



Developmental Services Compliance Inspection Report

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

Identifying Information	
Agency ID:	Agency Name:
Agency Group:	Services and Support Group:
Agency Address:	Agency Contact Title & Agency Contact:
Agency Telephone #:	
Lead Reviewer:	Agency Exit Meeting Date:

Agency ID / Name	Site Services and Support	Visit #	Time In	Time Out	Reviewer	Program Supervisor

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	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>1. Follow P&P</p> <p>Where an application entity 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))</p>						
<p>2. Writing, Date, Current Practice</p> <p>Where an application entity 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 application entities most current practice. (Regulation 299/10, 1(3)(b))</p>						
<p>3. Mission Statement</p> <p>Each application entity shall include in its policies and procedures a mission statement that promotes social inclusion. (Regulation 299/10, 29(1)(1))</p>						
<p>4. Service Principles</p> <p>Each application entity 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))</p>						

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Policies and Procedures	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>5. Statement of Rights</p> <p>Each application entity shall include in its policies and procedures a statement that outlines the rights of persons with developmental disabilities who have applied for services and supports or funding and is based on respect for, and the dignity of, the individual. (Regulation 299/10, 29(1)(3))</p>						
<p>6. Abuse, Documentation and Reporting</p> <p>Each application entity 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, 30(1)(1))</p>						
<p>7. Abuse, Supporting Persons</p> <p>Each application entity shall include in its policies and procedures the manner of supporting a person with a developmental disability, where abuse of the person has been alleged or witnessed or is suspected. (Regulation 299/10, 30(1)(2))</p>						
<p>8. Abuse, Dealing with Staff & Volunteers</p> <p>Each application entity shall include in its policies and procedures the manner of dealing with application entity staff members and volunteers who have abused or are alleged to have abused persons with developmental disabilities who have applied for services and supports or funding. (Regulation 299/10, 30(1)(3))</p>						

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Policies and Procedures	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>9. Abuse, Zero Tolerance</p> <p>An application entity's policies and procedures on abuse shall promote zero tolerance toward all forms of abuse. (Regulation 299/10, 30(3))</p>						
<p>10. Abuse, Notification</p> <p>An application entity 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, 31(1))</p>						
<p>11. Abuse Notification, Consent</p> <p>The policies and procedures on notification shall require the application entity 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, 31(2))</p>						
<p>12. Privacy & Confidentiality</p> <p>Each application entity shall have policies and procedures that ensure compliance with applicable privacy legislation and its privacy and confidentiality obligations under any funding agreement made under the Act. (Regulation 299/10, 32(1)(1))</p>						
<p>13. Personal Information, Consent</p> <p>Each application entity shall have policies and procedures regarding consent to any collection, use or disclosure of personal information. (Regulation 299/10, 32(1)(2))</p>						

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<p>14. Equipment Maintenance</p> <p>An application entity shall have policies and procedures regarding the maintenance of equipment on premises owned or operated by the entity and shall maintain the equipment as recommended by the manufacturer. (Regulation 299/10, 33(3))</p>						
<p>15. Orientation and Initial Training, P&Ps</p> <p>Each application entity shall have policies and procedures for staff members and volunteers that address the orientation and initial training on the application entity and its policies and procedures. (Regulation 299/10, 34(1)(1))</p>						
<p>16. Training, Ongoing</p> <p>Each application entity shall have policies and procedures for staff members and volunteers that address regular ongoing training for staff members and volunteers as may be appropriate or required. (Regulation 299/10, 34(1)(2))</p>						
<p>17. Record Retention, Storage</p> <p>Each application entity shall have policies and procedures on record retention and secure storage. (Regulation 299/10, 35(1)(b))</p>						
<p>18. Feedback, Concerns/Customer Service, AODA</p> <p>The application entity shall develop and implement policies and procedures for gathering feedback and addressing concerns about its customer service in compliance with the Accessibility for Ontarians with Disabilities Act, 2005. (Policy Directives for Application Entities: 7.0 Feedback Process)</p>						



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Board Records	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>1. Mission Statement, Service Principles, Statement of Rights</p> <p>Each application entity 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, 29(2)(a))</p>						
<p>2. Mission Statement, Service Principles, Statement of Rights, Annual Review</p> <p>Each application entity 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, 29(2)(b))</p>						
<p>3. Mission Statement, Service Principles, Statement of Rights, Review Dates</p> <p>Each application entity shall record the dates of all orientations, refreshers and reviews conducted under clauses (b). (Regulation 299/10, 29(2)(c))</p>						
<p>4. Abuse Policies Orientation</p> <p>Each application entity shall provide a mandatory orientation to all new members of the board of directors on the entity's policies and procedures on abuse prevention, identification and reporting. (Regulation 299/10, 30(2)(b))</p>						
<p>5. Abuse Policies, Annual</p> <p>Each application entity shall provide an annual refresher to members of the board of directors on the entity's policies and procedures on abuse prevention, identification and reporting. (Regulation 299/10, 30(2)(b))</p>						

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Board Records	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>6. Privacy and Confidentiality, Orientation</p> <p>Each application entity shall provide an orientation to its 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, 32(2))</p>						
<p>7. References</p> <p>The application entity shall arrange for a personal reference check and require a police records check for new board members where they will have direct contact with the persons with developmental disabilities. (Regulation 299/10, 34(2))</p>						
<p>8. References, ASAP</p> <p>The application entity shall ensure that the personal reference check and police records check are completed as soon as possible for a new board member before or after they assume their responsibilities with the entity. (Regulation 299/10, 34(3))</p>						
<p>9. References, Supervision</p> <p>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, 34(4))</p>						

