

Group Homes for Individuals with a Developmental Disability Provider Orientation

Arizona Department of Health Services
Division of Licensing Services
Bureau of Special Licensing



ARIZONA DEPARTMENT
OF HEALTH SERVICES

Health and Wellness for all Arizonans

Goals & Objectives

- Goals:
 - To clarify the role of the Department,
 - To describe and clarify the licensing process,
 - To clarify the fire inspection process,
 - To clarify the complaint investigation process, and
- Objectives:
 - After this training you should be able to:
 - Identify the role of the Department,
 - Understand the licensing process,
 - Understand the fire inspection process, and
 - Understand the complaint investigation process.
 - After this training you should be able to:
 - Understand your role in each of these processes,
 - Be able to read a statement of deficiencies,
 - Be able to write an acceptable plan of correction.



Our Authority is found in Arizona Law

Arizona Revised Statutes (ARS) Title 36, Ch. 1, Article 2, §36-132(A)(21):

The department, in addition to other powers and duties vested in it by law, shall: . . .
License and regulate the health and safety of group homes for persons with developmental disabilities.

Arizona Administrative Code (AAC) Title 9, Chapter 33, Articles 1 &

2. These are commonly referred to as the “Licensing Rules”

Article 1 – Licensure Requirements

Article 2 – Group Home Requirements



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ADHS Mission Statement

*To promote, protect, and
improve the health and wellness
of individuals and communities
in Arizona*



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Our Mandates

Ensure the safety of the housing structure and environment,

Reduce the potential for hazardous conditions to exist, and

Ensure adequate emergency and disaster preparedness of the home.



Our Mandates

Provide timely service to providers, residents, and other stakeholders;

Provide resources and support to increase and ensure compliance;



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How Do We Carry Out Our Mandates?

Licensing/Fire Inspections

Complaint Investigations

Compliance Actions

Customer Service



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Initial Licensing

There are 6 steps to initially become a provider of Group Home services for persons with developmental disabilities.

5 of these 6 steps are processes of the Department of Economic Security, Division of Developmental Disabilities and it is the 5th step that is the licensing of the home by ADHS.



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The Inspection Process

Step 1:

We will call you to schedule the inspection

Step 2:

We “cross the threshold” showing our state ID and we both sign a Notice of Inspection Rights; which delineates your rights as our customer.



The Inspection Process

Be advised that on rare occasions, on-site inspections may have to be rescheduled to accommodate emergency investigations, surveyor illness, and problematic weather or road conditions.



WE APOLOGIZE IN ADVANCE FOR THIS EVENTUALITY AND ASK FOR YOUR PATIENCE & UNDERSTANDING!



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The Inspection Process

- *Step 3:*

- *We will inspect the house, grounds, garages, out buildings and sheds, if any.*
- *We encourage you to walk through this process with us.*

- *Step 4:*

We will inspect all vehicles that could potentially transport a resident.



The Inspection Process

6 -- Vehicle Safety -- R9-33-206		Total # of vehicles in use: _____	
1. # of passenger seats: _____	Plate #: _____	2. # of passenger seats: _____	Plate #: _____
3. # of passenger seats: _____	Plate #: _____	4. # of passenger seats: _____	Plate #: _____
A. All vehicles used to transport a resident: 1. Is maintained in safe and working order; 2. Has a record of each maintenance or repair that is available for review at the facility for two (2) years from the date of the repair; and 3. Is equipped with: a. A working heating and air conditioning system; b. A first aid kit that meets the requirements in R9-33-207(A)(8); c. Working seat belts for the driver and each passenger; and d. Floor mounted seat belts and wheel chair lock-down devices for each wheel chair passenger transported, if the vehicle is used to transport a passenger in a wheelchair. B. A licensee shall ensure that documentation of the requirements in subsection (A) is completed at least once every six months on a vehicle used to transport a resident and that the documentation is available for review at the facility for at least two years from the date of the vehicle inspection.		<input type="checkbox"/> In	<input type="checkbox"/> Vehicle(s) not available to determine compliance with (A)(3) <input type="checkbox"/> Out/Note:

We will inspect each vehicle

We will inspect service records of each vehicle

Licensing may be delayed if not all vehicles are available at the time of the inspection.



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The Inspection Process

Step 5:

We will conduct an exit interview at which time you will be told about any deficiencies identified.

We explain which deficiencies we are going to cite, and any recommendations we may otherwise have.

We will leave a receipt for the inspection.



