

Provider Name		Contract No./Component Code	Type of Review	Date(s) of Certification Visit:
Facilitator	Team Member		Team Member	Team Member

Focus I: Participant-Centered Service Planning and Delivery
Desired Outcome: Services and supports are planned and effectively implemented in accordance with each participant's unique needs, expressed preferences and decisions concerning his/her life in the community.

I.A Participant-Centered Service Planning

I.A.1 Assessment

Desired Outcome: Comprehensive information concerning each participant's preferences and personal goals, needs, abilities, health status and other available supports is gathered and used in developing a personalized service plan.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Assessments reflect individual's abilities, preferences and personal goals.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Assessments reflect individual's needs.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Current, adequate health information is available to define health status.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Available waiver and non-waiver supports to assist participant to meet desired outcomes are identified.	<input type="checkbox"/>	<input type="checkbox"/>

I.A.2 Participant Decision Making

Desired Outcome: Information and support is available to help participants make informed selections among service options.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Descriptions of service options are provided to participants.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Support is provided to assist participants to make informed decisions regarding service options.	<input type="checkbox"/>	<input type="checkbox"/>

I.A.3 Free Choice of Providers

Desired Outcome: Information and support is available to assist participants to freely choose among qualified providers.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Participants are informed of their option to transfer at any time to a new waiver provider.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Participants are encouraged to identify preferred service providers.	<input type="checkbox"/>	<input type="checkbox"/>

I.A.4 Service Plan

Desired Outcome: Each participant’s plan comprehensively addresses his or her identified need for Home and Community-based Services (HCS), health care and other services in accordance with his or her expressed personal preferences and goals.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	The implementation plan incorporates participant’s personal preferences when planning the acquisition of outcomes.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	The implementation plan identifies outcomes necessary to ensure the health, safety and well-being of the waiver participant.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	The individual plan of care (IPC) is current and accurately reflects all services identified in the Person Directed Plan.	<input type="checkbox"/>	<input type="checkbox"/>

I.B Service Delivery

I.B.1.a. Ongoing Services and Support Supervision

Desired Outcome: Participants have continuous access to assistance as needed to obtain and coordinate services and promptly address issues encountered in community living.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Participants are supported in participating in community living.	<input type="checkbox"/>	<input type="checkbox"/>

I.B.1.b. Ongoing Services and Support Supervision

Desired Outcome: Participants have continuous access to assistance as needed to obtain and coordinate services and promptly address issues encountered in community living.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Staff are available at all times to address emergency situations.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Issues encountered are addressed in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>

I.B.2 Service Provision

Desired Outcome: Services are provided in accordance with the participant’s plan.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Services to be provided are identified and defined in the participant’s personalized plan.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Service provision adheres to strategies and interventions defined in the participant’s plan.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Outcomes are supported by the effective use of waiver and non-waiver services.	<input type="checkbox"/>	<input type="checkbox"/>

I.B.3 Ongoing Monitoring

Desired Outcome: Regular, systematic and objective methods – including obtaining the participant’s feedback – are used to monitor the individual’s well-being, health status and the effectiveness of HCS in enabling the individual to achieve his or her personal goals.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	A system of routine monitoring has been implemented to identify any changes needed in the individualized plan.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Progress on the outcomes identified in the individualized plan is evaluated routinely.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Participant feedback is reflected when assessing progress on identified outcomes.	<input type="checkbox"/>	<input type="checkbox"/>

I.B.4 Responsiveness to Changing Needs

Desired Outcome: Significant changes in the participant’s needs or circumstances promptly trigger consideration of modification in his or her plan.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Personalized plans are revised as needs change.	<input type="checkbox"/>	<input type="checkbox"/>

Focus II: Provider Capacity and Capabilities

Desired Outcome: There are sufficient HCS providers and they possess and demonstrate the capability to effectively serve participants.

