



Appendix C

Auditing and Sampling - Business Rules

Revised June 2026

Purpose	This appendix explains how OQE selects samples, applies audits, reviews organizational indicators, and adjusts sampling during follow-up reviews.
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Sampling and Audit Rules

Site-based Sampling Sample starts with sites. OQE selects 25% of sites for the service type, then spreads individual audits across the selected sites.	Individual-based Sampling Sample starts with people. The number of audits is based on the number of individuals receiving the service type.
Applicability of Indicators The goal is to rate all indicators applicable to the service type at the sampled site. If a selected individual does not receive support in a particular area, another individual from the same sampled site will be selected so the indicator can be rated. If no one receives the support, the indicator is not rated.	60-day Follow-up Follow-up sampling may be reduced based on the original result; high-performing providers may have provider follow-up only.

1. Sampling Overview

- Different service types have different support expectations and, therefore, different applicable quality indicators.
- Audit sample selection is based on one of two sampling methodologies, depending on the service type: site-based sampling or individual-based sampling.
- In site-based sampling, a percentage of sites is selected first, and then individuals served at those sites are audited. In individual-based sampling, individuals are selected directly within the service type.
- Evidence used to determine whether applicable indicators are met may be gathered through interviews, observation, documentation review, environmental review, and administrative review.
- Administrative Review uses information from multiple sources to assess organizational systems, practices, and procedures and to provide an overall view of the provider's services and supports.
- Indicators may be evaluated at the organizational, location, or individual level, depending on the indicator and service type.

2. Key Terms and Audit Levels

Audit: Evaluation of all applicable indicators for the relevant service type, including location-based and individual-based review where applicable.

Indicator Type	Review Level	Scope
O	Organizational	Evaluated using information about the organization as a whole.
L	Location	Evaluated at the audited location or site.
I	Individual	Evaluated at the individual level.

3. Sampling Method by Service Type

Use the table below as the primary quick reference for determining whether a service type is sampled by site or by individual.

Service group	Service type	Method
Residential / IHS	24-hour Residential Supports	Site-based
Residential / IHS	ABI/MFP 24-hour Residential Supports	Site-based
Residential / IHS	Site Based Respite	Site-based
Residential / IHS	Shared Living	Individual-based
Residential / IHS	ABI/MFP Shared Living	Individual-based
Residential / IHS	Independent Living Supports (ILS)	Individual-based
Residential / IHS	Supported Collaborative Living (SCL)	Individual-based
Residential / IHS	Individual Home Supports (IHS)	Individual-based
Day / Employment	Community Based Day Supports	Individual-based
Day / Employment	Individual Supported Employment	Individual-based
Day / Employment	Group Supported Employment	Individual-based
Remote Supports and Monitoring	Remote Supports and Monitoring	Individual-based

4. Site-Based Sampling Rules

How sites are selected

- 25% of sites providing the applicable service type.
- At least one site must be selected for each service type.
- At least one site from the previous survey is to be included.
- At least three quarters of the selected sample should be new sites that were not part of the previous audit, unless there are not enough sites to do so.
- If an agency has a significant number of sites in a DDS region (for example, five or more), at least one site from that region regardless of service type.

How individual audits are assigned across selected sites

- The total number of audits is based on the number of individuals receiving the service type, using the established algorithm.
- Once the total number of audits is determined, the audits are distributed across the selected sites.
- Example: If a provider has 12 sites delivering 24-hour Residential Supports, 3 sites are selected (25%). If the audit sample size is 5 individuals, the audits are spread across those 3 selected sites.

Cluster method for individual indicators

Cluster A Health, community involvement, relationships and money management, and skill building.	Cluster B Protection of rights and choice and control.
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Where feasible, one person informs Cluster A and a different person informs Cluster B so that one site-based audit is not skewed by a single individual's experience.

5. Individual-Based Sampling Rules

- Sampling is based on the total number of individuals receiving the specific service type, not on the number of sites.
- The number of audits is selected using the established algorithm.
- The goal is to evaluate all indicators applicable to the service type.
- If a selected person does not receive support in a particular area, another person may be selected to evaluate that indicator.
- If a person receives more than one service type, that person may be included in more than one service-type sample.

6. Organizational Indicators and Administrative Review

Administrative review uses information from multiple sources about organizational systems and procedures to evaluate applicable organizational indicators.

Indicator	Topic	Sample basis
PL2	Abuse/neglect reporting	Number of sites plus any events reviewed organizationally.
L3	Immediate action	Number of complaints with immediate action in the past 24 months; maximum 15.
L4	Action taken	Number of action plans in the past 24 months; maximum 15.
L48	Human Rights Committee	Number of provider HRCs.
L65	Restraint report submission	Number of restraints that occurred during the past 13 months.
L66	HRC restraint review	Number of restraints reviewed by the HRC during the past 13 months.
L74	Screen employees	10% sample of new employees.
L75	Qualified staff	Employees with qualification requirements (for example, nursing or social work).
L76	Track trainings	10% sample of employees; maximum 20.
L83	Human rights training	10% sample of employees; maximum 20.
L92	Sub-locations licensed/certified/inspected as required	Number of provider-owned or provider-operated sub-locations.

7. Follow-Up Sampling for 60-Day Reviews

The follow-up sampling algorithm may be reduced depending on the original survey outcome.

Methodology	2-Year License 90% or more met	2-Year License 80%-89% met	2-Year License with Mid-Cycle Review or Deferred License
Site-based	Provider follow-up; no sample	Reduced to 15% of sites	Sample remains at 25%
Individual-based	Provider follow-up; no sample	Reduced algorithm	Standard algorithm for full surveys

8. Survey Team Size, Schedule, and Provider Notice

- Survey team size varies based on selected sample size and overall provider size.
- At least 45 days before the survey, the provider is notified of the start date, administrative review date, survey dates, feedback dates, and survey team composition.
- Seven calendar days before the survey, the provider will receive the sample of locations and individuals that will be audited.
- The provider should review the sample and notify OQE within 24-48 hours of issues such as discharge, incorrect address information, hospitalization, or other circumstances affecting the sample.
- Day 1: Administrative Review.
- Days 2-5: Audits are conducted.
- Depending on provider size, sample complexity, and survey team resource availability, OQE may add a sixth survey day when needed to complete the review.
- As a general planning assumption, a surveyor may complete 1-2 audits in one day depending on service type and review type.