Implications for our Processes

(Inspections/Investigations/Reports/Compliance Actions)

Inspections:

The Department will only be inspecting homes that have applied for initial licensure as directed/approved by DES/DDD.

The Department will perform Fire Inspections only in the context of licensure inspections.

Investigations:

The Department will conduct both announced and unannounced investigations as well as off-site “desktop” investigations (depending upon scope and severity of the allegations).

Reports:

The Department will provide to Licensees a formal written Statement of Deficiencies (SOD) when citing rule violations for which Licensees will provide to the Department a written Plan of Correction (POC) for each deficiency cited.



Implications for Our Processes

(Inspections/Investigations/Reports/Compliance Actions)

ADHS Staff will provide guidance to ensure you have considered options for complying with rules, ideally before incurring substantial expenses, in the spirit of reducing risks to the health and safety of residents.

The Department will make available to Licensees an Informal Dispute Resolution (IDR) process in which a Licensee may be dispute the validity or the scope and severity of a cited deficiency for reconsideration by Management Staff *(NOTE: the burden of proof lies with the Licensee and evidence of such must be submitted with the IDR request).*

Compliance Actions:

The Department may, however, exercise its authority to deny, revoke, or suspend a license where conditions are substantiated that pose an immediate jeopardy to the health and safety of residents or for repeated violations cited in subsequent SODs.

Compliance actions taken will automatically include immediate notification of such to DES/DDD.



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Implications for Your Processes

(Inspections/Investigations/Reports/Compliance Actions)

Inspections:

The Department encourages its Licensees to utilize the same inspection tool used by the Department at regular and frequent intervals to prevent rule violations BEFORE we inspect or investigate a complaint.

Regular and frequent inspections should include the ENTIRE premises (the house including secured rooms and spaces, garages, grounds, and out buildings/sheds).

The Department encourages its Licensees to utilize a person who is not a regularly scheduled staff member at a given group home to inspect.

Investigations:

To the extent possible, the Department encourages its Licensees to investigate any complaints received from BEFORE such complaints are brought to the Department for investigation.

Technical Assistance:

Licensees are encouraged to request technical assistance via telephone, email, and face-to-face meetings whenever you are uncertain about anything contained in a statute, rule, or SOD.




Statements of Deficiencies (SODs)

Inspections/Investigations:

The Department will always issue a licensing inspection checklist or Statement of Deficiencies (SOD) on every licensing inspection even when it finds no deficiencies (this is referred to as a “deficiency-free inspection report” or a “Statement of No Deficiencies”).



Statements of Deficiencies (SODs)

 ARIZONA DEPARTMENT OF HEALTH SERVICES		BUREAU OF SPECIAL LICENSING GROUP HOMES FOR THE DEVELOPMENTALLY DISABLED LICENSING	
LICENSING INSPECTION CHECKLIST			
Surveyor Name: [REDACTED]		Date & Time:	
Facility Name:		Facility Phone: - -	
Facility Address:		City/Zip:	
Company Name:		Company Phone: - -	
Company Address:		City/Zip:	
Facility Rep.:		Rep. Phone: - -	
<input type="checkbox"/> Initial Application <input type="checkbox"/> Renewal of license DDH <input type="checkbox"/> Complaint Invest./Date Rec'd.:			
Nationally Accredited: <input type="checkbox"/> NO <input type="checkbox"/> YES, by: _____ from: _____ to: _____			
<input type="checkbox"/> LEVEL I (R9-33-202.B - F) <input type="checkbox"/> LEVEL II (R9-33-202.B - G) <input type="checkbox"/> Fire Inspection Completed As Part Of Inspection			
ADHS HEALTH AND SAFETY STANDARDS/ITEMS OF INSPECTION (PURSUANT TO A.A.C. R9-33-201 TO 207)			
R9-33-201. Emergency Procedures and Evacuation Drills			
A. A licensee shall ensure that a written plan for emergencies:		<input type="checkbox"/> In	<input type="checkbox"/> Out/Note:
1. Is developed and implemented;			
2. Is available and accessible to staff and each resident at the facility;			
3. Contains procedures for responding to fire, emergency, severe weather conditions, and other disasters, including:			
a. Routes of evacuation, location of firefighting equipment, and evacuation devices identified on a floor plan of the facility;			
b. Instructions on the use of fire alarm systems, firefighting equipment, and evacuation devices;			
c. Procedures for evacuating each resident, including a resident who is not capable of self-preservation or who has a mobility, sensory, or other physical impairment; and			
d. Procedures for notifying an emergency response team, law enforcement, and the licensee or the licensee's designee; and			
4. Includes procedures for when a resident is missing from the premises.			
B. A licensee shall ensure that:		<input type="checkbox"/> In	<input type="checkbox"/> Out/Note:
1. The facility's street address is painted or posted against a contrasting background so that the group home's street address is visible from the street; or			
2. The local emergency response team, such as the local fire department, is notified of the location of the facility in writing at least once every 12 months. The licensee shall make the written notification available for review at the facility for at least two years from the date of the notification.			
C. A licensee shall ensure that:			