II.A Provider Networks and Availability

Desired Outcome: There are sufficient qualified agency and individual providers to meet the needs of participants in their communities.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Every waiver service is available to participants when and as needed.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	All HCS providers provide waiver services in accordance with the HCS Service Definitions and HCS Billing Guidelines.	<input type="checkbox"/>	<input type="checkbox"/>

II.B Provider Qualifications

Desired Outcome: All HCS agency and individual providers possess the requisite skills, competencies and qualifications to support participants effectively.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Individual employees and contracted employees possess the minimum qualifications necessary to provide the waiver service they are employed to provide.	<input type="checkbox"/>	<input type="checkbox"/>

II.C.1 Provider Performance

Desired Outcome: All HCS providers demonstrate the ability to provide services and supports in an effective and efficient manner consistent with the individual's plan.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Outcomes are met within projected timelines.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Progress towards outcome is reviewed by the provider and shared with the participant.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	When progress is not made on achieving outcome, the provider modifies the individual's personalized plan.	<input type="checkbox"/>	<input type="checkbox"/>

II.C.2 Provider Performance

Desired Outcome: All HCS providers demonstrate the ability to maintain effective communication and documentation related to the delivery of HCS services.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	The program provider maintains documentation to support the delivery of HCS services.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Required information is provided to the local authority and DADS by the program provider.	<input type="checkbox"/>	<input type="checkbox"/>

Focus III: Participant Safeguards

Desired Outcome: Participants are safe and secure in their homes and communities, taking into account their informed and expressed choices.

III.A Risk and Safety Planning

Desired Outcome: Participant health risk and safety considerations are assessed and potential interventions identified that promote health, independence and safety with the informed involvement of the participant.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Current information regarding the health of the participant is maintained by the HCS provider.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Health risks to participants are identified and interventions to minimize risk developed.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Staff who provide direct services to participants are not on the Nurse Aide or Employee Misconduct Registries, in accordance with Texas Health and Safety Code, §250.003, nor have they been convicted of an offense that precludes them from employment based on Texas Health and Safety Code, §250.006.	<input type="checkbox"/>	<input type="checkbox"/>

III.B Critical Incident Management

Desired Outcome: There are systematic safeguards in place to protect participants from critical incidents and other life-endangering situations.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Critical incidents are managed quickly and appropriately.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Critical incidents are reviewed and analyzed to develop strategies for prevention.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Critical incidents are reported to DADS as required.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Participants and legally authorized representatives (LARs) are informed how to report suspected abuse, neglect and exploitation.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Staff identify, report and prevent possible abuse, neglect or exploitation of participants.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Personal funds and possessions of participants managed by the waiver provider are safeguarded.	<input type="checkbox"/>	<input type="checkbox"/>

III.C Housing and Environment

Desired Outcome: The safety and security of the participant's living arrangement are assessed, risk factors identified and modifications offered to promote independence and safety in the home.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Residential settings are evaluated to determine if the setting meets the needs of each individual who lives in, or may move to, that setting.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Living and day program environments are modified to meet the needs of each participant who lives there.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Equipment is procured to promote the independence and safety of each participant.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Residential settings meet all applicable health and safety laws including compliance with the Life Safety Code and fire safety inspections as applicable.	<input type="checkbox"/>	<input type="checkbox"/>

III.D Behavior Interventions

Desired Outcome: Behavior Interventions – including chemical and physical restraints – are used only as a last resort and subject to rigorous oversight.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Intrusive or invasive interventions are used only when less intrusive or invasive interventions have been attempted, fully implemented and were proven unsuccessful.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Programs which use intrusive or invasive interventions must be developed by qualified staff.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Behavior management plans include a hierarchy of less intrusive or invasive interventions and are attempted prior to the use of intrusive or invasive interventions.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	The participant or LAR must consent to the use of intrusive or invasive interventions.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	The participant's or LAR's consent of intrusive or invasive interventions can be revoked at any time.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Programs which use intrusive or invasive interventions must contain measurable desired outcomes.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Programs which use intrusive or invasive interventions must be reviewed regularly to determine needed revisions.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Restraint techniques are approved and used only when necessary to prevent injury, death or extensive property damage.	<input type="checkbox"/>	<input type="checkbox"/>

III.E Medication Management

Desired Outcome: Medications are managed effectively and appropriately.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Each participant is assessed on his/her ability to self-administer medications.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Delegation has been completed in accordance with the Board of Nurses' rules.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	The use of medication is monitored by a licensed nurse when required.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Staff monitor for side effects of medications.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Medications are received as prescribed.	<input type="checkbox"/>	<input type="checkbox"/>

III.F Natural Disasters and Other Public Emergencies

Desired Outcome: There are safeguards in place to protect and support participants in the event of natural disasters or other public emergencies.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Emergency plans are available in all provider-operated residential settings.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Emergency plans address the individualized needs of the participants who reside in the residential setting.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Emergency plans address fire, terrorism and potential natural disasters known to the geographic area.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Staff who provide residential services demonstrate the ability to implement the emergency plans.	<input type="checkbox"/>	<input type="checkbox"/>

Focus IV: Participant Rights and Responsibilities

Desired Outcome: Participants receive support to exercise their rights and in accepting personal responsibilities.

