

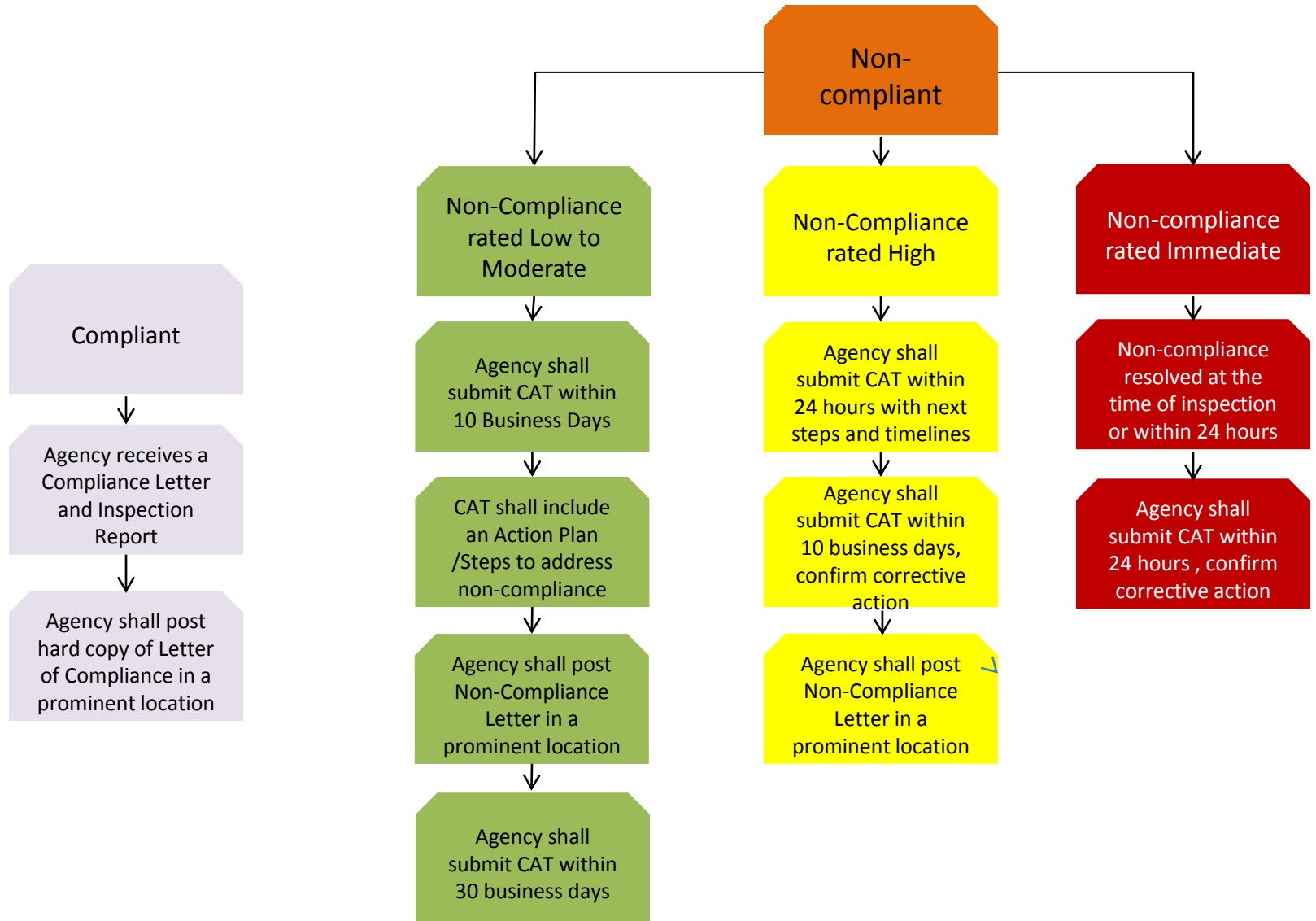


Developmental
SERVICES

Training Appendix

- Process Chart- Post Inspection Process and Reporting Requirements page 3
- Table- Follow up for 'Immediate' rated non-compliance(s) page 4
- CAT- Submissions for 'Immediate' rated non-compliance(s) page 5
- Table- Follow up for 'High' rated non-compliance(s) page 6
- CAT- Submissions for 'High' rated non-compliance(s) within 24 hours page 7
- CAT- Submissions for "High' rated non-compliance(s) within 10 business days page 8
- CAT- Submissions for 'High" rated non-compliance(s) for 30 day extension page 9
- Table- Follow up for 'Low to Moderate' rated non-compliance(s) page 10
- CAT- Submissions for 'Low' to 'Moderate' rated non-compliance(s) within 10 business days page 11
- CAT- Submissions for 'Low' to 'Moderate' rated non-compliance(s) within 40 business days page 12
- Chart- Enforcement page 13

Reporting Requirements: Post Inspection



Action Required: 'Immediate' Non-Compliant Requirement(s) Identified

'The Ministry deems that there is an immediate threat to the health, safety or well being of the individual.'

Non-compliance the Ministry may deem within the service agency's control to rectify	Non-compliance the Ministry may deem <u>not solely</u> within the service agency's control to rectify
<p>The service agency will be required to provide an immediate response and corrective action that meets Ministry expectations completed at the time of inspection. Depending on the severity of the non-compliance, the Program Advisor may immediately contact or involve the Program Supervisor and service agency's Executive Director, or his/her authorized delegate.</p>	<p>Depending on the severity of the non-compliance(s), the Program Advisor may immediately contact or involve the Program Supervisor and service agency's Executive Director, or his/her authorized delegate to manage the non-compliant issue(s). Example: Drywall damage with exposed electrical wires, electrician unable to respond for a couple of days.</p>
<p>If the non-compliance cannot be resolved at the time of inspection, the service agency shall submit documentation that meets Ministry expectations, confirming completion of the corrective action within 24 hours.</p>	<p>The service agency will be required to provide a written response that meets Ministry expectations within 24 hours, describing safeguards intended to ensure the safety of the individuals receiving supports and services and timelines for completion. The service agency may have up to five business days to fully rectify non-compliance (Ministry discretion).</p>
