

INDIVIDUAL PROVIDERS- HOMEMAKER/PERSONAL CARE IO AND LEVEL ONE WAIVERS

Provider Name: _____ County: _____ Date of Review: _____

Reviewer Name: _____ ODMRDD Contract #: _____ Certification Date: _____

IO Waiver

Level One Waiver

Both IO and Level One Waiver

Item	Rule Citation Continuing Certification Standards	Standard Met S/P/N/NA	Comments
BACKGROUND CHECK REQUIREMENTS			
01	<p>If the provider was ever formally charged with, convicted of, or plead guilty to any of the offenses listed in division (E) of section 5126.28 of the Revised Code, did the provider make a written report to the Department within 14 calendar days?</p> <p>I.O. 5123:2-13-04(D) Standards and requirements for continuing certification of individual providers</p> <p>Level 1 5123:2-8-10(D) Standards and requirements for continuing certification of individual providers</p> <p>(1) Criminal background checks (a) An individual provider shall report to the department if he or she is ever formally charged with, convicted of, or pleads guilty to any of the offenses listed in division (E) of section 5126.28 of the Revised Code. The individual provider shall make such report, in writing, not later than fourteen calendar days after the date of such charge, conviction or guilty plea.</p>		
PROVIDER ELIGIBILITY REQUIREMENTS			
02	<p>Are you able to verify that the provider is not providing services to his/her minor child or spouse?</p> <p>I.O. 5123:2-13-04(D) Standards and requirements for continuing certification of individual providers</p> <p>Level 1 5123:2-8-10(D) Standards and requirements for continuing certification of individual providers</p> <p>(14) Provider eligibility The individual provider shall not provide homemaker/personal care services to his/her minor child (under age eighteen) or to his/her spouse.</p>		

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TRAINING & CONTINUING EDUCATION REQUIREMENTS			
03	<p>Is there evidence that the provider obtained eight hours of continuing education/training every year based on the certification date?</p> <p>Note: This requirement is met if the provider is scheduled for training and the training is completed within thirty days of the deadline.</p> <p>I.O. 5123:2-13-04 (J) Training</p> <p>Level 1 5123:2-8-10 (J) Training</p> <p>(2) Each individual provider shall be required to obtain at least eight hours of continuing education/training every year after the individual provider is certified.</p>		
04	<p>Does the provider have current CPR certification?</p> <p>I.O. 5123:2-13-04(D) Standards and requirements for continuing certification of individual providers</p> <p>Level 1 5123:2-8-10(D) Standards and requirements for continuing certification of individual providers</p> <p>(3) CPR</p> <p>The individual provider shall maintain a valid certification in CPR.</p>		
05	<p>Did the provider obtain MUI/UI training prior to working with individuals?</p> <p>Did the provider obtain annual MUI/UI training each year?</p> <p>5123:2-17-02(P)</p> <p>(P) Training- Incidents Affecting Health and Safety</p> <p>(2) All individual providers shall follow the requirements for initial training on the provisions of this rule according to their certification requirements and shall receive annual training from the date of certification on identification and reporting of MUIs and UIs and health and safety alerts released since the</p>		

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	previous calendar year's training.		
06	<p>Is there documented evidence that the provider has obtained rights training annually?</p> <p>I.O. 5123:2-13-04(D) Standards and requirements for continuing certification of individual providers</p> <p>Level 1 5123:2-8-10 (D) Standards and requirements for continuing certification of individual providers</p> <p>(7) Training in individual rights (a) At least annually, the individual provider shall complete training in the provisions governing rights of individuals set forth in sections 5123.62 to 5123.64 of the Revised Code</p> <p>(b) The individual provider shall maintain documentation of such training in accordance with paragraph (J)(8) of this rule and present such documentation upon request by ODJFS, the department, or the county board.</p>		
PROGRAM MANAGEMENT REQUIREMENTS			
07	<p>Is the provider able to demonstrate that he/she has coordinated with designated persons and family, where appropriate, to ensure the provision of services in accordance with the ISP?</p> <p>I.O. 5123:2-13-04(D) Standards and requirements for continuing certification of individual providers</p> <p>Level 1 5123:2-8-10 (D) Standards and requirements for continuing certification of individual providers</p> <p>(11) Coordination of services The individual provider shall coordinate with designated persons and family members, where appropriate, to ensure the provision of services in accordance with the ISP.</p>		