IV.A Civil and Human Rights

Desired Outcome: Participants are informed and supported to freely exercise their fundamental constitutional and federal or state statutory rights.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Rights are not restricted without due process.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Participants are supported in exercising rights.	<input type="checkbox"/>	<input type="checkbox"/>

IV.B Participant Decision Making Authority

Desired Outcome: Participants receive training and support to exercise and maintain their own decision making authority.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Support is given to participants to exercise and maintain decision making.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Participants are assisted in maintaining natural supports.	<input type="checkbox"/>	<input type="checkbox"/>

IV.C Grievances

Desired Outcome: Participants are informed how to register grievances and complaints, and supported in seeking resolution. Grievances and complaints are resolved in a timely fashion.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Participants are informed orally and in writing how to file a complaint with their HCS provider.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Participants are notified of the results from the investigation of complaints in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Participants are provided the DADS toll-free number to register complaints.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Complainants are protected from retaliation.	<input type="checkbox"/>	<input type="checkbox"/>

Focus V: Participant Outcomes and Satisfaction

Desired Outcome: Participants are satisfied with their services and achieve desired outcomes.

V.A Participant Satisfaction

Desired Outcome: Participants and family members, as appropriate, express satisfaction with their services and supports.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Providers conduct satisfaction surveys at least annually.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Providers use satisfaction survey results to develop a plan of improvement.	<input type="checkbox"/>	<input type="checkbox"/>

V.B Participant Outcomes

Desired Outcome: Services and supports lead to positive outcomes for each participant.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Participants achieve their desired outcomes as a result of services received.	<input type="checkbox"/>	<input type="checkbox"/>

Focus VI: System Performance

Desired Outcome: The system supports participants efficiently and effectively, and constantly strives to improve quality.

VI.A System Performance Appraisal

Desired Outcome: The service system promotes the effective and efficient provision of services and supports by engaging in systematic data collection and analysis of program performance and impact.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Waiver providers effectively and efficiently collect and analyze data related to the program provider's performance to ensure services and supports for participants are adequate.	<input type="checkbox"/>	<input type="checkbox"/>

VI.B Quality Improvement

Desired Outcome: There is a systemic approach to the continuous improvement of quality in the provision of HCS.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Waiver providers have an internal system for continuous quality improvement of the provider's program.	<input type="checkbox"/>	<input type="checkbox"/>

VI.C Cultural Competency

Desired Outcome: The HCS system effectively supports participants of diverse cultural and ethnic backgrounds.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	Waiver providers adhere to a zero-reject policy.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Waiver providers respect cultural and ethnic backgrounds of the participants.	<input type="checkbox"/>	<input type="checkbox"/>

VI.D Participant and Stakeholder Involvement Desired Outcome

Desired Outcome: Participants and other stakeholders have an active role in program design, performance appraisal and quality improvement activities.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	The program provider's internal quality assurance process allows participants, family, community members and other stakeholders to provide input into the provider's program operations.	<input type="checkbox"/>	<input type="checkbox"/>

VI.E Financial Integrity

Desired Outcome: Financial accountability is assured and payments are made promptly in accordance with program requirements.

Strengths	Performance Measures	Met	Unmet
<input type="checkbox"/>	For participant funds managed by the program provider, accurate records are maintained.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Waiver Services for which the program provider is directly reimbursed are provided according to the HCS rules and Billing Guidelines.	<input type="checkbox"/>	<input type="checkbox"/>

Review Results:

New Items:

- New Citation(s)**
- Corrected During Visit (CDV)**
- Remaining in non-compliance**

Follow-up Items:

- Corrected Prior to Visit (CPV)**
- Corrected During Visit (CDV)**
- Remaining in non-compliance**

Total Items Remaining in Non-compliance:

Team Recommendation:

- Re-certification based on:**
 - no items remain in non-compliance**
 - submission and subsequent approval of corrective action plan (CAP)**
 - evidence of compliance for uncorrected follow-up item(s)**
- Sanctions:**