<p>If the non-compliance has not been resolved at the time of inspection or there was no submission received within 24 hours, the Program Advisor shall notify the Executive Director via email and copy Program Supervisor, Board Chair, or his/her authorized delegate and Service Delivery Supports Branch (SDSB) Manager.</p>	<p>If no submission is received within 24 hours, the Program Advisor shall notify the Executive Director via email and copy the Program Supervisor, Board Chair, or his/her authorized delegate and SDSB Manager. Service agency representatives must be prepared to confirm immediate health and safety issues have been dealt with on an interim basis and discuss their reasons for continued non-compliance.</p>
<p>A meeting will occur within 24 hours of notifying key members to discuss reasons for continued non-compliance.</p>	<p>If the health and safety issues have been satisfactorily addressed on an interim basis, the service agency may have up to five business days to fully rectify non-compliance (see above).</p>
<p>A Notice of Compliance Order may be issued by the Director or authorized delegate. Service agency has up to 14 calendar days from receipt of the notice to respond, or within any other time period specified in the notice. The Ministry may limit service agency funding. Failure to rectify outstanding issue may result in a Compliance Order.</p>	<p>If the service agency has not completed corrective measures within up to five business days, the Ministry will assess the situational circumstances preventing the implementation of corrective measures and may provide a five business day extension letter or determine an agreed upon timeline, which may be based on the situational circumstances.</p>
<p>Minister may take over if there is an immediate threat to the health, safety or well being of persons supported.</p>	<p>Failure to address non-compliance within the Ministry timeline may result in a Notice of Compliance Order.</p>

Compliance Action Template – Immediate

IMMEDIATE NON-COMPLIANCE: Service agency will receive a copy of the Compliance Action Template (CAT) within 24 hours of sign off. The CAT will include IMMEDIATE rated non-compliances. Even though the corrective action was completed at either the time of the site inspection or written confirmation was received within 24 hours of the site inspection, the non-compliance will still be included in the Summary Report and the service agency will be required to submit a response on the CAT and submit to the Ministry within 24 hours of receipt of Non-Compliance Letter.