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Board Records	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>10. Feedback, Concerns, Annual Review/Analysis</p> <p>The Application Entity shall conduct an annual review and analysis of feedback received and how concerns raised in the feedback were addressed, and evaluate the effectiveness of its policies and procedures on the feedback process for the Board of Directors. (Policy Directives for Application Entities: 7.0 Feedback Process)</p>						

General Comments

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Staff-Volunteer Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>1. Mission Statement, Service Principles, Statement of Rights</p> <p>Each application entity 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, 29(2)(a))</p>						
<p>2. Mission Statement, Service Principles, Statement of Rights, Annual Refresher</p> <p>Each application entity shall conduct an annual refresher for staff and volunteers of the mission statement, service principles and statement of rights thereafter. (Regulation 299/10, 29(2)(a))</p>						
<p>3. Mission Statement, Service Principles, Statement of Rights, Dates</p> <p>Each application entity shall record the dates of all orientations, refreshers and reviews conducted under clauses (a). (Regulation 299/10, 29(2)(c))</p>						
<p>4. Abuse, Training</p> <p>Each application entity 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 have applied for services and supports or funding. (Regulation 299/10, 30(2)(a)(i))</p>						
<p>5. Abuse, Annual Training</p> <p>Each application entity shall provide a refresher course on the matters referred to in subclause (i) every year thereafter. (Regulation 299/10, 30(2)(a)(ii))</p>						

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Staff-Volunteer Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>6. Privacy & Confidentiality, Training</p> <p>Each application entity 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, 32(2))</p>						
<p>7. Emergency Preparedness Plan, Training</p> <p>Each application entity shall have training for its staff members and volunteers in the procedures outlined in the emergency preparedness plan. (Regulation 299/10, 33(1)(3))</p>						
<p>8. Orientation and Initial Training, P&P's</p> <p>In addressing quality assurance measures respecting human resource practices, each application entity shall have policies and procedures for staff members and volunteers that address the orientation and initial training on the application entity and its policies and procedures. (Regulation 299/10, 34(1)(1))</p>						
<p>9. Training, Ongoing</p> <p>In addressing quality assurance measures respecting human resource practices, each application entity shall have policies and procedures for staff members and volunteers that address regular ongoing training for staff members and volunteers as may be appropriate or required. (Regulation 299/10, 34(1)(2))</p>						

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Staff-Volunteer Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>10. References, Staff</p> <p>The application entity shall ensure that the personal reference check and police records check are completed as soon as possible for a new staff member and volunteer before or after they assume their responsibilities with the entity. (Regulation 299/10, 34(2))</p>						
<p>11. References, ASAP</p> <p>Until the completion of their reference check, their police records check and their orientation and initial training, a staff member or volunteer shall have direct contact with persons with developmental disabilities only when being supervised. (Regulation 299/10, 34(3))</p>						
<p>12. References, Supervision</p> <p>Until the completion of their reference check, their police records check and their orientation and initial training, a staff member or volunteer shall have direct contact with persons with developmental disabilities only when being supervised. (Regulation 299/10, 34(4))</p>						
<p>13. Police, Written Protocols</p> <p>An application entity 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, 34(5))</p>						

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Staff-Volunteer Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>14. Application Package, Qualified Assessor</p> <p>The Application Entity shall assign responsibility to qualified assessors for the administration of the ministry mandated Application Package to collect data on the support needs, priorities and circumstances of persons with developmental disabilities. The Application Package consists of the Application for Developmental Services and Supports (ADSS) and the Supports Intensity Scale -Adult Version™ (SIS-A™). (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>15. Assessor Training</p> <p>The Application Entity shall ensure assessors participate in all required ministry-led assessor training and data quality assurance events and ensure that they adhere to and maintain the provincially-consistent standards when using the Application Package as well as the ministry assessor reporting document (the Assessor Summary Report). A support needs assessment is valid and complete only when conducted by an assessor who has successfully completed the ministry’s assessor training and data quality assurance program within the last 18 months. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						

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<p>16. Assessor Qualifications</p> <p>The Application Entity shall ensure that assessors who administer the Application Package have the following qualifications:</p> <ul style="list-style-type: none"> • completed formal education of an undergraduate degree or equivalent, in a field related to human services (such as psychology, sociology, or social work) ; • a minimum of five years recent experience working directly in the field of developmental services, or equivalent experience working in an occupation related to human services ; • experience in intake, case management, service coordination, direct support and/or advocacy roles; • relevant computer skills as required to use ministry documents, and ministry-mandated information technology systems, including SIS -A™ electronic form for collecting support needs assessments information of people applying for ministry funded developmental services and supports, and • successfully completed training on the administration of the Application Package through the ministry’s assessor trainer and data quality assurance program. <p>(Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>17. Assessor Standards, Ongoing Training</p> <p>Assessors shall meet the following ongoing training and experience requirements to ensure that their skills continue to meet the ministry’s standards: Successfully complete interviewer reliability reviews through the ministry’s assessor training and data quality assurance program every 18 months.</p> <p>(Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						

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Staff-Volunteer Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>18. Assessor Standards, Administration of Application Package</p> <p>Assessors shall meet the following ongoing training and experience requirements to ensure that their skills continue to meet the ministry’s standards: Ongoing administration of the Application Package with applicants on a regular basis. The assessors should administer at least 36 Application Packages in the 18-month (as a best practice at least 2 assessments per month) period between each successful completion of the interviewer reliability review through the ministry’s assessor trainer and data quality assurance program. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>19. Assessor Standards, Return From Leave of Absence</p> <p>The Application Entity shall ensure that assessors who administer the Application Package have the following qualifications: Assessors who return from a leave of absence are required to follow the ministry guidelines for maintaining assessor qualifications provided through the ministry’s assessor trainer and data quality assurance program, specifically the sections that pertain to ‘leave of absence’. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						

