

Person Centered Planning Regulation Checklist

Implementation 10/01/2015-09/30/2016



Office for People With Developmental Disabilities

For use during routine visits and reviews conducted as required by Mental Hygiene Law to certified site based programs.

Agency Delivering Service(s)

Agency Name:		Agency ID:	
City:		State:	Zip:

Person Receiving Service(s)

Name			
Advocacy	Self-Advocate	Family Advocate	Other Advocacy specify: _____
Home Environment	own Home/Apt	w/Family Member	Agency Sponsored non-certified site
Service Type: Implement when reviewing provided sample of people receiving services in the community (not site based)	CHECK ALL SERVICES REVIEWED.		
	SERVICE COORDINATION		
	MSC	PCSS – Plan of Care Support Services	
	HCBS WAIVER SERVICES - Community Based		
	Community Habilitation	Day Habilitation	
	Supported Employment	Respite	
	Intensive Behavior Services	Other Please specify: _____	
Survey Start Date:		Survey End Date:	Survey Team #:

Survey Team Members /Surveyor ID:

Interviewees

Name:	Contact Type: (Select one)	
	Executive/Mgmt.	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Medicaid Service Coordinator (MSC)
	Auth. Representative	Other:
	Executive/Mgmt.	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Medicaid Service Coordinator (MSC)
	Auth. Representative	Other:
	Executive/Mgmt.	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Medicaid Service Coordinator (MSC)
	Auth. Representative	Other:
	Executive/Mgmt.	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Medicaid Service Coordinator (MSC)
	Auth. Representative	Other:
	Executive/Mgmt.	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Medicaid Service Coordinator (MSC)
	Auth. Representative	Other:

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SECTION 1: PERSON-CENTERED PLANNING PROCESS			
REFERENCE	STANDARD:	DECISION:	RATIONALE FOR NOT MET
NYCRR 636-1.5	1. There is evidence that the required person(s) were provided written notice regarding the person’s right to a person-centered planning process.	Met Not Met NA	
NYCRR 636-1.2(a)(1) AND CFR 441.301(c)(1)	1-2. The person-centered planning process includes people that have been chosen by the person.	Met Not Met	
NYCRR 636-1.2(a)(2) AND CFR 441.301(c)(1)	1-3. The people chosen by the person to assist in the person-centered planning process are given opportunities to assist the person in decision-making.	Met Not Met	
NYCRR 636-1.2(b)(1) AND CFR 441.301(c)(1)(i)	1-4. The person is provided with information so that they, to the maximum extent possible, direct the person –centered planning process and make informed choices.	Met Not Met	
[NYCRR 636-1.2(a)(3) AND CFR 441.301(c)(1)]	1-5. The person-centered planning process reflects the services and supports that are based on the person’s interests, preferences, strengths, capacities, and needs.	Met Not Met	
NYCRR 636-1.2(b)(3) AND CFR 441.301(c)(1)(iv)	1-6. The person-centered planning process reflects the person’s cultural considerations.	Met Not Met	
NYCRR 636-1.2(b)(2) AND CFR 441.301(c)(1)(iii)	1-7. The person-centered planning meetings are scheduled at the times and locations that are of convenience to the person.	Met Not Met	
NYCRR 636-1.2(b)(5) AND CFR 441.301(c)(1)(v)	1-8 The person-centered planning process includes strategies to address conflicts or disagreements, including clear conflict-of-interest guidelines for ALL planning participants.	Met Not Met	

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NYCRR 636-1.2(b)(4) AND CFR 441.301(c)(1)(viii)	1-9. The person-centered planning process provides a method for the person to request updates to the plan, as needed	Met Not Met	
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SECTION 2: PERSON-CENTERED SERVICE PLAN

REFERENCE	STANDARD:	DECISION:	RATIONALE FOR DECISION
NYCRR 636-1.3(a) and CFR 441.301(c)(2)	2-1. The person-centered service plan demonstrates implementation of a person-centered planning process.	Met Not Met	
NYCRR 636-1.3(b)(1) and CFR 441.301(c)(2)(iv)	2-2. The person-centered service plan documents the person's goals and desired outcomes	Met Not Met	
NYCRR 636-1.3(b)(2) and CFR 441.301(c)(2)(ii)	2-3. The plan documents the person's strengths and preferences.	Met Not Met	
NYCRR 636-1.3(b)(3) and CFR 441.301(c)(2)(iii)	2-4. The plan documents the person's clinical and support needs as identified through an assessment of functional and health-related needs	Met Not Met	
NYCRR 636-1.3(b)(4) and CFR 441.301(c)(2)(v)	2-5. The plan documents the necessary and appropriate services and supports that are based on the individual's preferences and needs and which will assist the person to achieve his/her identified goals	Met Not Met	
NYCRR 636-1.3(b)(5) and CFR 441.301(c)(2)(xi)	2-6. The person-centered plan reflects the services that the person elects to self-direct.	Met Not Met NA	
NYCRR 636-1.3(b)(6) and CFR 441.301(c)(2)(v)	2-7. The person-centered plan identifies the providers of the supports and services documented in the person's plan.	Met Not Met	

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NYCRR 636-1.3(b)(8) and CFR 441.301(c)(2)(vi)	2-8. The person-centered plan documents the risk factors for the person and the measures in place to minimize risk, including specific back-up plans and strategies when needed.	Met Not Met	
NYCRR 636-1.3(c) and CFR 441.301(c)(2)(vii)	2-9. The plan is written in plain language, in a manner that is accessible to the person, to the extent possible, as well as to parties responsible for the implementation of the plan.	Met Not Met	
NYCRR 636-1.3(d) And CFR 441.301(c)(2)(ix)	2-10. The person-centered service plan is finalized and agreed to with the individual's written informed consent.	Met Not Met	
NYCRR 636-1.3(e) and CFR 441.301(c)(2)(x)	2-11. The plan is signed by the provider(s) responsible for implementing the person-centered service plan.	Met Not Met	
NYCRR 636-1.3(e) and CFR 441.301(c)(2)(x)	2-12. The person-centered plan is distributed to the individual and providers involved in implementing the plan.	Met Not Met	
NYCRR 636-1.3(f)(1-5) and CFR 441.301(c)(3)	2-13. The person-centered service plan is reviewed or revised when necessary.	Met Not Met	
NYCRR 635.99.1(bk) and (686.99(ab))	2-14. The person-centered service plan includes or contains all relevant and applicable attachments.	Met Not Met	