

## Licensing of Community Living Arrangements

### Definitions:

**Abuse:** means the willful infliction by a caregiver, of physical pain or injury or the willful deprivation of services necessary to the physical and mental health and safety of an individual. The term also includes the use of offensive language or act, to provoke or upset an individual or subjects him or her to humiliation or ridicule.

**Commissioner:** means the commissioner of the Department of Developmental Services.

**Department:** means the Department of Developmental Services.

**Individual:** means any individual with mental retardation who resides in a residence licensed pursuant to Section 17a-227 CGS.

**Individual Plan:** The individual plan is the document that guides the supports and services provided to the individual.

**License:** means written authorization issued by the commissioner to operate a residence.

**Licensee:** means the person, agency or other legal entity responsible to the department for the overall operation of the facility, including planning, staffing, managing and maintaining of facilities.

**Neglect:** means the failure by a caregiver, through action or inaction, to provide an individual with the services necessary to maintain his or her physical and mental health and safety or a situation in which a person with mental retardation is living alone and unable to provide for him or herself such services.

**Residence:** means a dwelling licensed by the department pursuant to Section 17a-227 CGS, excluding community training homes.

## Initial Standards:

**In order to obtain any license to conduct or maintain a residence for persons with mental retardation, the licensee must have and implement policies and procedures that are in accordance with those of the department, to ensure that the following standards are met:**

**Support staff are trained to meet the healthcare needs of the individual.**

See indicators below

**Support staff are trained to ensure that individuals' rights are protected.**

See indicators below

**The individual's safety is addressed by the implementation of needed supports.**

See indicators below

**Environments that the individual lives in are safe, maintained and accessible.**

See indicators below

## Operating Standards:

**In order to maintain any license to conduct or maintain a residence for persons with mental retardation, the licensee shall have and implement policies and procedures that are in accordance with those of the department, to ensure that the following standards are met:**

### Planning and Personal Achievement

**Comprehensive information concerning the individual's preferences, personal goals, needs and abilities, health status and other available information is gathered in preparation for developing a personalized Individual Plan.**

Demographic and personal information is maintained in the individual's record.

The individual's record contains necessary and current health assessments, screenings, evaluations, reports and/or profiles

The individual's record contains necessary and current safety assessments, screenings, evaluations, reports and/or profiles.

The individual's record contains necessary and current programmatic assessments, screenings, evaluations, reports and/or profiles.

### **The person's Individual Plan is implemented as written.**

The individual's plan is on file at the service location, available for support staff to implement. (moved)

The plan is implemented on a timely basis.

Direct service providers maintain documentation of supports and services provided and progress made.

After the IP development, providers obtain needed assessments, screenings evaluations reports and/or profiles and/or follow-up on recommendations.

Periodic reviews of the Individual's Plan identify that needed services and supports are received.

Support person training regarding the individual's health, safety, and plan is documented.

Support persons recognize and use naturally occurring opportunities when teaching.

Sufficient support persons are available to meet the individual's support and service needs identified in his or her Plan.

Support persons are able to demonstrate the skills needed to assist the individual to achieve his or her outcomes.

### **The individual is understood by staff and supported through effective communication that reflects his or her likes, dislikes, preferences and abilities.**

Support persons communicate in effective ways the individual can understand and takes the time to listen to the individual and are responsive when the individual communicates.

## **Rights, Respect & Dignity**

### **The individual has not experienced abuse or neglect, and is free from emotional harm.**

The individual has not experienced abuse or neglect.

### **The individual understands and exercises his or her basic rights.**

The individual exercises rights as he or she chooses.

**Support staff are trained to ensure that individuals' rights are protected.**

The support person has documented training regarding individual rights.

The support person has documented training regarding abuse and neglect reporting and prevention.

**The individual is treated as a valued and respected person.**

The individual is treated by staff in a respectful and dignified manner.

**The individual is supported to be free from physical and emotional harm.**

The individual's record contains documentation on DMR Form 255's for incidents of injury, restraint, unusual incidents and medication errors.

Individual's incidents and accidents are reported, investigated and followed-up as appropriate.

The individual's record shows Abuse and Neglect policy and procedures were followed.

The individual's record shows follow-up to Abuse and Neglect concerns regarding the individual, including notification to families.

Support persons respond to the individual's needs for assistance.

**The individual is supported to exercise his/her rights responsibly.**

Support persons follow policies and procedures, as applicable, that effect restrictions of the individual's rights.

**Individual rights are protected.**

The individual's record contains necessary Human Rights Committee (HRC), Program Review Committee (PRC), and consent documents, as applicable.

The individual's record identifies that required procedures were followed if his or her rights were restricted.

Approved behavioral techniques are used when an emergency restraint occurs.

Behavior modifying medications are managed consistent with the physician's treatment plan.

**Concerns and grievances by the individual are sought and responded to.**

The individual has been informed of the complaint procedure to follow if he or she is not satisfied with his or her services and supports.

**Support for Financial Interests**

**The individual is supported to understand, obtain, and maintain insurances, entitlement benefits, and income.**

The individual's record documents the support provided him or her to understand, obtain and maintain entitlements, benefits, and insurances.

The individual's record documents that applications/redeterminations for Medicaid Title 19 and other entitlements and benefits have been processed.

**Personal funds are individually maintained and protected by a financial accountability system.**

The individual's personal finances are protected through systematic record keeping.

The individual's personal finances are protected through periodic financial record audits.

The individual's personal finances, including assets, and personal property are being managed and monitored responsibly.