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<p>20. Assessor Standards, Independent From Direct Provision of Developmental Services</p> <p>The Application Entity shall also ensure that assessors who administer the Application Package are independent from direct provision of developmental services (are not employed in a service agency that delivers residential services and supports or community participation services and supports under the authority of the Act). (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>General Comments</p>						

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Individual Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>1. Eligibility for Ministry Funded Adult DS Services and Supports/Supported Documentation</p> <p>The Application Entity shall review supporting documentation provided by the individual or representative of their choice, to confirm whether an applicant is eligible for ministry funded adult developmental services and supports. (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						
<p>2. Adult DS Services and Supports/Required Documentation</p> <p>Required documentation includes: a psychological assessment or report signed by a psychologist or psychological associate registered with the College of Psychologists of Ontario (or equivalent body in another province) that states the individual has a developmental disability in accordance with the Act and Regulation. (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						
<p>3. Eligibility for Ministry Funded Adult DS Services and Supports/Proof of Age</p> <p>Required documentation includes: proof of age (document displays individual's name and date of birth). (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						

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<p>4. Eligibility for Ministry Funded Adult DS Services and Supports/Ontario Residency</p> <p>Required documentation includes: proof of Ontario residency (document displays the individual’s name and address). (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						
<p>5. Eligibility for Ministry Funded Adult DS Services and Supports/Ministry Approved Tools</p> <p>The Application Entity shall use ministry approved decision-making tools to confirm whether an applicant is eligible for ministry funded adult developmental services and supports. (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						
<p>6. Eligibility for Ministry Funded Adult DS Services and Supports/Confirmation</p> <p>Where an individual’s documentation demonstrates the individual has a developmental disability in accordance with the Act and Regulation, and meets all eligibility criteria, the Application Entity shall confirm the individual’s eligibility for ministry funded adult developmental services and supports. (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						

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<p>7. Ineligible for Ministry Funded Adult DS Services and Supports</p> <p>Where an individual’s documentation indicates the individual does not have a developmental disability or does not meet all eligibility criteria in accordance with the Act and Regulation, the Application Entity shall find the individual ineligible for ministry funded adult developmental services and supports. (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						

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<p>8. Eligibility for Ministry Funded Adult DS Services and Supports/Insufficient Information Referral</p> <p>Where an individual’s documentation does not provide sufficient information, diagnostic conclusions, or a clear determination by a psychologist or psychological associate that the individual has a developmental disability, the Application Entity cannot confirm the individual’s eligibility for ministry funded adult developmental services and supports. The following procedures are to be followed in these cases: if the individual is 18 years of age or older and does not have a psychological assessment or report by a psychologist or psychological associate but the documentation provided indicates the presence of a developmental disability (e.g., school or medical records), the Application Entity will facilitate referral to a ministry funded agency for assessment by a psychologist or psychological associate to determine whether the individual has a developmental disability as defined in the Act and regulation. (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						

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<p>9. Eligibility for Ministry Funded Adult DS Services and Supports/Ministry Funded Agency</p> <p>Where an individual’s documentation does not provide sufficient information, diagnostic conclusions, or a clear determination by a psychologist or psychological associate that the individual has a developmental disability, the Application Entity cannot confirm the individual’s eligibility for ministry funded adult developmental services and supports. The following procedures are to be followed in these cases: If the individual is 18 years of age or older and the psychological assessment or report by a psychologist or psychological associate provided indicates the presence of a developmental disability but the information in the assessment or report is unclear or insufficient to confirm whether the individual has a developmental disability as defined in the Act and regulation, the Application Entity shall ask the individual to obtain the required information from the psychologist or psychological associate who prepared the original report. If the individual cannot obtain the information required from the psychologist or psychological associate who completed the assessment, the Application Entity shall forward the individual’s documentation to a ministry funded agency to determine whether the individual has a developmental disability as defined in the Act and regulation. (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						

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Individual Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>10. Eligibility for Ministry Funded Adult DS Services and Supports/Cannot Confirm</p> <p>Where an individual’s documentation does not provide sufficient information, diagnostic conclusions, or a clear determination by a psychologist or psychological associate that the individual has a developmental disability, the Application Entity cannot confirm the individual’s eligibility for ministry funded adult developmental services and supports. The following procedures are to be followed in these cases: Following a review of the individual’s documentation, if the psychologist or psychological associate determines that additional assessment of the individual is required to determine whether the individual has a developmental disability as defined in the Act and regulation, the psychologist or psychological associate shall advise the Application Entity. The Application Entity shall refer the applicant to a Ministry-funded agency for assessment by a psychologist or psychological associate to determine whether the individual has a developmental disability as defined in the Act and regulation. (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						

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<p>11. Eligibility for Ministry Funded Adult DS Services and Supports/Advise in Writing</p> <p>The Application Entity shall advise the individual, or representative of their choice, in writing whether the individual is eligible for Ministry-funded adult developmental services and supports in accordance with the Act and Regulation, within 20 business days of receipt of all documentation. (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						
<p>12. Confirmed Eligibility/Ineligibility/Record</p> <p>Once eligibility or ineligibility has been confirmed, the Application Entity shall record the decision in the individual's file. (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						
<p>13. Eligibility for Ministry Funded Adult DS Services and Supports/Dispute</p> <p>An Application Entity shall use a three-stage approach to review a decision on eligibility that is under dispute. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						