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ISP COMPLIANCE REQUIREMENTS			
08	<p>Is the provider delivering the services identified in the ISP?</p> <p>I.O. 5123:2-13-04(D) Standards and requirements for continuing certification of individual providers</p> <p>Level 1 5123:2-8-10(D) Standards and requirements for continuing certification of individual providers</p> <p>(13) ISP compliance (a) The individual provider shall implement homemaker/personal care services in accordance with the ISP.</p>		
DOCUMENTATION REQUIREMENTS			
09	<p>Is there evidence that service delivery documentation for waiver services is in compliance with the waiver documentation requirements below?</p> <p>5123:2-9-05 HCBS waivers- waiver service documentation requirements for services provided to individuals</p> <p>5123:2-9-05 (B) Definition of service documentation: “Service documentation” means the maintenance of all records and information on one or more documents, including documents that can be printed from electronic software programs, in such a manner as to fully disclose the nature and extent of the services delivered and must include each of the following items to validate Medicaid reimbursement:</p> <p>1) Date of service 2) Place of service 3) Name of the recipient 4) Medicaid identification number of the recipient 5) Name of the provider 6) Provider identifier/contract number 7) Signature of the person delivering service or initials of the person delivering the service if a signature and corresponding initials are on file with the provider 8) Type of service (for homemaker/personal care, type must include if routine, on-site/on-call, or level one emergency) 9) Number of units of the delivered service or continuous amount of uninterrupted time during which the service was provided 10) Group size in which the services were delivered as defined in paragraph</p>		

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	<p>(D)(12) of rule 5123:2-9-60 of the Administrative Code</p> <p>11) Arrival and departure times of the provider of service's site visit to the recipient's location or of the recipient's visit to the provider of service's location</p> <p>12) Description and details of the services delivered that directly relate to the services specified on the recipient's approved individual service plan as those services to be provided</p> <p>13) A notation made as least monthly indicating the response to services delivered</p> <p>14) Forms that identify, for the individual, the ISP service(s) to be delivered. The forms shall include all of the above and may be checked off and initialed by staff for each continuous period of service delivery time for each date of service. Any variation between the ISP requirements and actual staff to individual ratios, times of service delivery, group size, or type of service delivered shall be documented. Documentation shall reflect the actual staff to individual ratios and the time period of the variation.</p>		
10	<p>Was service delivery documentation available for review upon request?</p> <p>5123:2-9-05 HCBS waivers- waiver service documentation requirements for services provided to individuals</p> <p>5123:2-9-05 (F) Each provider of services shall maintain all service documentation in an accessible location. The service documentation shall be available, upon request, for review. Agencies with the authority to view such records upon request are the centers for Medicare and Medicaid services, the Ohio department of job and family services, the Ohio department of mental retardation and developmental disabilities, the county board of mental retardation and developmental disabilities and regional councils of government that submits to the department payment authorization for the service and those designated or assigned authority by the Ohio Department of Job and Family Services or the Ohio Department of Mental Retardation and Developmental Disabilities.</p>		
SUBSTITUTE COVERAGE REQUIREMENTS			
11	<p>I.O. 5123:2-13-04(D) Standards and requirements for continuing certification of individual providers</p>		

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	<p>If substitute coverage is used, are the following requirements followed:</p> <p>a. only certified providers are used</p> <p>b. the individual and/or guardian are notified when substitute coverage is necessary</p> <p>c. the person identified in the ISP is notified when substitute coverage will not be available so that other arrangements can be made</p> <p>NOTE: Individual providers cannot have employees or anyone providing services on their behalf. This is not the same as substitute coverage.</p> <p>Level 1 5123:2-8-10 (D) Standards and requirements for continuing certification of individual providers</p> <p>(9) Substitute coverage The individual provider shall:</p> <p style="padding-left: 20px;">(a) Arrange for substitute coverage, if necessary, only from a list of homemaker/personal care certified providers supplied by the department and as identified in the individual's ISP;</p> <p style="padding-left: 20px;">(b) Notify the individual or legally responsible persons in the event that substitute coverage is necessary;</p> <p style="padding-left: 20px;">(c) Notify the person identified in the ISP when substitute coverage is not available to allow such person to make other arrangements.</p>		
INCIDENTS ADVERSELY AFFECTING HEALTH AND SAFETY REQUIREMENTS			
12	<p>Has the provider taken all reasonable steps necessary to prevent the occurrence and reoccurrence of incidents affecting health and safety?</p> <p>5123:2-13-04(D)(6) Prevention of incidents adversely affecting health and safety</p> <p>5123:2-8-10(D)(6) Prevention of incidents adversely affecting health and safety</p> <p>The individual provider shall take all reasonable steps necessary to prevent the occurrence or reoccurrence of incidents adversely affecting health and safety.</p>		

