

New York State Department of Health

Social Adult Day Care (SADC) HCBS Compliance Review Preliminary Information Checklist

In preparation for the upcoming HCBS compliance review, please submit the following documents to the Department of Health (the Department) on behalf of the Social Adult Day Care site listed in the accompanying email.

Important: If your plan has no members attending the SADC site, please include that information in the email reply. If you are a SADC receiving this checklist from a MLTC plan and do not have any members attending from this plan, please ask the MLTC plan to confirm the Department was informed of this information.

Note: All documentation must be reviewed by your MLTC plan prior to submitting to the Department of Health. Documentation should demonstrate compliance with the Home and Community Based Services (HCBS) Final Rule and **all files must be named to indicate the content of the document**. Please reference the image (Figure 1, page 4) as a guide for how to name files appropriately to describe their content.

Documents for MLTC Plan Members - Please submit the three items below for *three* of your plan members that attend the SADC site:

- **Member Experience Survey:** Please complete the attached survey tool with at least three members that attend the SADC site (one survey for each member). The tools should be completed by a representative of your MLTC Plan, *not* the SADC site since it is to gain feedback on their experience at the SADC.
 - **Note:** if you are unable to conduct the member experience survey with at least three members, please provide the Department with a *detailed explanation* of why your plan was unable to conduct the survey with each member on the roster you supplied, including dates and times contacted.
- **SADC Person Centered Service Plan (PCSP):** Please submit the SADC Service Plans for the same members you completed the member experience survey with. (Please see the checklist for further information).
- **MLTC Plan Person Centered Service Plan (PCSP):** Please submit the most recent person-centered service plan for the same members you completed the member experience survey with.

Member Rights Document

- The Member Rights document or policy should include all rights afforded to a member enrolled at the SADC site. *At minimum*, please ensure the document includes a member's right to:
 - Privacy, dignity, and respect and the freedom from coercion and restraints.
 - Control one's personal finances/money/funds, schedule, and activities.
 - A choice of services, activities, outings, and community integration opportunities based on their preferences.
 - Lead the Person-Centered Planning (PCP) process and Person-Centered Service Plan (PCSP) creation to the best of their ability.

Policies

- **PCP/PCSP/Service Plan** - Documentation that explains the process of creating the SADC PCSP.
- **HCBS Final Rule** – Documentation that explains how compliance with all HCBS Final Rule standards will be achieved. Standards to be addressed include, but are not limited to community integration, freedom of choice and control of schedule/activities, access to food at any time and allowing visitors at the member's choosing.

Community Integration – If not provided as part of the HCBS Final Rule documentation above, this would explain the actions and processes related to supporting members integrating with their community.

Training/Staff Development – Documentation that explains new hire/annual staff and volunteer training requirements and training topics.

- **NOTE:** Training logs, individual training checklists, and Certificates of Completion are not acceptable evidence for this item.
- **Visitor/Visitation** – Documentation outlining the SADC's Visitor Policy for its members.
- **Transportation** – Documentation that explains the SADC's transportation policies and procedures, including transportation provided directly to members, public transportation options, and supports available, etc.
- **Staffing/Staffing Plan** – Documentation that explains how the SADC ensures there are adequate staff available to assist with member needs.
- **Quality Assurance/Policy Review and Revisions** – Documentation that explains the SADC's process for regularly reviewing policies and updating policies to ensure compliance, as necessary.

 SADC PCSP Template

- The SADC PCSP Template should not be filled out. (*Note: Completed SADC PCSPs are requested separately.*)

 Transportation Support

- Documentation that shows how SADC members can access either private or public transportation, and how staff coordinate or assist members to access transportation. (Ex. Photos of posted bus/ train schedules, information about how to request assistance from SADC staff in accessing appropriate transportation, etc.)

 Activity Calendar / Listing of Events

- The calendar should contain daily program options and activities available at the SADC as well as off-site activities and events.

 Community Integration Opportunities

- A photo of postings showing community events, local businesses, parks, etc. that may be of interest to members choosing to engage in the community.

 Volunteer and Employment Opportunities

- A photo of postings showing volunteer and employment opportunities available to members who may be interested.

 Meal Menu

- Please submit a weekly meal menu and include any accompanying policies related to meal schedules, access to food and drinks, and alternative meal options, if available.

Confirmation of Annual SADC Certification through OMIG

- Please provide a copy of the Confirmation Page generated from submitting the SADC certification through the Office of Medicaid Inspector General (OMIG).

Verification of Registering with New York City (NYC) Aging

- Please provide a copy of the current registration or other confirmation provided after registering.
 - **NOTE:** This applies only to SADCs located in the five boroughs of NYC.





















Signs Posted for Members (If not already included in a Policy)

- Signs posted that inform members of services and features available to them at the SADC, and the rights and freedoms afforded to them which are compliant with the HCBS Final Rule, etc.
- Copies or scans of documents of the signs posted are preferred, but photographs of postings are acceptable only if the content can be clearly read.

Other Required Documentation:

- Any supporting documentation that was not requested above that demonstrates the following HCBS Final Rule requirements. ***Please label accordingly.***
 - How individuals can make a request to:
 - Change activities or services in their SADC PCSP, including community integration opportunities they are interested in.
 - Choose specific staff to assist with personal needs or services if they prefer.
 - Have activities modified to meet their physical or developmental needs.
 - Utilize a private space for dining privately and/or to have privacy while speaking on the phone or meeting with visitors.
 - Documentation showing *how* activities are modified so members with varying abilities may participate in chosen activities, including individuals with physical or developmental needs.
 - If applicable, minutes from council meetings where members ideas and preferences are discussed and noted.
 - Staff meeting minutes, or other forms of documentation showing how staff are made aware of member's needs, preferences, and abilities.

Figure 1 – Example submission folder showing files named for content.

-  MLTC Plan Member Files
-  Activity Calendar
-  Bulletin Board Postings
-  Care Plan Changes and Staff Preference ...
-  Community Integration Opportunities
-  HCBS Final Rule Policy
-  Meal Menu with Alternative Options
-  Member Rights
-  Mock Submission Folder image
-  NYC Aging Registration Confirmation
-  OMIG Annual Certification Confirmation
-  PCSP Policy
-  SADC PCSP Template
-  Staff Meeting Agenda and Minutes
-  Staff Training Policies
-  Staffing Plan Policy
-  Transportation Policy
-  Transportation Support
-  Visitor Policy
-  Volunteer-Employment Opportunities