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Individual Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>14. Three Stage Review Process/Stage 1, Timeline</p> <p>Stage 1 of the review process will be conducted by the specific Application Entity staff who made the decision on eligibility based on the documents submitted by the individual in question, and the staff supervisor. The Application Entity must complete this stage within 15 business days of receiving the request to review the decision on eligibility. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>15. Eligibility Criteria, Provided to Person and/or Representative</p> <p>At this stage of the review process, the Application Entity shall provide the individual and/or representative of their choice with: a copy of the definition of a person with a developmental disability and eligibility criteria as set out in the Act and Regulation. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>16. Eligibility Criteria, Demonstrate Inaccurately Applied</p> <p>At this stage of the review process, the Application Entity shall provide the individual and/or representative of their choice with: an opportunity to demonstrate that the eligibility criteria set out in the Act and Regulation have not been accurately applied in their case. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						

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Individual Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>17. Eligibility Criteria, Additional Supporting Documentation</p> <p>At this stage of the review process, the Application Entity shall provide the individual and/or representative of their choice with: an opportunity to provide any additional supporting information and documentation that may have a bearing on the eligibility decision. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>18. Eligibility Criteria, Staff and Supervisor Review</p> <p>The Application Entity staff and staff supervisor shall: review the individual's documentation, and any additional information or supporting documentation provided to the Application Entity, to confirm whether or not the individual meets the eligibility criteria in accordance with the Act and Regulation. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>19. Eligibility Criteria, Meet with Individual and/or Representative</p> <p>The Application Entity staff and staff supervisor shall: if requested, meet with the individual and/or representative of his/her choice to discuss the individual's file and supporting documentation and to explain the eligibility criteria and how the criteria apply to his/her case. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						

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<p>20. Eligibility Criteria, New Decision/Timeline</p> <p>The Application Entity staff and staff supervisor shall: render a new decision on eligibility, and notify the individual and/or representative of their choice of the outcome of the Stage 1 review, within 15 business days. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>21. Stage 2/Executive Director Review Request</p> <p>Within 10 business days of receiving a decision on their Stage 1 eligibility decision review, the individual and/or representative of their choice may request in writing that the Executive Director of the Application Entity review the individual's case. The Application Entity must then complete Stage 2 of the eligibility review within 15 business days of receiving the written request. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>22. Executive Director Review, Stage 1 Observed</p> <p>The Executive Director (or delegate) of the Application Entity shall: determine if the rules in Stage 1 of the review were observed. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						

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<p>23. Executive Director Review, Additional Info/Documentation</p> <p>The Executive Director (or delegate) of the Application Entity shall: provide the individual and/or representative of their choice with an opportunity to submit any additional information and supporting documentation that may have a bearing on the review process and original eligibility decision. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>24. Executive Director Review, Info/Documentation Meets Eligibility</p> <p>The Executive Director (or delegate) of the Application Entity shall: review the individual's information and supporting documentation to confirm whether or not the individual meets the eligibility criteria set out in the Act and Regulation. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>25. Executive Director Review, Decision & Notification</p> <p>The Executive Director (or delegate) of the Application Entity shall: render a decision and notify the individual and/or representative of their choice of the decision within 15 business days. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						

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<p>26. Request for Stage 3, Application Entity Review/Another Region</p> <p>Within 10 business days of receiving a decision on their Stage 2 eligibility decision review, the individual and/or representative of their choice may request, in writing, a Stage 3 review by the Executive Director (or delegate) of an Application Entity in another region of the province. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>27. Stage 3 Review Timeline</p> <p>The Application Entity that conducted the Stage 2 review shall send the written request for a Stage 3 review to the Executive Director (or delegate) of the Application Entity. The Executive Director of the Application Entity who receives this request for review must comply with the request and complete the Stage 3 eligibility review within 15 business days of receiving the written request. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>28. Stage 3, Participants</p> <p>The Application Entity that has deemed the individual ineligible at Stages 1 and 2 of the eligibility review process shall not participate in the Stage 3 review. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						

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<p>29. Stage 3, Additional Info/Documentation</p> <p>In the Stage 3 review process, the Executive Director (or delegate) of the Application Entity shall: provide the individual and/or representative of their choice with the opportunity to provide any additional information and supporting documentation that may have a bearing on the review process and decision on eligibility. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>30. Stage 3, Stage 2 Observed</p> <p>In the Stage 3 review process, the Executive Director (or delegate) of the Application Entity shall: determine if the rules in Stage 2 of the review were observed. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>31. Stage 3, Info/Documentation Meets Eligibility</p> <p>In the Stage 3 review process, the Executive Director (or delegate) of the Application Entity shall: review the individual's information and supporting documentation to confirm whether or not the individual meets the eligibility criteria set out in the Act and Regulation. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						
<p>32. Stage 3, Decision & Notification</p> <p>In the Stage 3 review process, the Executive Director (or delegate) of the Application Entity shall: render a Stage 3 review decision and notify the individual and/or representative of their choice of the decision in writing. (Policy Directives for Application Entities: 3.0 Review Processes for Decisions on Eligibility)</p>						

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<p>33. Assess Support Needs, Application Package</p> <p>The Application Entity shall use the ministry mandated Application Package, consisting of the Application for Developmental Services and Supports (ADSS) and the Supports Intensity Scale - Adult Version™ (SIS-A™), as the provincially-consistent tool to assess the support needs of applicants eligible for ministry-funded adult developmental services and supports in accordance with the Act. (Policy Directives for Application Entities: 4.0 Assessment of Support Needs)</p>						
<p>34. Application Package, Data Collection</p> <p>The Application Entity shall ensure that the Application Package data is collected, stored and maintained accurately and consistently to ensure the protection of personal and sensitive information and meets the quality standards required by the Ministry as set out by the assessor training and data quality assurance program. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>35. Assessors, Collection of Information</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: Information about an applicant may only be collected after the applicant has been informed, and understood the purpose of information collection and sharing in accordance with the Act. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						