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13	<p>Were all MUIs involving abuse, neglect, exploitation, misappropriation, or death reported as required?</p> <p>5123:2-17-02 (D) Reporting requirements</p> <p>(2) Reports of MUIs involving abuse, neglect, exploitation, misappropriation, or death shall be filed in all cases regardless of where the incident occurred, and all requirements of this rule shall be followed. Reports regarding the remaining categories of MUIs shall be filed and the requirements of this rule followed only when the incident occurs in a program operated by a county board or when the individual is being served by a licensed or certified provider.</p>		
14	<p>Is there evidence that the provider took all reasonable measure to ensure the health and safety of at-risk individuals immediately upon identification or notification of an MUI?</p> <p>5123:2-17-02 (D) Reporting requirements</p> <p>(3) Immediately upon identification or notification of an MUI, the provider or county board, when acting as the provider for the individual, shall take all reasonable measures to ensure the health and safety of any at-risk individuals. The provider and county board shall discuss any disagreements regarding reasonable measures in order to resolve them. If the provider and county board are unable to agree on reasonable measures to ensure the health and safety of at-risk individuals, the department shall make the determination. Such measures shall include:</p> <p>(a) Immediate and ongoing medical attention, as appropriate;</p> <p>(b) Removal of an employee from direct contact with any at-risk individual when the employee is alleged to have been involved in abuse or neglect until such time as the provider has reasonably determined that such removal is no longer necessary;</p> <p>(c) Other necessary measures to protect the health and safety of at-risk individuals.</p>		
15	<p>Did the provider notify the county board within 4 hours of discovery of incidents of alleged abuse, exploitation, misappropriation, neglect, suspicious/accidental death, or when the provider has received media inquiries regarding an MUI?</p>		

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	<p>5123:2-17-02 (D) Reporting requirements</p> <p>(5) The provider or county board staff shall immediately, but no later than four hours after discovery of the incident, notify the county board through means identified by the county board of the following incidents or allegations:</p> <p>(a) Abuse. (b) Exploitation. (c) Misappropriation. (d) Neglect. (e) Suspicious or accidental death. (f) When the provider has received inquiries from the media regarding an MUI.</p>		
16	<p>Is there evidence the provider notified the county board designee of MUIs by 3pm the next working day following initial knowledge of a potential or determined MUI?</p> <p>5123:2-17-02 (D) Reporting requirements</p> <p>(6) For all MUIs, including those listed in paragraph (D)(5) of this rule, all agency providers and county boards as a provider shall submit a written incident report to the county board no later than three p.m. the next working day following initial knowledge of a potential or determined MUI. The report shall be submitted in a format prescribed by the department.</p> <p>Individual providers shall make the notification to the county board contact person designated to receive or manage these reports, no later than three p.m. the next working day following initial knowledge of a potential or determined MUI.</p>		
17	<p>Is there evidence that the provider reported any allegation of abuse, misappropriation or neglect, which may constitute a criminal act, to local law enforcement?</p> <p>5123:2-17-02 (E) Alleged criminal acts</p> <p>The provider or county board shall immediately report to the law enforcement entity having jurisdiction of the location where the incident occurred, any</p>		

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	allegation of abuse, including misappropriation, or neglect, which may constitute a criminal act. The county board shall ensure that the notification has been made		
18	<p>Is there evidence that the provider reported any allegation of abuse or neglect of an individual under the age of twenty-one to the local children's services agency?</p> <p>Note: The county board may do this on behalf of the provider. Please check this before citing the provider.</p> <p>5123:2-17-02 (F) Abused or neglected children</p> <p>All allegations of abuse or neglect as defined in section 2151.03 and section 2151.031 of the Revised Code of an individual under the age of twenty-one years shall be immediately reported to the local public children's services agency. The notification may be made by the provider or the county board. The county board shall ensure that the notification has been made.</p>		
19	<p>Is there evidence that the provider notified the entities identified in (a) through (d) below of the occurrence of an incident on the same day the provider discovered the incident?</p> <p>5123:2-17-02 (G) Notification requirements</p> <p>(1) The provider, including a county board as a provider, shall make the following notifications, as applicable, when the incident or discovery of the incident occurs when such provider has responsibility for the individual. The notification shall be made on the same day the incident or discovery of the incident occurs and include immediate actions taken.</p> <p>(a) Guardian or advocate selected by the individual or other person whom the individual has identified.</p> <p>(b) Service and support administrator serving the individual.</p> <p>(c) Licensed or certified residential provider.</p> <p>(d) Staff or family living at the individual's home who have responsibility for the individual's care.</p>		