A	B	C	D	E	F
Regulation (outlined in Summary Report, e.g. Regulation 299/10, 4(1)(1))	Observed Non-Compliance (outlined in Summary Report, e.g., The policies and procedures did not include a mission statement that promotes social inclusion.)	Compliance Requirement (outlined in Summary Report, e.g., The service agency shall submit final/approved policies and procedures that are: in writing; dated; reviewed and/or approved.)	Action Plan Actions/Steps to address non-compliance undertaken by the service agency, to include: who is involved; what will be done; completion Date; or Compliance requirement met within 24 hours	Compliance Requirement met within 10 business days	Compliance Requirement met within 30 business days
Site Inspection					
Regulation 299/10, 26(1)(d)	IMMEDIATE-Exits in the residence were not kept clear. Exit blocked by broken bedframe and headboard	A letter and/or documentation confirming the immediate response and completion of corrective action at the time of inspection.			

Service agency shall confirm completion of the IMMEDIATE non-compliance. CAT will be returned to the Ministry within 24 hours of receipt of Non-Compliance Letter.

Site Inspection					
Regulation 299/10, 26(1)(d)	IMMEDIATE-Exits in the residence were not kept clear. Exit blocked by broken bedframe and headboard	A letter and/or documentation confirming the immediate response and completion of corrective action at the time of inspection.	Suggested response may include "Items were removed from exits and discarded during the time of inspection."		

Action Required: 'High' Non-Compliance Requirement(s) Identified

'Health and safety or service delivery concerns which could potentially place the individual at risk.'

Non-compliance the Director deems within the service agency's control to rectify	Non-compliance the Director deems not <u>solely</u> within the service agency's control to rectify
<p>Depending on the severity of the non-compliance(s), the Program Advisor may immediately contact or involve the Program Supervisor and service agency's Executive Director, or his/her authorized delegate to manage the non-compliant issue(s).</p>	<p>Depending on the severity of the non-compliance(s), the Program Advisor may immediately contact or involve the Program Supervisor and service agency's Executive Director, or his/her authorized delegate to manage the non-compliant issue.</p>
<p>The service agency shall provide a written response that meets Ministry expectations, describing safeguards intended to ensure the safety of the individuals, corrective action and timelines to rectify non-compliance, within 24 hours of receiving the Non-Compliance Letter.</p>	<p>The service agency shall provide a written response describing safeguards intended to ensure the safety of the individuals, corrective action and timelines to rectify issue within 24 hours of receiving the Non-Compliance Letter.</p>
<p>The service agency will have up to 10 business days to confirm the completion of corrective action that meets Ministry expectations.</p>	<p>The service agency will have up to 10 business days to confirm the completion of corrective action that meets Ministry expectations .</p>
<p>If the service agency remains in non-compliance following up to 10 business days, the Regional Office and Compliance Team will evaluate the submission (if any) and action accordingly. Public posting required.</p>	<p>If the service agency remains in non-compliance following up to 10 business days, the Regional Office and Compliance Team will evaluate the submission (if any) and action accordingly. Public posting required.</p>
<p>The Director, or his/her authorized delegate will assess and may limit service agency funding and/or issue a Notice of Compliance Order. The service agency has up to 14 calendar days (or within any other timeline specified in the notice) to respond.</p> <p>The Director or authorized delegate will consider the submission (if any). The Director or authorized delegate may issue a Compliance Order, that after the time period specified in the notice has expired, may also result in the Ministry withholding new funding.</p>	<p>The Director or authorized delegate will assess the situational circumstances preventing the completion of corrective measures and may provide an up to 30 business day extension letter or an extension letter containing an agreed upon timeline for compliance based on the situational circumstances. Additional extension letter(s) may be issued if necessary.</p> <p>Failure to address non-compliance within the timeline may result in the Director or authorized delegate issuing a Notice of Compliance Order. The service agency has up to 14 calendar days from receipt of the notice (or within any other timeline specified in the notice) to respond.</p> <p>The Director or authorized delegate will consider the submission (if any). The Director or authorized delegate may issue a Compliance Order, that after the time period specified in the notice has expired, may also result in the Ministry withholding new funding.</p>

Compliance Action Template - High

HIGH NON-COMPLIANCES: The service agency shall forward a copy of the updated Compliance Action Template to the Ministry within 24 hours of receipt of a Non-Compliance Letter. Column D shall include an action plan describing next steps for non-compliances rated HIGH. Action plan shall also include whether the service agency will complete corrective action within 10 business days or if the service agency anticipates any issues with meeting timelines.