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<p>36. Assessors/Interviews</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: Administration of the Application Package shall involve two semi-structured interviews held by an assessor with the eligible applicant as well as at least one additional respondent, but no more than four respondents, following the approach described in the assessor training and quality assurance program and the Application Package training manuals (Best practice standard is that the interviews happen on different days. Assessments scheduled on the same day should be exceptional and the justification must always lie with the best interests of the applicant). (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>37. Assessors, Interviews/Respondents</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: A respondent is defined as someone who has known the applicant well for at least the last three months and has had the opportunity to observe the applicant in one or more environments for substantial periods of time. A respondent also has to be able to understand and answer all questions. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						

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<p>38. Assessors, Interview/Respondent Criteria</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: A respondent can be a parent, sibling, other relative, guardian, direct support staff, work supervisor, teacher, or any other individual who supports, works with, or lives with the applicant being assessed and understands the applicant and his or her specific support needs. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>39. Assessors/Interview, Applicant Present</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: Every effort should be made by the Application Entity to ensure that the applicant is included and present at both Application Package interviews. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>40. Assessors/Interviews Timeline</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: Only in exceptional circumstances, or if the applicant requests or requires it, should there be more than 15 business days between the first and second interview. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						

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<p>41. Assessors/Interview, Provision of Information</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: The Application Entity shall provide background information about the interviews, and the Application Package to the applicant and respondent(s) at least (10) business days before the first interview. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>42. Assessors/Record Validation</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: The assessor must record a valid response for all questions included in the Application Package. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>43. Assessors, Reassessment</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: The Application Entity shall reassess the support needs of persons with developmental disabilities on the wait list and those in service every five years: Reassessment shall take place at five-year intervals based on the date of the last completed Application Package. (Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						

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<p>44. Assessors, Reassessment/Service Standards</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: The Application Entity shall reassess the support needs of persons with developmental disabilities on the wait list and those in service every five years: The Application Entity shall ensure that assessors adhere to the service standards for administering the Application Package when they conduct reassessments of the support needs of persons with developmental disabilities.</p> <p>(Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>45. Assessor, Reassessment/New Application Package</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: The Application Entity shall reassess the support needs of persons with developmental disabilities on the wait list and those in service every five years: The reassessment will comprise completing a new Application Package, including a new ADSS and a new SIS-A.</p> <p>(Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						

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Individual Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>46. Assessor, Immediate Reassessment</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: The Application Entity shall reassess the support needs of persons with developmental disabilities on the wait list and those in service every five years: If a person with a developmental disability's support needs or personal circumstances change significantly, the Application Entity shall make arrangements for more immediate reassessment.</p> <p>(Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						
<p>47. Qualified Assessor, Assessment, 16 Years of Age</p> <p>The Application Entity shall establish and maintain the following service standards for assessors to follow in administering the Application Package: Qualified assessors may administer the Application Package with applicants from the age of sixteen who, with the exception of the age requirement, meet the criteria for Ministry-funded adult developmental services and supports in accordance with the Act: Application Entities may not facilitate referrals for these applicants to Ministry-funded adult developmental services and supports until they are eighteen years of age.</p> <p>(Policy Directives for Application Entities: 5.0 Assessor Qualifications and Service Standards for the Assessment of Support Needs)</p>						

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Individual Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>48. Emergency Service Response</p> <p>When an individual contacting an Application Entity needs an emergency service response, the Application Entity shall provide information to direct the individual to the most appropriate local emergency service (for example, the police, hospital or local clinic). (Policy Directives for Application Entities: 6.0 Individuals in Urgent Need of Support)</p>						
<p>49. Urgent Need of Service</p> <p>When an individual contacting an Application Entity is in urgent need of service, the Application Entity shall initiate the local process for resolving service issues for persons with developmental disabilities (such as urgent response) that may refer the individual to appropriate available, interim support. (Policy Directives for Application Entities: 6.0 Individuals in Urgent Need of Support)</p>						
<p>50. Urgent Need of Service/Eligibility Confirmation Process</p> <p>Where an individual has not previously completed the confirmation of eligibility process for Ministry-funded adult developmental services and supports, the Application Entity shall follow-up with the individual to complete the eligibility confirmation process in accordance with the Act. (Policy Directives for Application Entities: 6.0 Individuals in Urgent Need of Support)</p>						

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<p>51. Urgent Need of Support/Application Package</p> <p>The Application Entity shall complete and/or update the full Application Package for all eligible individuals as soon as possible and no later than twelve (12) months after the date of the initial request for urgent support. (Policy Directives for Application Entities: 6.0 Individuals in Urgent Need of Support)</p>						
<p>52. Information and Supports, Consideration of Risks</p> <p>Each application entity shall provide information and supports to persons with developmental disabilities regarding activities in their individual support plan, including the consideration of risks so they can make informed decisions. (Regulation 299/10, 29(3))</p>						
<p>53. Privacy & Confidentiality, Persons Applying</p> <p>Each application entity shall review its policies and procedures on privacy and confidentiality and consent to collection, use or disclosure of personal information with persons with a developmental disability who have applied for services and supports or funding from the entity 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 any person acting on their behalf. (Regulation 299/10, 32(3))</p>						
<p>54. Record, Individual</p> <p>Each application entity shall keep a record for each person with a developmental disability who has applied for services and supports or funding. (Regulation 299/10, 35(1)(a))</p>						