This inspection checklist represents the condition of the home ONLY on the date and time noted at the top of this form.
 ADHS 150 N. 18th Ave. Suite 410 Phoenix, AZ 85007 - Ph. (602) 364-2079 - Fax (602) 364-4769 Page 1 of 11

Plans of Correction (POC's)

Must Include the ORIGINAL, SIGNED Statement of Deficiency(SOD):

In which you may write out the elemental pieces of the POC,
or

USE the ADHS Plan of Corrections (POC) Template:

The Department prefers and encourages the use of the POC template for each deficiency cited.



Plan of Correction Template

Plan Of Correction (POC)

Licensee Name: _____

License Type: _____ License #: _____

Rule or Statute Citation: _____

Date Corrective Action Was Implemented: _____

Name and Title of the Person Responsible for Implementing this POC: _____

Plan To Correct the Deficient Practice On a TEMPORARY Basis: _____

Plan To Correct the Deficient Practice On a PERMANENT Basis: _____

Monitoring Methodology to Prevent A Reoccurrence: _____

(Please remember to attach a copy of the reminder mechanism such as a day planner entry or captured screen shots of an automated system)


I, the undersigned, attest that the above Plan of Correction has been implemented according to the date and details noted in the above delineated POC.

Signature of Licensee

Date Signed



Verification of Group Home Relocation



VERIFICATION OF GROUP HOME RELOCATION

The Department of Health Services has received notice pursuant to A.C.C. R9-33-106(A)(1) that you are changing location of the Group Home. The Department of Health Services will void your license for the Group Home. A new license will be issued upon a complete application and a compliant inspection.

GROUP HOME INFORMATION

Name:	License #:
Previous Street Address:	
City, State, Zip:	
*Date closing previous address:	

New Street Address:
City, State, Zip:

Comments:

Owner/Legal Representation Signature(s):

Print Name	Title
Signature	Date
Print Name	Title
Signature	Date



Emergency Preparedness



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What Happens During an Emergency?

- Hospitals and other Licensed Facilities communicate with the Health Emergency Operations Center (HEOC) Licensing section and County Health
- Plans are activated
 - Heat, Wildfire, Power Outage, Terrorist Attacks (foreign and domestic), Large Crowds and Pandemic Influenza



Approach

- Planning for every contingency
 - Work with Stakeholders
 - Other Government Agencies
 - ADEM, DES, ADOT, AHCCCS
 - Local Health Departments
 - Individual Facilities
 - Associations
 - Arizona Association of Providers for People with Disabilities



Priorities

- First Order of Business
 - Patient Safety
 - Staff Safety
 - Patient medications
 - Belongings
 - Charts



Facilities

- Can ADHS open?
 - Alternate location for emergency operations
- Can YOU open?
- How will this be communicated to partners and stakeholders
- Plan B goes into effect
 - COOP in most instances
- Information Technology (IT) Dependencies



The Recipient

- Access to transportation may become limited
 - May also will affect home visits
 - How will client receive service/equipment/care
- Ability of offices to open
 - Where to go?
 - Communications Communications and then some communications
- Information Technology (IT) Dependencies

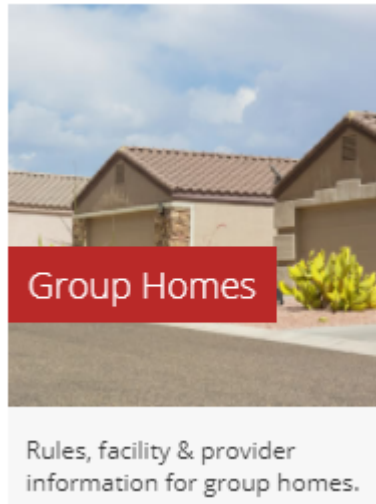


Considerations

- Discussions occur prior to an event
- Collaborative planning
 - May be a simple awareness
- Ensure there is a “Plan B” and maybe a “C”
- Representation in HEOC
 - Access to additional communications platforms
 - Ability to immediately address an issue



Contact Us



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