A	B	C	D	E	F
Regulation (outlined in Summary Report, e.g., Regulation 299/10, 4(1)(1))	Observed Non-Compliance (outlined in Summary Report, e.g., The policies and procedures did not include a mission statement that promotes social inclusion.)	Compliance Requirement (outlined in Summary Report, e.g., The service agency shall submit final/approved policies and procedures that are: in writing; dated; reviewed and/or approved.)	Action Plan Actions/Steps to address non-compliance undertaken by the service agency, to include: who is involved; what will be done; completion Date; or Compliance requirement met within 24 hours	Compliance Requirement met within 10 business days	Compliance Requirement met within 30 business days
Individual Records					
Regulation 299/10, 18(3)(e)	HIGH-The service agency did not provide evidence that the behaviour support plan is approved by a clinician.	Response and/or demonstrated action will be required within 24 hours of 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.	Suggested response: "Referral will be sent to the DSO for behavioural supports. Approval of BSP will not be completed within 10 business days."		
Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour	HIGH-The behaviour support plan containing intrusive interventions does not document the consent of the person(s) and/or person(s) acting on their behalf.	Response and/or demonstrated action will be required within 24 hours of receipt of the Letter of Non Compliance describing corrective measures and timelines to rectify the issue. A letter and/or documentation confirming the completion of corrective action is required within 10 business days.	Suggested response: "The service agency will meet with the person or person(s) acting on their behalf to obtain consent to the use of intrusive measures in the BSP. Corrective action will be completed within 10 business days."		

Compliance Action Template - High

HIGH NON-COMPLIANCES: The service agency shall submit a copy of the Compliance Action Template within 10 business days confirming completion of corrective action or, if requirement remains in non-compliance, column D shall include an update describing what has been done and the tentative completion date.

A	B	C	D	E	F
<p>Regulation (outlined in Summary Report) (e.g., Regulation 299/10, 4(1)(1))</p>	<p>Observed Non-Compliance (outlined in Summary Report) (e.g., The policies and procedures did not include a mission statement that promotes social inclusion.)</p>	<p>Compliance Requirement (outlined in Summary Report) (e.g., The service agency shall submit final/approved policies and procedures that are: in writing; dated; reviewed and/or approved.)</p>	<p>Action Plan Actions/Steps to address non-compliance undertaken by the service agency, to include: who is involved; what will be done; completion Date; or Compliance requirement met within 24 hours</p>	<p>Compliance Requirement met within 10 Business Days</p>	<p>Compliance Requirement met within 30 Business Days</p>
Individual Records					
<p>Regulation 299/10, 18(3)(e)</p>	<p>HIGH-The service agency did not provide evidence that the behaviour support plan is approved by a clinician.</p>	<p>Response and/or demonstrated action will be required within 24 hours of receipt of the Letter of Non Compliance describing corrective measures and timelines to rectify the issue. A letter and/or documentation confirming the completion of corrective action is required within 10 business days.</p>	<p>Suggested response: "Referral will be sent to the DSO for behavioural supports. Approval of BSP will not be completed within 10 business days. UPDATE: Referral sent to DSO on (date) . Currently on waitlist for behavioural supports. Service agency is anticipating completion by (date)."</p>		
<p>Policy Directives for Service Agencies: 2.0 Supporting People with Challenging Behaviour</p>	<p>HIGH-The behaviour support plan containing intrusive interventions does not document the consent of the person(s) and/or person(s) acting on their behalf.</p>	<p>Response and/or demonstrated action will be required within 24 hours of receipt of the Letter of Non Compliance describing corrective measures and timelines to rectify the issue. A letter and/or documentation confirming the completion of corrective action is required within 10 business days.</p>	<p>Suggested response: "The service agency will meet with the person or person(s) acting on their behalf to obtain consent to the use of intrusive measures in the BSP. Corrective action will be completed by (date)."</p>	<p>Suggested response: "Consent obtained from (name of person or authorized decision-maker) on (date) for the use of intrusive measures in the Behaviour Support Plan."</p>	