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Individual Records Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>55. Record, Application for Developmental Services and Supports</p> <p>At a minimum, the record shall include a copy of the person's Application for Developmental Services and Supports (Regulation 299/10, 35(2)(a))</p>						
<p>56. Record, Supports Intensity Scale</p> <p>At a minimum, the record shall include a copy of the person's Supports Intensity Scale needs assessment. (Regulation 299/10, 35(2)(b))</p>						
<p>57. Record, Individual Support Plan</p> <p>At a minimum, the record shall include a copy of the person's individual support plan. (Regulation 299/10, 35(2)(c))</p>						
<p>58. Record, Retention</p> <p>The application entity shall retain a person's record for a minimum of seven years after the application entity has assessed the person's needs for services and supports. (Regulation 299/10, 35(3))</p>						
<p>59. Record, Minimum of Seven Years</p> <p>Copies or electronic records/copies of all required documentation shall be retained for people who have been confirmed eligible for adult developmental services and supports for a minimum of seven years after the Application Entity has assessed the person's needs for services and supports (in accordance with the Regulation on Quality Assurance Measures). (Policy Directives for Application Entities: 2.0 Confirmation of Eligibility for Ministry-Funded Adult Developmental Services and Supports)</p>						

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<p>60. Abuse Prevention/Reporting</p> <p>The Application Entity shall also comply with the policies and procedures set out in O. Reg. 299/10 under the Act on abuse prevention and reporting, and with the Ministry process for reporting serious occurrences when a report is received in this regard. (Policy Directives for Application Entities: 7.0 Feedback Process)</p>						
<p>General Comments</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>1. Community Based Adult Developmental Services, General Information</p> <p>When an Application Entity is asked to provide information about adult developmental services and supports in Ontario, the Application Entity shall provide general information on: all relevant community-based services available to persons with developmental disabilities including Ministry of Children, Community and Social Services (ministry) -funded adult developmental services and supports in accordance with the Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008; how to find information on the French Language Services Act, the Accessibility for Ontarians with Disabilities Act, 2005 and its regulations, and the Human Rights Code in Ontario. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>2. Community Based Adult Developmental Services, Information/Application for Services and Supports/Related Legislation</p> <p>When an Application Entity is asked to provide information about adult developmental services and supports in Ontario, the Application Entity shall provide general information on: the Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008, including: the process for applying for Ministry-funded adult developmental services and supports. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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<p>3. Community Based Adult Developmental Services, Direct Funding or Access Through Service Agencies</p> <p>When an Application Entity is asked to provide information about adult developmental services and supports in Ontario, the Application Entity shall provide general information on: the Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act, 2008, including: where applicable, the choice available to eligible applicants to receive direct funding to purchase adult developmental services and supports, or to access adult developmental services and supports through service agencies funded by the Ministry. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>4. Customer Service, Feedback</p> <p>When an Application Entity is asked to provide information about adult developmental services and supports in Ontario, the Application Entity shall provide general information on: how to provide feedback to the Application Entity on its customer service. (See Policy Directive 7 – Feedback (Customer Service). (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>5. Application Package, Feedback/Applicants</p> <p>When an Application Entity is asked to provide information about adult developmental services and supports in Ontario, the Application Entity shall provide general information on: how applicants can provide feedback to the Ministry on the Application Package. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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<p>6. Feedback, Concerns/Annual Review/Analysis</p> <p>The Application Entity shall conduct an annual review and analysis of feedback received and how concerns raised in the feedback were addressed, and evaluate the effectiveness of its policies and procedures on the feedback process for the Board of Directors. (Policy Directives for Application Entities: 7.0 Feedback Process)</p>						
<p>7. Feedback, Application Package/Survey</p> <p>The Application Entity shall provide applicants and/or representatives of their choice with the confidential Ministry survey about the Application Package: Implementation of this policy directive is based on the use of a Ministry-specified survey tool and a common set of questions. (Policy Directives for Application Entities: 7.0 Feedback Process)</p>						
<p>8. Feedback, Application Package, Survey Administrator</p> <p>The Application Entity shall provide applicants and/or representatives of their choice with the confidential Ministry survey about the Application Package: Anonymous surveys shall be sent directly from the applicant to the administrator of the Ministry's survey tool (either electronically or in hard copy). (Policy Directives for Application Entities: 7.0 Feedback Process)</p>						