**Safety**

**The individual's safety is addressed by the implementation of needed supports.**

The individual's record documents the inspection, maintenance and monitoring of all Individual Safety Monitoring Devices.

There is evidence that emergency plans as required by policy and procedures are in place.

Support persons protect the individual's safety.

An Emergency Relocation Plan, a part of the DMR Special Operations Plan for Emergency Relocation, is maintained in a special notebook, the "Red Book", easily accessible to the staff.

The emergency response plan accommodates the support needs of the individual, each person's role during an emergency, and the availability of necessary medical information when the individual is away from his or her service location.

There is an accessible working telephone with emergency numbers readily available.

There are practiced and documented monthly fire evacuation drills. There is documentation that one drill, quarterly, is conducted when the individual is routinely asleep.

A written plan of corrective action is documented and implemented for problems identified during a fire evacuation drill.

There are fully charged fire extinguishers available in the kitchen and furnace area.

There are working smoke detectors on each level of the location that meet the individual's needs.

The individual's home does not have an unvented combustion-heating unit.

Basic first aid supplies are readily available at the individual's service location.

Basic first aid supplies are readily available in vehicles used to transport the individual.

Personal protection equipment (PPE) is readily available at the individual's service location.

Personal protection equipment (PPE) is readily available in vehicles used to transport the individual.

Hot water temperature is maintained between 100 and 120 degrees Fahrenheit at water sources accessible to the individual.

There is documentation that the safe condition and designed use of adaptive equipment and safety devices is monitored.

Adaptive equipment and safety devices are in good condition and used as designed.

Vehicle adaptive equipment and vehicle safety devices are in good condition and used as designed.

There is documentation that the safe condition and designed use of adaptive vehicle safety devices is monitored.

### **Environments that the individual lives in are safe, maintained and accessible.**

There is documentation of annual sprinkler/fire alarm system servicing for a building that has a sprinkler and/or a fire alarm system.

There is an annual fire marshal's certificate.

There is documentation that a local fire or building official has approved the installation of a wood stove.

There is documentation of annual chimney cleaning when a fireplace or woodstove is used.

There is documentation of annual furnace servicing performed at the individual's residence, as applicable.

There is documentation from a public health official or certified septic contractor stating the septic system is functioning properly.

There is documentation of a certificate of occupancy for new construction, as required by state or local codes.

There is documentation that well water is tested for potability every five years and found to be safe.

The environment supports the individual's needs, abilities, and interests.

The individual's bedroom has smoke-tight door(s) if the residence does not have a sprinkler system.

Designated means of escape are unobstructed.

Exterior doors open from the inside without the use of tools or keys.

Escape windows open without the use of tools.

Rooms and closets open from the inside.

Rooms that lock have tools which open them readily available.

There are no bedrooms in basements that are 100% below grade for homes licensed or certified after 5/1/96.

There are no bedrooms that can be reached only by ladder, folding stairs or trap door.

The individual's bedroom has a minimum required size based on the number of occupants.

Medications are to be kept locked, refrigerated as needed and access shall be limited to those authorized to administer medications except for individuals who self medicate and live independently.

The individual's environment is free from potential hazards.

The exterior and grounds of the individual's environment are safe.

The individual's environment is clean.

The individual's environment is structurally well-maintained.

There are no physical environmental conditions that require funding or a contracting process for remediation.

The individual's environment is adequately lighted, has a comfortable temperature and is free from unpleasant odors.

Furniture and furnishings are safe and in good repair.

The location has sufficient toileting and/or bathing facilities and supplies to meet the individual's needs.

There is sufficient storage space for clothes and personal belongings.

Personal hygiene supplies in the individual's environment are stored separately from others and in a sanitary manner.

Bathrooms, common areas, and personal living spaces afford privacy.

The individual's bedroom has a window or door that opens directly to the outside for ventilation.

Kitchen and dining areas have appropriate equipment for the sanitary storage, preparation, and serving of food and an adequate supply of food.

Any electrical outlet within six feet of an open water source is protected by a ground fault circuit interrupter (GFCI).

Electrical sockets and extension cords are not overloaded.

Electrical cords are not run under rugs.

Electrical outlets and junction boxes have cover plates and no exposed wires.

A means to wash and dry clothes is available.

Clothes dryers are properly vented to the outside or to an appropriate inside filter

Poisonous substances are correctly labeled and safely stored according to the needs of the individual.

Combustible and flammable substances are used and stored appropriately.

Basements are free of standing water.

The individual's environment is accessible, as needed, and promotes individual independence.

## **Health & Wellness**

### **The individual has needed medical and health care.**

All required medical assessments and appointments are current.

The individual receives necessary oral and dental care including assessment, treatment and follow-up.

Support providers carry out all health related orders as determined by health care professionals.

There is evidence the individual experiences prompt treatment, management and follow-up services for his or her health issues upon identification.

The individual's record documents monitoring of medications and side effects.

Adaptive equipment and assistive technology, if needed, is used by the individual to increase his or her independent participation in daily activities.

The individual's health needs are addressed during daily activities.

Support providers follow applicable DMR Health Regulations, policies, and procedures, advisories and directives.

### **Support staff are trained to meet the healthcare needs of the individual.**

*There is documentation that support staff have been trained in health-related areas in accordance with the requirements of DDS policy and procedure.*

There is documentation that at least one support staff on duty per shift is currently trained in cardiopulmonary resuscitation (CPR).

There is documentation that only licensed personnel or certified unlicensed personnel administer medications to the individual.