Compliance Action Template - High

HIGH NON-COMPLIANCES: If the Ministry **deems the non-compliance not solely within the service agency’s control** to rectify within 10 business days, the service agency may receive an extension up to **30 business days or within another identified timeline** to complete the corrective measure.

Within the timeline, the service agency shall submit a copy of the Compliance Action Template confirming completion of corrective action in column G.

A	B	C	D	E	F
Regulation (outlined in Summary Report, e.g., Regulation 299/10, 4(1)(1))	Observed Non-Compliance (outlined in Summary Report, e.g., The policies and procedures did not include a mission statement that promotes social inclusion.)	Compliance Requirement (outlined in Summary Report, e.g., The service agency shall submit final/approved policies and procedures that are: in writing; dated; reviewed and/or approved.)	Action Plan Actions/Steps to address non-compliance undertaken by the service agency, to include: who is involved; what will be done; completion Date; or Compliance requirement met within 24 hours	Compliance Requirement met within 10 business days	Compliance Requirement met within 30 business days
Individual Records					
Regulation 299/10, 18(3)(e)	HIGH -The service agency did not provide evidence that the behaviour support plan is approved by a clinician.	Response and/or demonstrated action will be required within 24 hours of receipt of the Letter of Non Compliance describing corrective measures and timelines to rectify the issue. A letter and/or documentation confirming the completion of corrective action is required within 10 business days.	Referral will be sent to the DSO for behavioural supports. Approval of BSP will not be completed within 10 business days. UPDATE: Referral sent to DSO. Currently on waitlist for behavioural supports.		Suggested response: “Behaviour Support Plan was approved by the clinician on November 30, 2015.”

Action Required: 'Moderate/Low' Non-Compliant Requirement(s) Identified

The Ministry deems there is minimal risk to the health and safety of the individual.

Requirements the Ministry may deem within the service agency's control to rectify	Requirements the Ministry may deem <u>not solely</u> within the service agency's control to rectify
<p>Depending on the severity of the non-compliance(s), the Program Advisor may immediately contact or involve the Program Supervisor and service agency's Executive Director, or his/her authorized delegate to manage the non-compliant issue(s).</p>	<p>Depending on the severity of the non-compliance(s), the Program Advisor may immediately contact/involve the Program Supervisor and service agency's Executive Director, or his/her authorized delegate to manage the non-compliance issue(s).</p>
<p>The service agency will be expected to meet compliance within 10 business days. Public posting required.</p>	<p>The service agency will be expected to meet compliance within 10 business days. Public posting required.</p>
<p>The service agency may be granted up to an additional 30 business days to rectify non-compliance. The Regional Office may provide support to the service agency to achieve compliance before the 30 business days expire.</p>	<p>The service agency may be granted up to an additional 30 business days to rectify non-compliance. The Regional Office may provide support to the service agency to achieve compliance before the 30 business days expire.</p>
<p>If the service agency remains in non-compliance after the 40th business day, the Regional Office and Compliance Team will review the submission (if any) and action accordingly.</p>	<p>If the service agency remains in non-compliance after the 40th business day, the Regional Office and Compliance Team will review the submission (if any) and action accordingly.</p>
<p>A Director, or his/her authorized delegate may issue a Notice of Compliance Order. Service agency has up to 14 calendar days from receipt of the notice, (or within such time period specified in the notice) to respond.</p> <p>The Director or authorized delegate to consider the submission . The Director or authorized delegate may issue a Compliance Order, after the time period specified in the notice has expired, and the ministry may also withhold new funding.</p> <p>Further enforcement may occur by the Ministry.</p>	<p>The Director or authorized delegate will assess the situational circumstances preventing the completion of corrective measures and may provide an up to 30 business day extension letter, or an extension letter containing an agreed upon timeline for compliance based on the situational circumstances. Additional extension letter(s) may be issued if necessary.</p> <p>Failure to address non-compliance within the timeline may result in the Director or authorized delegate issuing a Notice of Compliance Order. The service agency has up to 14 calendar days from receipt of the notice (or within any other timeline specified in the notice) to respond.</p> <p>The Director or authorized delegate will consider the submission. The Director or authorized delegate may issue a Compliance Order, after the time period specified in the notice has expired, and the ministry may also withhold new funding.</p>