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<p>9. Community Based Services & Providers, Response to Questions</p> <p>When an Application Entity is asked to provide information about adult developmental services and supports in Ontario, the Application Entity shall provide general information on: how the Application Entity will respond to email, mail, in-person, and telephone questions about relevant community-based services and service providers for persons with developmental disabilities. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>10. Application Entities Locations & Contact Information</p> <p>When an Application Entity is asked to provide information about adult developmental services and supports in Ontario, the Application Entity shall provide general information on: location(s) of Application Entities within the region, and locations of other Application Entities across the province, including contact information and hours of operation for each location. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>11. Service Ontario 211</p> <p>The Application Entity shall use the 211 Ontario data base as a primary source of information about relevant community-based services and service providers for persons with developmental disabilities, wherever available. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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<p>12. Information Requests, Person</p> <p>The Application Entity shall receive and respond to information requested by any member of the public, and share standard information on Ministry-funded adult developmental services and supports and other relevant community-based services and service providers for persons with developmental disabilities in any of the following ways, as appropriate: in person. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>13. Information Requests, Telephone</p> <p>The Application Entity shall receive and respond to information requested by any member of the public, and share standard information on Ministry-funded adult developmental services and supports and other relevant community-based services and service providers for persons with developmental disabilities in any of the following ways, as appropriate: via telephone. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>14. Information Requests, Email</p> <p>The Application Entity shall receive and respond to information requested by any member of the public, and share standard information on Ministry-funded adult developmental services and supports and other relevant community-based services and service providers for persons with developmental disabilities in any of the following ways, as appropriate: by email. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>15. Information Requests, Mail</p> <p>The Application Entity shall receive and respond to information requested by any member of the public, and share standard information on Ministry-funded adult developmental services and supports and other relevant community-based services and service providers for persons with developmental disabilities in any of the following ways, as appropriate: by mail. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>16. Information Request, Website and/or Web-related</p> <p>The Application Entity shall receive and respond to information requested by any member of the public, and share standard information on Ministry-funded adult developmental services and supports and other relevant community-based services and service providers for persons with developmental disabilities in any of the following ways, as appropriate: website and/or web-related resources. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>17. Standard Business Hours</p> <p>The Application Entity shall: establish standard business hours of operation during which staff will respond directly to in-person, telephone, and on-line (e-mail) enquiries. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>18. Application Package Interviews/Outside Standard Business Hours</p> <p>The Application Entity shall: establish hours outside of standard business hours of operation both during the week and on weekends, for eligible applicants to participate in scheduled Application Package interviews. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>19. Current Information/Resources, Community Participation</p> <p>The Application Entity shall: maintain accurate, current information on community resources to encourage and support more participation by persons with developmental disabilities in community life. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>20. Information Requests, Confidential Protocols</p> <p>The Application Entity shall: develop and implement protocols for responding to information requests made in-person, by telephone, email, mail, through the Application Entity website, or by other means, in a secure and confidential manner and as set out in a Ministry-approved service plan. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>21. Standard Information, Protocols for Provision</p> <p>The Application Entity shall: develop and implement protocols for the provision of standard information, as set out in a Ministry-approved service plan that includes requirements to: provide standard information in plain language, in hard copy (where applicable), by email or through the website, and by voicemail. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>22. Standard Information, Protocols for Review & Update</p> <p>The Application Entity shall: develop and implement protocols for the provision of standard information, as set out in a Ministry-approved service plan, that includes requirements to: review and update of standard information annually, and where information comes from an outside source (not directly from the Application Entity), put protocols in place to update information on a regular basis. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>23. Standard Information, Protocols for Revision Dates</p> <p>Application Entity shall: develop and implement protocols for the provision of standard information, as set out in a Ministry-approved service plan that includes requirements to: include clearly visible, effective and revision dates on all forms, protocols, and in published website content. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>24. Compliance/FLSA & Regulations</p> <p>The Application Entity shall: comply with all applicable legislation, which may include: the French Language Services Act, and its regulations. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>25. Compliance/AODA & Regulations</p> <p>The Application Entity shall: comply with all applicable legislation, which may include: accessibility requirements in accordance with the Accessibility for Ontarians with Disabilities Act, 2005, and its regulations. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>26. Compliance/Human Rights Code of Ontario</p> <p>The Application Entity shall: comply with all applicable legislation, which may include: the Human Rights Code in Ontario. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>27. Compliance/MC SSA/Policy Directives</p> <p>The Application Entity shall: comply with all applicable legislation, which may include: the Ministry of Community and Social Services Act. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>28. IN-PERSON Information Provision Protocols/Assign Knowledgeable Staff</p> <p>The Application Entity shall include the following specific requirements for IN-PERSON information provision in its protocols: The Application Entity shall assign responsibility to knowledgeable staff to greet people, respond to in-person requests for information about adult developmental services and supports, and to refer people to additional sources of information and community-based resources as needed. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>29. IN-PERSON Information Provision Protocols/Application, Prioritization, Service Connection, Funding Processes</p> <p>The Application Entity shall include the following specific requirements for IN-PERSON information provision in its protocols: provide information specific to the needs of each of the following groups, in a consistent manner to eligible applicants for adult developmental services and supports in accordance with the Act, and/or representatives of their choice, on the application, prioritization, service connection and funding processes, and relevant community-based services available in the community. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>30. IN-PERSON Information Provision Protocols/Role of The Application Entity</p> <p>The Application Entity shall include the following specific requirements for IN-PERSON information provision in its protocols: provide information specific to the needs of each of the following groups, in a consistent manner to potential applicants, and/or representatives of their choice, on the role of the Application Entity, eligibility, the application process, and relevant community-based services available in the community. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>31. IN-PERSON Information Provision Protocols/Outreach</p> <p>The Application Entity shall include the following specific requirements for IN-PERSON information provision in its protocols: The Application Entity shall provide outreach to the above information on an as needed basis, which may include information sessions held in-person, video-conferencing. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>32. TELEPHONE Information Provisions/Local, Toll-free Number, TTY Number</p> <p>The Application Entity shall include the following specific requirements for TELEPHONE information provision in its protocols: The Application Entity shall provide both a local and toll-free number, and a TTY number, that the public can use to request information. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>33. TELEPHONE Information Provisions/Knowledgeable Staff</p> <p>The Application Entity shall include the following specific requirements for TELEPHONE information provision in its protocols: The Application Entity shall have knowledgeable staff to answer the telephone to respond to requests for information about adult developmental services and supports, and to refer people to additional sources of information and community-based resources as needed. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>34. TELEPHONE Information Provisions/Alternate Number</p> <p>The Application Entity shall include the following specific requirements for TELEPHONE information provision in its protocols: During business hours, when the telephone cannot be immediately answered, the Application Entity shall provide an alternate number for immediate assistance. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>35. TELEPHONE Information Provisions/Voicemail Message</p> <p>The Application Entity shall include the following specific requirements for TELEPHONE information provision in its protocols: During business hours, when the telephone cannot be immediately answered, the Application Entity shall activate a standard pre-recorded voicemail message that provides the name of the Application Entity, hours of operation for that day, and if relevant, any walk-in hours. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>36. TELEPHONE Information Provisions/Outside of Business Hours</p> <p>The Application Entity shall include the following specific requirements for TELEPHONE information provision in its protocols: Outside of business hours or during extended staff absences, the Application Entity shall activate a standard pre-recorded voicemail message that explains the basic functions of the Application Entity and provides telephone numbers for emergency services. (Policy Directives for Application Entities: 1.0 Provisions of Information) (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>37. EMAIL Information Provisions/Standard Auto-reply</p> <p>The Application Entity shall include the following specific requirements for EMAIL information provision in its protocols: The Application Entity shall where resources do not allow for an immediate response to emails, create a standard auto-reply email that will tell the sender that his/her email has been received and that a response is being prepared. (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>38. WEBSITE Information Provisions</p> <p>The Application Entity shall include the following specific requirements for WEBSITE information provision in its protocols: The Application Entity shall have its own website (i.e. URL) that will have the same branding as other Application Entities including common core information and language; clearly visible and complete contact information for all office locations within the region; hours of operation for directly responding to inquiries via telephone, on-line (e-mail) and in person; a link to the ministry’s website, other Application Entities in the province websites and links to other relevant resources; protocols for service, accessibility and French language services; and protocols for responding to adults in urgent need of interim developmental support response (See Policy Directive 6 – Adults in Urgent Need of an Interim Developmental Support Response). (Policy Directives for Application Entities: 1.0 Provisions of Information)</p>						
<p>39. Abuse, Annual P&P Review</p> <p>Each application entity 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, 30(2)(c))</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>40. Abuse, Police Reporting</p> <p>Where an application entity suspects any alleged, suspected or witnessed incidents of abuse of a person with a developmental disability may constitute a criminal offence, the application entity shall immediately report to the police the alleged, suspected or witnessed incident of abuse. (Regulation 299/10, 30(4)(a))</p>						
<p>41. Abuse, Internal Investigation</p> <p>Where an application entity suspects any alleged, suspected or witnessed incidents of abuse of a person with a developmental disability may constitute a criminal offence, the application entity shall not initiate an internal investigation before the police have completed their investigation. (Regulation 299/10, 30(4)(b))</p>						
<p>42. Abuse, Zero Tolerance</p> <p>An application entity 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, 30(5)(a))</p>						
<p>43. Abuse, Changes</p> <p>An application entity shall assess whether changes to its policies and procedures may be necessary to prevent occurrences of abuse. (Regulation 299/10, 30(5)(b))</p>						
<p>44. Abuse, Implementation</p> <p>An application entity shall, promptly implement the changes that are determined to be necessary as a result of the review. (Regulation 299/10, 30(5)(c))</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>45. Abuse, Written Record</p> <p>An application entity 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 evaluation. (Regulation 299/10, 30(6))</p>						
<p>46. Abuse Notification, Consent</p> <p>The policies and procedures on notification shall require the application entity 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, 31(2))</p>						
<p>47. Abuse Prevention, Reporting</p> <p>The Application Entity shall also comply with the policies and procedures set out in O. Reg. 299/10 under the Act on abuse prevention and reporting, and with the Ministry process for reporting serious occurrences when a report is received in this regard. (Policy Directives for Application Entities: 7.0 Feedback Process)</p>						
<p>48. Emergency Preparedness Plan, Inside</p> <p>Each application entity shall have an emergency preparedness plan to address; emergencies that may occur inside premises owned or operated by the application entity where persons with developmental disabilities are receiving services and supports from the application entity, examples of which include power outages, fire, flood, storm damage, pandemic and medical emergency. (Regulation 299/10, 11(1)(2)(i))</p>						

