



Pennsylvania  
**Department of Human Services**

Bureau of Human Services Licensing

Pre-Inspection Checklist for:

- New Personal Care Homes (PCH)
- PCH Sale or Change of Legal Entity

The following documentation shall be submitted by the human services licensing applicant to the Bureau of Human Services Licensing (BHSL) headquarters office before the initial inspection of a proposed new facility or sale or change of a legal entity is scheduled. BHSL may request additional materials or request materials in a different order than outlined below (62 P.S.1003).

1. Education and training qualifications of the Administrator [§ 2600.53(a)-(b), § 2600.64(a)].
2. Criminal history background checks (including the Federal Bureau of Investigation (FBI) if not a resident of Pennsylvania for the past two years) in accordance with the [Older Adult Protective Services Act](#) (OAPSA) specifically for anyone with ownership, control interest, and/or anyone responsible for the management and operations of the facility and/or legal entity. This includes but is not limited to the Chief Executive Officer (CEO), Chief Financial Officer (CFO), executive directors, executive management staff, board members, all hired staff, or any other position as determined by BHSL.
  - a. Criminal history background checks for all hired staff.
  - b. In addition, policy and procedures for conducting criminal history clearances for all future staff to be hired, as well as retention and utilization of staff in accordance with OAPSA [§ 2600.51,52].
3. The planned staffing patterns/shifts/duties of staff hired/to be hired based upon all services offered in the description of services [§ 2600.56(a), § 2600.57(a)-(d), § 2600.233 (a) – (b)].
4. The educational and training qualifications of staff to be hired [§ 2600.54(a)] including training required to serve specialty populations, such as Alzheimer’s Disease or other related Dementia, Brain Injury, Intellectual Disabilities and Mental Health [§ 2600.60], § 2600.63(a)-(b), §2600.65(a)-(b), § 2600.182(b), § 2600.190(a)-(b)].

5. The educational and training qualifications of staff included in the resident contract or listed in the offered services to include any clinically licensed professional staff [§ 2600.18, § 2600.2600.61].
6. A staff training plan for the first twelve (12) months of operation [§ 2600.66(a)-(b), § 2600.65(f)-(g)].
7. The floor plan/layout of the building, including all floors/levels of the residence, clearly indicating all internal and external exit paths and exit doors.
  - a. The floor plan shall indicate the size of each resident bedroom (including ceiling height) and each living/activity room in the home.
  - b. The floor plan shall indicate the location of each resident and staff bathroom including the number of sinks, toilets, and showers/tubs.
  - c. The floor plan shall indicate the location of kitchens and dining rooms [§ 2600.98(a)-(b)(1), § 2600.101(a)-(b), § 2600.101(e), § 2600.102(a)-(c), §2600.122].
  - d. The Elevator Certificate of Operation for any elevators in the home (if applicable) [§ 2600.97].
  - e. Evidence of compliance with Secured Dementia Care Unit (SDCU) physical site regulations (if applicable) [§ 2600.232(a)-(c)].

***Note: The floor plan/layout is not required for sales or changes of legal entity unless there is a change in use of the physical space, or the facility has an SDCU.***

8. The home's policies and procedures for the following:
  - a. Reportable Incidents and Conditions Policy [§ 2600.16(b)]
  - b. Confidentiality Policy [§ 2600.17]
  - c. Quality Management Plan [§ 2600.26(a)-(c)]
  - d. Accepted forms of payment to include acceptance of Supplemental Security Income (SSI), private pay, 3<sup>rd</sup> party payment via any Medicaid or Medicare funded programs such as the Living Independence for the Elderly (LIFE) program, In Lieu of Services (ILOS), Resident Habilitation or other sources not listed [§ 2600.27 (a), (b), (c), (d)]
  - e. Resident Rights [§ 2600.41(a)]
  - f. Use of Voice Controlled Electronic Devices [§ 2600.42 (s)]
  - g. Disclosure of their use and operational description of any real-time tracking location systems [§ 2600.42(s)]
  - h. Complaint Procedures [§ 2600.44(a)]