Compliance Action Template- LOW to MODERATE

LOW to MODERATE non-compliances: The service agency shall submit a copy of the Compliance Action Template within **10 business days** confirming completion of corrective action or if the service agency remains in non-compliance, column D shall include an update describing what has been done and tentative completion date.

If LOW to MODERATE non-compliances are not met within 10 business days, the service agency may receive an additional 30 business days.

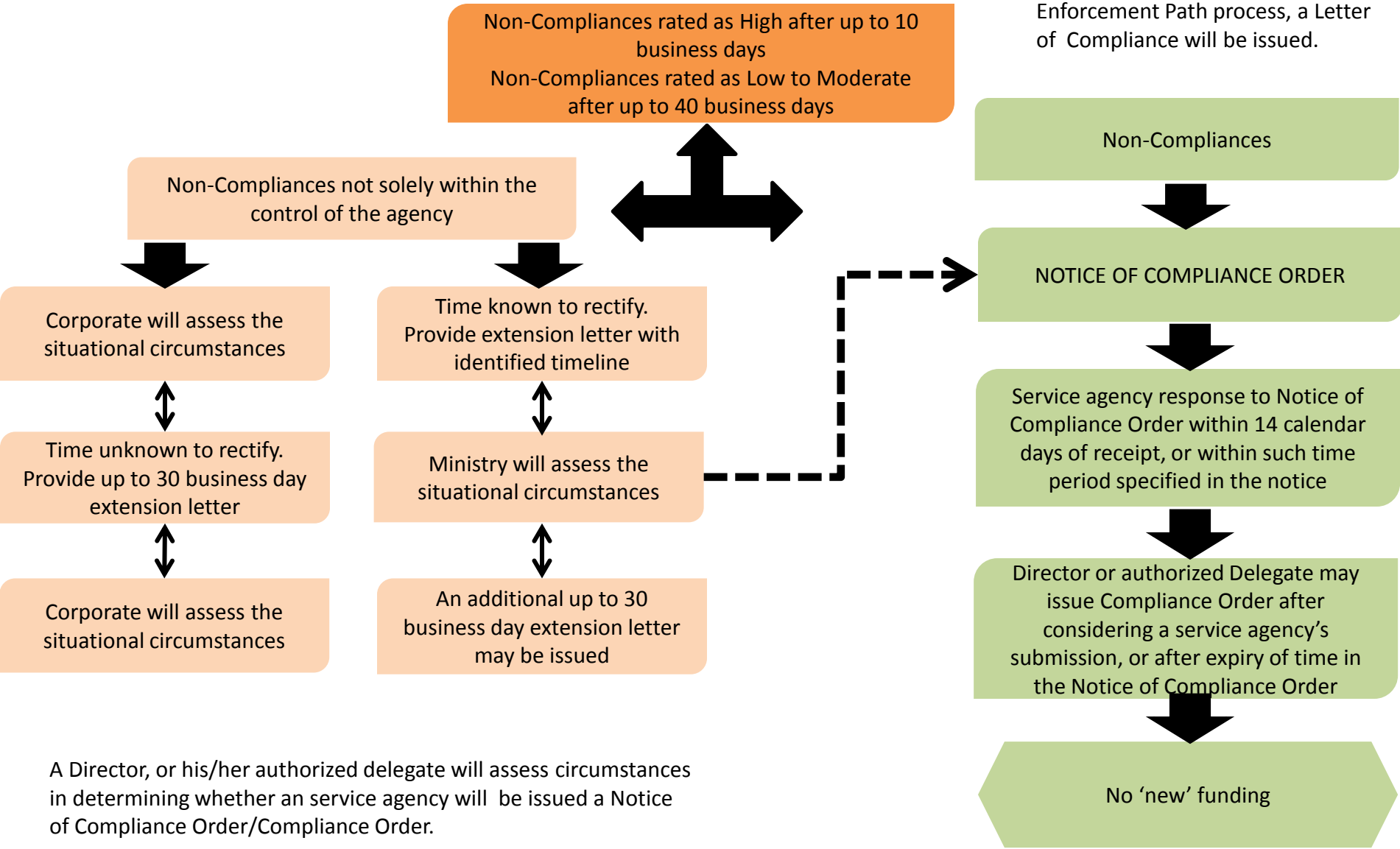
A	B	C	D	E	F
Regulation (outlined in Summary Report) (e.g. Regulation 299/10, 4(1)(1))	Observed Non-Compliance (outlined in Summary Report) (e.g. The policies and procedures did not include a mission statement that promotes social inclusion.)	Compliance Requirement (outlined in Summary Report) (e.g. The service agency shall submit final/approved policies and procedures that are: in writing; dated; reviewed and/or approved.)	Action Plan Actions/Steps to address non-compliance undertaken by the service agency, to include: who is involved; what will be done; completion Date; or Compliance requirement met within 24 hours	Compliance Requirement met within 10 Business Days	Compliance Requirement met within 30 Business Days
Policies and Procedures					
Regulation 299/10, 8(1)(1)	The service agency's policies and procedures do not provide for the documentation and reporting of any alleged, suspected or witnessed incidents of abuse of persons with developmental disabilities.	Final/approved written & dated policies and procedures.	Suggested response: "Policy remains in draft form. Will be presented at the next Board meeting on (date) for approval."		
Regulation 299/10, 13(2)	The service agency did not provide evidence that a criminal records check was obtained for new staff members.	A letter and/or documentation confirming completion of corrective action.	Suggested response: "Staff was able to locate a copy of their most recent police check with vulnerable screening. CRC was completed 1 month post hiring."	Copy of CRC has been placed in the staff file.	

