation/Comment

Community Living Kingston - Review - Policies and Procedures including Host Families

Agency uses Nucleus for Data Entries for Persons Served

Incident Reports and Serious Occurrences Reviewed

Sites Visited

390 Mowat

- 4 Person Served Files Reviewed 1 BSP
- 2 Staff Files Reviewed

82 Aberfoyle

- 2 Person Served Files Reviewed - 1 BSP
- 2 Staff Files Reviewed

202 Splinter

- 2 Persons Served Files Reviewed
- 2 Staff Files Reviewed

587 Arbour Court

- 3 Person Served Files Reviewed - 2 Behaviour Strategies
- 2 Staff Files Reviewed

Parkway # 305 # 507 and #403

- 5 Person Served Files Reviewed - 1 BSP and 1 Behaviour Strategy
- 2 Staff Files Reviewed

Total # is 20 Person Served Files

- 10 Staff Files Reviewed
- 2 Board Files Reviewed
- 2 Students Files Reviewed
- 1 Volunteer File Reviewed

Reviewed 5 Host families, 4 Persons Served and 1 Respite

Strongly Recommend - Each site complete daily digital water temperature checks and record results. These water tests to be taken from the tub or shower areas. Presently temperatures are recorded monthly from property maintenance and recorded. Staff are taking water temperatures daily, just not recording. This will ensure the safety of individuals.

Recommend that CL Kingston develops a consistent method of recording Permission to Share Personal Plan as it was found in three different places.



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Recommendation/Comment

Three staff members have January expiring dates for CPI and are registered for a course at the beginning of March, 2017.

Peoples rooms very personalized.

The ministry staff has discussed the contents of the checklist with me.

Peter Sproul

Operator/Authorized Designate Name

Operator/Authorized Designate Signature

2017-02-14

Inspection Exit Meeting Date (yyyy-MM-dd)

Darlene_Dale

Program Advisor Name

Program Advisor Signature

2017-02-14

Inspection Exit Meeting Date (yyyy-MM-dd)