

Completion Guide for Forms LCR-1079A & LCR-1079B

DEVELOPMENTAL HOME COMPLIANCE REVIEW INSTRUCTIONS

Developmental Home Licensees must have at least four on-site monitoring visits per calendar year. The visits must be completed quarterly by March 31st, June 30th, September 30th, and December 31st. A quarterly monitoring visit is completed using LCR-1079A. Form LCR-1079A includes a review of the licensing file, an assessment of member care, an inspection of the home, and a review of any changes in the household. Members should be present in the home for the quarterly monitoring visits. If a member is not present, the licensing worker must schedule an additional on-site visit to see the member.

Developmental Home Licensees must have one on-site unannounced visit per calendar year. An unannounced visit may be completed using Form LCR-1079A or LCR-1079B. LCR-1079B is an abbreviated monitoring form that consists primarily of a setting inspection.

VISIT INFORMATION

The "Visit Information" section contains information about the Developmental Home Licensee, the address of the home, and the date and time of visit. The address line is for the address of the licensee, not the agency. The "licensing worker" field is for the name of the worker completing the on-site visit.

SETTING INSPECTION

A Setting Inspection ensures the safety of the home and premises. At the monitoring visit, the licensing worker should walk through the entire home as well as the exterior of the property. If a deficiency is noted, it should be corrected during that visit if possible. If it is not possible to correct the deficiency during the visit, a reasonable amount of time, not to exceed 30 days, should be allowed to fix the deficiency. The time frame should be noted at the end of the form in the Visit Summary section. If the licensing worker is unsure about an issue, he or she should contact the Division for technical support. If a deficiency poses a significant health or safety risk and cannot be corrected immediately, the licensing worker must complete an incident report and arrange alternative placement for the member until the issue can be corrected. Please refer to the following instructions for selected compliance items:

8. Bedrooms shall have light, ventilation, and a usable, unobstructed exit to the outside in case of an emergency. Ensure that bedroom door locks are not facing the outside of the room, such as to permit locking from the outside.
9. Closely inspect the mattress and bed covers for evidence of bed bugs.
11. If the household only has cell phones, ensure the licensee can state a plan to ensure a phone is always present when a member is present in the home.
12. Slip-resistant surface means the flooring provides friction to prevent falls. This may be achieved by applying textured strips, using rubber mats or another similar measure.
13. "Lock" means a device operated by key, combination, magnet or keycard to safeguard an area or item. Medications may only be unlocked if permitted by the planning document. Exemptions must be verified by a review of the planning document. An example of a medication that must be readily accessible would be an asthma inhaler or Epi-pen. Medication that must be refrigerated must be kept in locked storage, without preventing access to refrigerated food. This may be accomplished by storing refrigerated medication in a locked box within the refrigerator
14. "Safeguard" means to take reasonable measures to eliminate the risk of harm to an individual. This may include: locking up a particular item, putting an item out of reach, erecting a barrier that prevents an individual from reaching an item or using protective safety devices. Cleaning supplies are defined as substances that are not intended for ingestion, but generally will not cause serious bodily harm or death if improperly used.

15. "Lock" means a device operated by key, combination, magnet or keycard to safeguard an area or item. Toxic substances may only be unlocked if permitted by the planning document. Exemptions must be verified by a review of the planning document. Highly toxic substances are defined as substances that can cause serious bodily harm or death if improperly used.
16. During the review, the licensee is expected to disclose the number of firearms present in the home. If a new firearm is present, the licensing worker must verify that the firearm is properly locked.
17. A locked storage container for firearms could include a gun safe or a hard-sided locking gun case. The case must be made of unbreakable material.
18. "Trigger locked" means a firearm has been rendered temporarily or permanently inoperable by blocking the firing or discharge mechanism for the firearm with a locked device.
19. Ammunition must be maintained in a storage container that is locked separately from any firearms.
22. A "pool" is any natural or man-made body of water that is greater than 18 inches in depth and includes swimming pools, spas, hot tubs, fountains and ponds. Water must be clear enough to see the bottom of the pool.
23. Shepherds crook and a ring buoy is needed for any pool that is deeper than 4 feet.
25. Test the pool gate to ensure it is self-closing and self-latching. The gate must close and latch automatically even if the gate is only slightly ajar.
26. A functioning carbon monoxide detector-alarm must be on each level of the setting that has an appliance or heating device using combustible fuel such as gas, oil, kerosene, wood, or charcoal.
27. If a portable heater is in the setting, it must have a protective covering to keep hands and objects away from the heating element and it must be electric, UL Approved, equipped with a tip-over shut-off switch, not used as primary source of heat and not used in bedrooms.
28. Flammables and combustibles must be stored more than 3 feet from water heaters, furnaces, portable heaters, fireplaces and wood-burning stoves.
31. A working smoke detector must be installed in the main living area of the setting, in each bedroom, and on each level of a multiple-level setting.
32. The written emergency evacuation plan must identify two routes of evacuation from each bedroom used by individuals receiving care. At least one of the exit routes for these bedrooms must lead directly to the outside of the building. The plan must identify the location of fire extinguishers and evacuation equipment, including rope or chain ladders. It must designate a safe meeting place outside the setting and it must be maintained in the setting to review with members receiving care in the setting.