Compliance Action Template – Low to Moderate

LOW to MODERATE non-compliances: The service agency shall submit a copy of the Compliance Action Template within the additional time, up to **30 business days**, confirming completion of corrective action.

A	B	C	D	E	F
Regulation (outlined in Summary Report) (e.g. Regulation 299/10, 4(1)(1))	Observed Non-Compliance (outlined in Summary Report) (e.g. The policies and procedures did not include a mission statement that promotes social inclusion.)	Compliance Requirement (outlined in Summary Report) (e.g. The service agency shall submit final/approved policies and procedures that are: in writing; dated; reviewed and/or approved.)	Action Plan Actions/Steps to address non-compliance undertaken by the service agency, to include: who is involved; what will be done; completion Date; or Compliance requirement met within 24 hours	Compliance Requirement met within up to 10 Business Days	Compliance Requirement met within up to 30 Business Days
Policies and Procedures					
Regulation 299/10, 8(1)(1)	The service agency's policies and procedures do not provide for the documentation and reporting of any alleged, suspected or witnessed incidents of abuse of persons with developmental disabilities.	Final/approved written & dated policies and procedures.	Suggested response: "Policy remains in draft form. Will be presented at the next Board meeting on (date) for approval."		Abuse policy revised to include the documentation and reporting of any alleged, suspected or witnessed incidents of abuse of persons with developmental disabilities. Copy of approved policy attached.
Regulation 299/10, 13(2)	The service agency did not provide evidence of a criminal records check was obtained for new staff members.	A letter and/or documentation confirming completion of corrective action.	Suggested response: "Staff was able to locate a copy of their most recent police check with vulnerable screening. CRC was completed 1 month post hiring."	Copy of CRC has been placed in the staff file.	

Enforcement Chart



If the non-compliance has been resolved at any time during the Enforcement Path process, a Letter of Compliance will be issued.