

**STATE OF CONNECTICUT
DEPARTMENT OF MENTAL RETARDATION**

Procedure No: I.D.PR.007

Issue Date: March 5, 2003

Subject: Community Living Arrangement

Effective Date: March 5, 2003

Licensing Inspections

Section: Service Delivery, Quality Enhancement

A. Purpose

To provide information regarding the licensing inspection process conducted by the Division of Quality Assurance Licensing Unit.

B. Applicability

This procedure applies to Community Living Arrangements (CLA's) operated, licensed or certified by the Department of Mental Retardation

Definitions

Community living arrangement: means a residential facility in which the licensee provides residential services to 15 or fewer individuals with mental retardation.

Certification: means the authorization/approval by the Commissioner, in accordance with licensing standards, for the DMR operation of a residential setting.

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 or residence, including planning, staffing, managing and maintaining facilities.

Plan of correction: means a written document submitted by the administrator to the department specifying steps to be taken to correct regulatory deficiencies, persons responsible for these steps, and time frames for completion.

Provider: refers to public and private sector service providers

C. Implementation

1. Types of inspection:

- a. Initial inspection: conducted when a new home opens, prior to residents moving in
- b. Annual/Biennial inspection: conducted after residents have moved in
- c. Revisit inspection:
 - i) conducted within six months of the opening of a newly licensed home
 - ii) conducted at two CLA's monthly by each inspector to determine timely and accurate implementation of plans of correction.
- d. Monitoring inspection: conducted at the request of the DMR Commissioner or the Director of the Quality Assurance Division.

**STATE OF CONNECTICUT
DEPARTMENT OF MENTAL RETARDATION**

Licensing inspections may be announced or unannounced and may include an observational component.

2. Initial Licensing Inspection:

- a. DMR regional staff submits the “DMR Regional Request for Initial CLA Inspection” form to the Licensing Unit at least 10 working days prior to the anticipated inspection date.
- b. DMR regional staff completes the “readiness checklist” and “Home Safety Inspection Report” prior to the inspection date and submits these to the Licensing unit.
- c. DMR Central Office licensing staff and provider set up an initial licensing inspection date.
- d. An on site inspection is conducted and the licensing application is reviewed for completeness and accuracy.
- e. A summary of citations is issued if applicable and the provider submits an acceptable plan of correction.
- f. The residence is issued a License/Certificate (license = privately operated, certificate = publicly operated).
- g. A full licensing inspection is conducted within one year of the issuance of a new license.
- h. After the first full licensing inspection a determination of an annual or biennial inspection process is made and the provider is notified of such.

3. Annual/biennial licensing inspection:

- a. The licensee submits and application packet annually at least thirty days prior to the license/certificate anniversary date.
- b. A licensing inspection is conducted 30 to 60 days prior to the licensing renewal date.
- c. A determination of a 1 or 2 year inspection status is made at the end of the inspection and the provider is notified of this at that time. If dissatisfied with the determination of a one year inspection status judgment the provider may, within 15 working days of notification, file a request with the Director of Quality Assurance for an administrative review.
- d. A summary of citations is written within 15 working days of completion of the inspection; if applicable a letter explaining the rationale for a one-year inspection status is included.
- e. The provider responds with a plan of correction within 15 working days of receipt of the summary of citations.
- f. The licensing inspector reviews the plan of correction and if the plan of correction is acceptable, a letter of renewal is issued; if the plan of correction is not acceptable it is returned to the provider with an explanation of the unacceptability of the plan of correction; the provider must respond within 10

**STATE OF CONNECTICUT
DEPARTMENT OF MENTAL RETARDATION**

working days.

g. When an acceptable plan of correction has been submitted, a renewal letter will be issued.

h. If the renewal process has not been completed by the anniversary date, a letter will be sent to the provider explaining why the renewal letter cannot be issued and that renewal shall occur as soon as an acceptable plan of correction has been submitted.

4. Revisit Inspection:

a. Within six months of the opening of a new home the inspector will conduct a visit to the home to ensure that individuals living in the home are receiving services from staff trained in all the required areas and that fire safety evacuations are being conducted on a monthly basis and that the environment is safe and meets the needs of the individuals.

b. Each inspector conducts two unannounced revisit inspections monthly to ensure timely and accurate implementation of provider submitted plans of correction. If plans of correction are found not to have been implemented as written the inspector will issue a summary of citations outlining which citations have not been corrected and the process as outlined in the annual/biennial inspection process takes place.

5. Monitoring visit:

A monitoring visit is an unannounced inspection conducted at the request of the Commissioner of the Department of Mental Retardation or the Director of the Division of Quality Assurance. A monitoring visit occurs as the result of information obtained by the Department which indicates a potential violation of Licensing Regulations the nature of which raises concerns about the well being and safety of the individuals living in the CLA.

E. References

Licensing of Community Living Arrangements, Residential Schools and Habilitative Nursing Facilities, CGS Sec 17a-227-1 through 22

Approval Procedures for use of aversives, CGS Sec 17a-238-1 through 7

Administration of medication by certified unlicensed personnel, CGS

Sec 17a-210-1 through 8

F. Attachments

1. [DMR Regional request for initial CLA inspection](#)
2. [Regional readiness checklist](#)
3. [Home safety inspection report](#)
4. [Notification of a one year license inspection status](#)