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Records and Documentation Summary	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
<p>49. Continuity of Operation Plan</p> <p>Each application entity shall have a continuity of operation plan that ensures safety around entity owned or entity operated premises during a service disruption. (Regulation 299/10, 33(1)(4))</p>						
<p>50. Approved Fire Safety Plan, Document</p> <p>Upon the request of a Director, an application entity 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, 33(2))</p>						
<p>51. Equipment Maintenance</p> <p>An application entity shall have policies and procedures regarding the maintenance of equipment on premises owned or operated by the entity and shall maintain the equipment as recommended by the manufacturer. (Regulation 299/10, 33(3))</p>						
<p>52. Ministry Specified Information Technology</p> <p>The Application Entity shall: use ministry - mandated information technology for the collection, use and maintenance of information about people applying for ministry - funded developmental services and supports; (Policy Directives for Application Entities: 8.0 Ministry Reporting and Data Collection)</p>						



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<p>53. Ministry Specified Information Technology, Established Procedures and Directives</p> <p>The Application Entity shall: follow procedures established for the ministry - mandated information technology and in the policy directive for Qualifications and Service Standards for Needs Assessment, to maintain the accuracy, consistency and timeliness of the information collected. (Policy Directives for Application Entities: 8.0 Ministry Reporting and Data Collection)</p>						
<p>54. Summary Statistics/Reports</p> <p>The Application Entity shall: when requested by the ministry, collect and report specific additional information that is not captured in ministry - mandated information technology. (Policy Directives for Application Entities: 8.0 Ministry Reporting and Data Collection)</p>						
<p>General Comments</p>						



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Agency Staff Discussions	Val	Agency ID / Name	Observed Non-Compliance	Required for Compliance	Date Completed	Follow-up Comments
Agency Staff Discussion						



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Recommendation / Comment

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

Agency Operator / Authorized Designate

Lead Reviewer

Agency Operator / Authorized Designate Signature

Lead Reviewer Signature

Agency Exit Meeting Date

Agency Exit Meeting Date