- i. Swimming Pools (if applicable) [§ 2600.106]
  - j. Emergency Preparedness Plan [§ 2600.107]. If a 3-day supply of drinking water will not be kept at the home, submit a contract with a local bottled water supplier that includes the amount of water to be delivered immediately upon request, 24-hours per day, with a guarantee that the water will be delivered as a priority even in the event of a regional emergency [§ 2600.107(c)]
  - k. Firearms and Weapons Policy (if applicable) [§ 2600.108(5)]
  - l. Inoperable Fire Alarm/Smoke Detector Policy [§ 2600.130(h)]
  - m. Emergency Medical Plan [§ 2600.143(a)]
  - n. Smoking Policy (if applicable) [§ 2600.144(b)-(c)]
  - o. Medication Administration Policy [§ 2600.185(a)-(b), § 2600.188(d)]
  - p. Description of Services Policy based upon all services offered and those not offered but the home will coordinate which may include Dementia/Memory Care, Brain Injury Care, Mental Health Services, Intellectual Disability/Autism Care, Hospice Care, Respite Care [§ 2600.223(a)-(b), §2600.231 (a) – (h)]
  - q. Discharge/Transfer Policy [§ 2600.228(b)]
  - r. Records Policy [§ 2600.254(b)]
9. For SDCUs (if applicable), the following documentation:
- a. A written request to add an SDCU or increase SDCU capacity to an existing license.
  - b. Environmental Protection Policy [§ 2600.232(d)]
  - c. Lock Approvals [§ 2600.233(a)-(b)]
  - d. Training [§ 2600.236]
  - e. Program Information [§2600.237(a)(1)-(6)]
  - f. Staffing [§ 2600.238]
  - g. General SDCU information [§ 2600.239(a), (c)(1)-(22)]
10. The home's forms for the following:
- a. Resident-Home Contract [§ 2600.25(c)(1)-(13), § 2600.25(d) SOP-Statement of Policy, § 2600.25(e)-(f), § 2600.109(a), (d)]

- b. Resident Rights Poster [§ 2600.41]
  - c. Fire Drill Record [§ 2600.132(c)]
  - d. Resident medical evaluation and health care [§ 2600.141]
  - e. Preadmission Screening Form [§ 2600.224(a)]
  - f. Assessment Form [§ 2600.225(b)]
  - g. Support Plan Form [§ 2600.227(b)]
  - h. Medication Administration Record [(§ 2600.187(a)]
11. Compliance with fire retardant mattress requirement [§ 2600.101(j)(1)].
  12. Documentation showing the home's water source. If the home uses public water, the home should submit a current water bill. If the home uses private water (well), the home should submit a permit from the Department of Environmental Protection (DEP) for its water source [§ 2600.18, § 2600.89(c)].
  13. Documentation showing the home's sewer source. If the home uses public sewer, the home should submit a current sewage bill. If the home is not connected to a public sewer system and serves nine (9) or more residents, the home should submit written sanitation approval for its sewage system from the local sewage enforcement official of the municipality in which the residence is located [§ 2600.85(f)].
  14. A statement from the home's legal entity listing all members of the legal entity and listing all licensed human service facilities with which anyone with ownership and control interest in the facility and/or legal entity has been affiliated within the previous three (3) years, including but not limited to parent companies, subsidiaries, partnerships, management agreements, etc.
  15. A list of consultants, consulting groups, or anyone unaffiliated with the facility and/or legal entity assisting in the completion of the application or any of its materials and the roles of each party.
  16. A staff list or organizational chart including hire dates and positions.
  17. If applicable, an affidavit for the sale of a legal entity that is currently operating pending appeal of a Departmental enforcement action, or previous operator was deemed "not a responsible person" by the Department (an affidavit will be sent to the applicant if applicable).
  18. If applicable, a copy of any management agreements if a third party will be or is currently responsible for operations of the licensed home.