

Home and Community-Based Services Settings Checklist

This guide (not all inclusive) will help ensure requirements of the Home and Community-Based Services (HCBS) settings rule are met for adult day (ADS) and assisted living (AL) providers.

Community Integration OAC 5160-44-01(B)(1) (ADS and AL)
<u>Considerations:</u> Are individuals regularly coming/going from the setting to attend lunch, activities, etc.? Staff interviews demonstrate they encourage/communicate opportunities about community events outside the setting. Are employment/volunteer opportunities posted? Does the setting have a computer for individuals to use?
☐ 3 months of activity calendars. Scheduled outings in the community to be reflected on calendars.
☐ Regular posting of community events occurring outside the setting are posted in an area accessible to individuals (i.e., festivals, car shows, fairs, etc.).
☐ Employment/volunteer policy or written statement identifying how the setting supports those who wish to work/volunteer outside the setting (i.e., pack a lunch, assist with scheduling transportation, cueing, etc.).
☐ Written statement or policy that individuals can control their personal resources, including business office hours (AL only).
☐ Transportation policy is posted in an area accessible to individuals. It must include phone numbers for each transportation option and the setting's staff member who can assist with scheduling transportation.
Rights of Privacy, Dignity and Respect, and Freedom from Coercion and Restraint OAC 5160-44-01(B)(3) (ADS and AL)
<u>Considerations:</u> Do staff interact with individuals in a respectful way that preserves the individual's dignity? Do staff call individuals "hon", "sweetie", "baby", etc.? Are individuals comfortable bringing concerns to the attention of staff? Individual names are not posted (food allergy lists, medication lists, names on tables, etc.) Individuals are administered medications in private (otherwise the preference of each individual to have medications administered in public must be documented in the person-centered service plan (PCSP)).
☐ Abuse Policy.
☐ Grievance Policy.
☐ Grievance committee meeting notes for previous year.
☐ Resident council meeting notes for previous year.
☐ Ombudsman office contact information is posted in an area accessible to individuals.
Optimizes Individual Initiative, Autonomy, and Independence OAC 5160-44-01(B)(4) (ADS and AL)
<u>Considerations:</u> Do staff interactions with individuals appear to support/encourage individual autonomy and independence?
☐ Overall does the setting makes every attempt (i.e., based on staff trainings, observations, setting philosophy, etc.) to better enhance, cultivate, and help individuals make decisions independently, self-direct their own care, and using their own strengths/capabilities to maintain and meet goals? No policy or written statement required but rather is this concept reflected throughout?

Choice of Services and Supports OAC 5160-44-01(B)(5) (ADS and AL)
☐ Written statement or policy that individuals have a choice in who provides services/supports such as pharmacy, physician, PT, OT, hospice, etc.
Privacy in Living Unit or When Receiving Personal Care OAC 5160-44-01(C)(2) (ADS and AL)
<i>Considerations:</i> Do staff close the door to provide personal care? Do they draw the window curtains? Do staff knock before entering? Do staff ask permission to enter?
☐ Written statement or policy that individuals have privacy when receiving personal care, have privacy in their living unit, have privacy when receiving medications, have privacy when using the phone, etc.
Freedom to Control Schedule/Activities and Access to Food and Snacks at Any Time OAC 5160-44-01(C)(4) (ADS and AL)
<i>Considerations:</i> No assigned seats for activities/meals. Snacks are accessible 24/7 without assistance from staff. Are individuals choosing their daily schedule/activities or are they forced to wake up at a certain time?
☐ Written statement or policy that individuals have the freedom and choice on how to spend their time (i.e., not forced to attend activities, choice of when to eat, choice in when to wake up, choice with whom to interact, etc.).
☐ Written statement or policy that individuals have access to food/snacks at any time and that individuals can keep food in their living unit. If applicable, a modification in the PCSP is required.
☐ Current food menus are posted in an area accessible to individuals.
☐ Alternative/substitute menu is posted in an area accessible to individuals.
Physically Accessible OAC 5160-44-01(C)(6) (ADS and AL)
<i>Considerations:</i> If the setting is locked from the inside and is not a secured unit, how do individuals leave the setting? If there is a keypad code, are the individuals given the code in the resident agreement, resident handbook, etc.?
☐ Exterior signage identifying the main AL/ADS entrance and interior signage (directional signage to AL/ADS, signage identifying floor numbers).
☐ Ability for individuals to leave the setting without assistance from staff (i.e. individuals have a keypad code to leave the building at any time). If applicable, a modification in the PCSP is required.
☐ Grab bars in bathroom, showers, etc.
☐ No restrictions on accessing any part of setting (i.e., laundry room, restricted access based on payer source, etc.).
Right to Visitors at Any Time OAC 5160-44-01(C)(5) (ADS and AL)
<i>Considerations:</i> Is there a keypad/key fob to access the setting when exterior doors are locked? Is a phone number posted to call the setting to gain access? Is there a sign identifying the times when the doors are locked/unlocked?
☐ 24-hour visitation policy which includes how individuals and visitors access the setting when the AL/ADS main entrance doors are locked. Policy must include times the doors are locked/unlocked and how access to the setting occurs (i.e. key fob, calling the front desk, etc.). If applicable, a modification in the PCSP is required.
☐ Written statement or policy describing how the setting accommodates overnight visitors (AL only).
Lease/Resident Agreement OAC 5160-44-01(C)(1) and OAC 5160-44-01(C)(3) (AL only)
☐ Entire resident agreement or resident lease which includes protections that address the eviction process and appeals process and specifically states that individuals have the freedom to furnish and decorate their living unit.
☐ Contact information for ODH and Ombudsman must be included in the eviction and appeals section.

☐ Agreement must specify circumstances which the individual would be required to relocate, resulting in the termination of the agreement.
Control Personal Resources OAC 5160-44-01(B)(1) (AL only)
☐ Written statement or policy allowing individuals to control personal resources.
Living Unit Door has Lock OAC 5160-44-01(C)(2)(a) and OAC 173-39-02.16(C)(2)(c)(ii) (AL only)
<u>Considerations:</u> Each living unit door has a lock.
☐ Master key policy for living units. Policy must include that each living unit has a lockable door, each individual has a key, and how individuals are made aware of when staff plan to be in the living unit for non-emergency/maintenance tasks. If an individual isn't present at that time, they must have the option to request these tasks be done at a different time. Policy must include where master key is located, and which staff have access to a master key. If applicable, a modification in the PCSP is required.
☐ Written statement or policy that staff are trained to knock and wait for verbal permission to enter an individual's unit prior to entering. This can be incorporated into the master key policy or a staff training document.
Choice of Roommate OAC 5160-44-01(C)(2)(b) and OAC 173-39-02.16(C)(2)(c)(i)(b) (AL only)
☐ Written statement or policy that individuals have a choice of who their roommate is, that the individual must request to share the living unit, the individual has an existing relationship with the roommate, and is documented/approved in the PCSP.
Freedom to Furnish and Decorate OAC 5160-44-01(C)(3) (AL only)
<u>Considerations:</u> Are rooms furnished or decorated? Were individuals encouraged to bring items from their home?
☐ Resident agreement must include they can decorate and furnish their living unit to their preference.
Other Information Requested (ADS and AL)
☐ Resident/individual handbook.
☐ If the setting has cameras (refer to Provider Memo) there must be a policy, informed consent, and signage (OAC 5160-44-01(B)(3)).
☐ Evidence of staff training for HCBS settings including any shared NF staff have received HCBS training (HCBS Settings Training , OAC 173-39-03(D)).
☐ Floor plans.
☐ Table of organization.
☐ Copy of resident rights.
Notes