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20	<p>Did the provider document all efforts to notify the guardian, SSA, residential provider, and staff/family living with the individual of the occurrence of an incident?</p> <p>5123:2-17-02 (G) Notification requirements</p> <p>(2) All notifications or efforts to notify shall be documented. The county board shall ensure that all required notifications have been made.</p>		
21	<p>Did the provider avoid notifying the PPI, the PPI's spouse, or the PPI's significant other?</p> <p>5123:2-17-02 (G) Notification requirements</p> <p>(3) Notification shall not be made if the person to be notified is the PPI, the PPI's spouse, or the PPI's significant other.</p>		
22	<p>Did the provider cooperate with MUI investigations and respond to requests for information within the timeframe requested?</p> <p>5123:2-17-02 (H) General investigation requirements</p> <p>(11) All MR/DD employees shall cooperate with administrative investigations conducted by entities authorized to conduct investigations. Providers and county boards shall respond to requests for information within the timeframe requested. The timeframes identified shall be reasonable.</p>		
23	<p>Did the provider have evidence that he/she reported UIs to the county board designee on the day the UI was discovered?</p> <p>5123:2-17-02 (M) UI requirements</p> <p>(4) Individual providers shall make reports to the person designated by the county board on the day the UI is discovered. The county board shall designate a person responsible for logging these incidents.</p>		
24	<p>Has the provider made UI documents available to the county board and department upon request?</p> <p>5123:2-17-02 (M) UI requirements</p>		

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	(6) The UI reports, documentation of identified trends and patterns, and corrective action shall be made available to the county board and department upon request.		
25	<p>If requested, is there evidence the provider supplied copies of non-confidential personnel records? 5123:2-17-02 (O) Access to records</p> <p>(5) Upon the department's request, the provider shall provide to the department copies of personnel records that are not confidential.</p>		

DELEGATED NURSING AND MEDICATION ADMINISTRATION REQUIREMENTS

1) If providers or agency employees administer the services listed below, the reviewer will request evidence that they have the required ODMRDD training certificates in the following areas:

- Administration of prescribed medications
- Administration of food or prescribed medication via stable labeled gastrostomy tube and stable labeled jejunostomy tube
- Administration of routine doses of insulin through subcutaneous injections and insulin pumps

2) Delegated nursing is required for the two services listed below. If delegated nursing is in place, the reviewer will request evidence of the delegating nurse's credentials and training for delegation.

- Administration of food or prescribed medication via stable labeled gastrostomy tube and stable labeled jejunostomy tube
- Administration of routine doses of insulin through subcutaneous injections and insulin pumps

5123:2-6-03(C) The authority of MR/DD personnel to administer prescribed medications, perform health-related activities and perform tube feedings pursuant to section 5123.42 of the Revised Code and this rule is subject to the following: (1) To administer prescribed medications, perform health-related activities, administer food or prescribed medication via stable labeled gastrostomy tube and stable labeled jejunostomy tube or administer subcutaneous insulin injection for individuals in the categories specified under paragraphs (A)(1) to (A)(8) and (B)(1) to (B)(8) of this rule, MR/DD personnel shall obtain the certificate or certificates required by the department and issued under 5123.45 of the Revised Code and rule 5123:2-6-06 of the Administrative Code. MR/DD personnel shall administer prescribed medication, perform health-related activities, and perform tube feedings only as authorized by the certificate or certificates held.

26	<p>If the provider administers medications or performs health care tasks, does the provider have a current certification?</p> <p>I.O. 5123:2-13-04(D) Standards and requirements for continuing certification of individual providers</p> <p>Level 1 5123:2-8-10(D) Standards and requirements for continuing certification of individual providers</p>		
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	(10) Medication administration and performance of health care tasks The individual provider shall not administer any medication to or perform health care tasks for the individual unless the individual provider meets the applicable requirements of Chapters 4723., 5123., and 5126. of the Revised Code and rules adopted under those chapters		