**COMMONWEALTH OF PENNSYLVANIA**

**DEPARTMENT OF HUMAN SERVICES**

**OFFICE OF DEVELOPMENTAL PROGRAMS**

**POLICIES AND PROCEDURES**

***55 Pa. Code Chapter 6400 – Community Homes for Individuals with Intellectual Disabilities***

**NEW APPLICANT SEEKING LICENSURE**

**SALE or CHANGE OF LEGAL ENTITY INSPECTIONS**

***The following documentation shall be submitted by the human service licensing applicant and approved by the Office of Developmental Programs (ODP) Central Office prior to scheduling an initial inspection of a proposed new facility or for a sale or change of a legal entity. ODP may request additional materials or request materials in a different order than outlined below. 62 P.S.1003***

**Initial Submission:**

***The initial submission documentation listed below is specifically for anyone with ownership, control interest, and/or anyone responsible for the management and operations of the agency. This includes but is not limited to the CEO, CFO, executive directors, executive management staff, board members, or any other position as determined by ODP. Criminal History Checks (1-3) for all other staff persons will be submitted during the second submission phase.***

1. PA State Criminal History Checks
2. FBI Clearances
3. Child Abuse Clearances
4. CEO qualifications: § 6400.43(c)
	1. Education (copy of degree or transcripts)
		1. International Degree must be verified using World Education Services including US equivalency.
	2. Work Experience (Resume)
5. List of all licensed human service facilities with which anyone with ownership and control interest in agency has been affiliated with within the previous three (3) years, including but not limited to parent companies, subsidiaries, partnerships, management agreements, etc.
6. Staff list or organizational Chart including hire dates and position
7. Proof of noncontiguous clearance from ODP’s Regional Waiver Capacity Manager

**Upon approval of the initial documents, applicant will be directed to the “Providing Residential Habilitation in a Community Home for Individuals with an Intellectual Disability and Autism” webinar series. Upon successful completion of the series, applicants should send their certificate to the Regulatory Administration Unit.**

**Second Submission:**

1. Providing Residential Habilitation in a Community Home - Webinar Certificate
2. Civil Rights Compliance Letter (from the Department of Equal Opportunity)
3. Incident management policies and procedures consistent with § 6400.18-20 that include the following:
	1. Incident prevention
	2. Incident Reporting
	3. Incident Investigation
4. PA, FBI, and Child Abuse Clearances for all hired staff (except those submitted during the initial submission) In addition, policy and procedures for conducting criminal history clearances for all future staff to be hired in accordance with OAPSA must be submitted.
5. Written policy that establishes procedures for the protection and adequate accounting of individual funds and property and for counseling the individual concerning the use of funds and property. § 6400.22(a)
6. Written grievance procedures for individuals, individual’s families, advocates and staff persons, that assure investigation and resolution of complaints. § 6400.23.
7. Program Specialist(s) Qualifications: § 6400.44(c)
	1. Education (copy of degree or transcripts)
		1. International Degree must be verified using World Education Services including US equivalency.
	2. Work Experience (Resume)
8. Staff training plan that addresses:
	1. § 6400.45
	2. § 6400.46 – including staffing patterns/shifts for the home
	3. § 6400.50(a) – including template for training record
	4. § 6400.51 - including job descriptions for each position
	5. § 6400.52
9. Process to ensure special accommodations will be identified and met. § 6400.61
10. Self-Inspection on the Department’s form showing compliance with § 6400.62-6400.111, including POC development and full implementation.
11. Floor Plan/layout of the building, including all floors/levels of the home and clearly indicating all internal and external exit paths and exit doors. The floor plan shall indicate the size of each individual bedroom (including ceiling height) and each living/activity room in the home. The floor plan must include the location of each bathroom including the number of sinks, toilets, and shower/tubs. The floor plan shall indicate the location of kitchen and dining room. 6400.78(a);(b), 6400.81(c), 6400.81(d), 6400.81(f), 6400.82(a), 6400.82(b), 6400.83(a)

*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.*

1. Documentation of the home’s water source. If a home is connected to public water, applicant should submit a recent water bill. A home that is not connected to a public water system shall have a coliform water test by a Department of Environmental Resources’ certified laboratory stating that the water is safe for drinking purposes at least every 3 months. Written certification of the water test shall be kept. 6400.68(c)
2. The Elevator Certificate of Operation for any elevators in the facility. § 6400.79
3. Emergency evacuation procedures. § 6400.103
4. Inoperable Fire Alarm/Smoke Detector Policy § 6400.110(g)
5. Template for fire drill record that includes all requirements of § 6400.112(c)
6. Smoking safety procedures § 6400.114(c)
7. Template for physical examination that includes all requirements of § 6400.141(c)
8. Template for dental hygiene plan. § 6400.142(f)
9. Plan for addressing refusal of treatment as described in § 6400.143
10. Plan for the provision of health services as described in § 6400.144 that addresses all the following, at a minimum:
	1. How new planned/prescribed treatments will be received
	2. How assessment will be updated to address new treatment
	3. Resolving inconsistencies between physical exam, assessment, and IP when identified.
11. Emergency medical plan § 6400.145
12. Staff physical examination template that includes all requirements under § 6400.151(c)
13. Template for Self-Administration of Medication that includes all requirements under § 6400.161(e)
14. Template for epinephrine training record § 6400.169(c)
15. Medication disposal plan § 6400.163(h)
16. Plan for medication management as described under § 6400.165 that includes the following:
	1. How new prescriptions/changes will be received from the prescriber
	2. How records, including medication administration records, will be updated to reflect new/changed prescriptions.
	3. Resolving inconsistencies between physical exam, assessment, and IP when identified.
17. Written protocol for psychiatric medication management. § 6400.165(f)
18. Medication administration record template that includes all requirements in § 6400.166(a)
19. Template for documentation of medication errors including all requirements in § 6400.167(b)
20. Assessment template that includes all requirements in § 6400.181(e)
21. Written individual plan process that includes all requirements in § 6400.184
22. Plan for the provision of home services that addresses all requirements in § 6400.188 that also include:
	1. Description of individuals applicant intends to support. (e.g. PICA, dual-diagnosis, medically-complex)
	2. Protection of all individual rights specified in 6400.31- § 6400.33
	3. If applicant intends to serve children, plan must include elements of § 6400.25(a)-(b).
23. Plan for the provision of recreational and social activities that address the requirements in § 6400.189 –§ 6400.190.
24. Restrictive Procedure Policy – § 6400.192
25. Plan for the establishment of a human rights team. § 6400.194
26. Template for behavioral support training documentation. § 6400.196
27. Template for emergency information documentation described in § 6400.211(b)
28. Template for individual records that includes all elements described in §6400.213
29. Plan for individual record storage as described in § 6400.214 and § 6400.216.
30. 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.]