FILE REVIEW (LCR-1079A only)

The "File Review" section is intended to ensure the completeness of the developmental home licensing file. This portion may be partially completed prior to the actual on-site visit. Indicate the name of the developmental home licensee and any household members in the spaces provided. Include the expiration date of each document using the following categories: Valid, Expired, Expiring <90 Days, and N/A. One box must be checked for each line. If a document or certificate is expiring in less than 90 days, the completed monitoring form, when provided to the licensee, serves as a reminder to the licensee that the item is due.

MEMBER CARE (LCR-1079A only)

The Member Care section documents that the care provided to members is compliant with licensing rules. Information should be gathered for each individual member placed in the home. If more space is needed to document these conversations, another sheet may be used. Initials are used to protect the confidentiality of member information. The member is not expected to initial the document. Please refer to the following instructions:

1. A copy of the Planning Document must be present in the home. If the developmental home licensee does not have a copy of the Planning Document, request a copy from the support coordinator and document the request in the file.
2. Document compliance with quarterly progress reporting. The licensee is required to submit a quarterly progress report. Agencies may create their own progress reporting form provided the form includes all fields listed on the Division form. Any concerns regarding the progress report should be documented here. Progress reports may be collected at the on-site visit or may be submitted at a different time.
3. Document the licensee's daily plan for member supervision. If the member goes to school, work, or a day program, the licensee must ensure appropriate supervision before the member leaves for the day and after the member returns home. If the member has alone time in the residence or community, the licensee must follow the time frames designated in the member's Planning Document.
4. Document the licensee's use of alternative supervision and/or respite. Alternative caregivers, whether paid or unpaid, must be 18 years of age or older and meet HCBS requirements: Level One Fingerprint clearance card, CPR/FA training, Article 9 training, orientation to member, and have completed checks of the DCS central registry and APS registry.
5. Document the licensee's transportation plan. The licensee is responsible for providing or arranging routine transportation for the member. If the member is permitted by the Planning Document to use public transportation, the licensee is responsible for covering the cost.
6. Document the expenditure of member funds. All funds must be spent as directed by the spending plan. Receipts for clothing, furniture and personal belongings purchased for the member must be submitted to the Division.
7. Document the member's personal possessions. Licensees must ensure that a written inventory is kept of all the member's personal possessions.
8. Document any critical incidents that occurred since the last visit. Verify that any incidents were properly reported and managed according to licensing rules and Division procedures. Document any technical assistance already provided. If technical assistance or training has not yet been conducted, document the date and method by which training will be provided in the future.
9. Review any behavioral challenges the licensee is experiencing. The licensing worker should ensure that any behavioral interventions are compliant with licensing rules and with Article 9. If licensing violations are noted, submit an incident report and document the technical assistance provided or document the plan to provide technical assistance or training.
10. If a Behavior Treatment Plan (BTP) is in place, the licensee must have evidence of compliance with the BTP. Evidence of compliance would include data sheets and incident reports for any behavioral incidents. If there is reason to believe that a BTP is needed or if an existing BTP needs to be updated, this must be documented here along with the licensing worker's plan to ensure the BTP is developed and approved.
11. The licensing worker must see and interact directly with the member at the visit. The licensing worker must document general observations and assess the member's satisfaction with services and supports provided by the developmental home licensee. The member is expected to be at the on-site visit. If the member is not present, the licensing worker must document the reason that the member was not at home (i.e. school, work, day treatment, with alternative caregiver), and visit the member at a different time.

FAMILY UPDATES (LCR-1079A only)

The Family Update section should prompt thorough and transparent conversations with the licensee. The questions address the notification requirements outlined in licensing rules and potential impacts of changes within the household.

1. Evaluate and document any new household members. A household member is any person, adult or child, who resides in the home for more than 30 days throughout the year. A member placed in a developmental home is not a household member for licensing purposes. An amendment must be completed when a child or adult is added to the household. As soon as the licensing worker becomes aware of the new household member, an amendment must be requested in Quick Connect.
2. Ensure the licensee's work schedule does not conflict with the care and supervision of members.
3. Determine if there are any stress factors that could adversely impact the quality of services being provided to the member. Examples of stressors could include family conflicts, financial stress, challenges related to the placements or work-related stress.
4. Evaluate changes in the licensee's health status. If there are significant changes in health that could impact the ability of the licensee to provide services, the Division may request a new physician statement.
5. Document plans to relocate or remodel. If the licensee relocates to a new address the license must be amended. Remodeling refers to making structural changes to the home. Examples would include building an addition or adding/removing a wall.

VISIT SUMMARY

Violations and corrective actions are listed in this section. If violations are corrected during the visit, this should be noted here. If violations will be corrected at a later time, the licensing worker should document the specific action to be taken to correct the deficiency. The licensing worker should also provide a due date indicating the time allowed to correct the deficiency. A time for a follow up visit to check for compliance should be agreed upon and documented in this section, as well. This section should also be used to record any summary notes or list any items needing follow up.

If concerns or violations are serious or could adversely impact member care, the Division must be notified. The Division may request further investigation in the form of a licensing inquiry.

The monitoring form should be signed by the licensee and the licensing worker. A copy of the form should be provided to the licensee at the time of the visit or within 30 days. Once the forms are signed, no additional marks may be made on the form.