



**INTAKE, EVALUATION AND REFERRAL ACTIVITIES
LICENSING CHECKLIST (TELEHEALTH ONLY)**

FACILITY NAME: _____

NOTE: This checklist must accompany the application and if ***all information*** (items on checklist) is not submitted at the time of application, the application **will be rejected**.

CHECKLIST ITEMS:

- Completed Checklist** *(All applicable policies and procedures must be submitted with checklist)*
- Completed Application**
- A copy of the articles of incorporation, certificate of registration, certificate of incorporation, charter, certificate of organization, or other articles, statements or documents establishing the legal existence of the facility for the license/certificate of approval. This submission shall include applicable Pennsylvania Department of State filings and approvals. For foreign entities, provide a copy of the applicable Pennsylvania Department of State filings and approvals to conduct business in Pennsylvania. This should include legal documents from inception through the present.
- A copy of the by-laws, operating agreement, partnership agreement, or other rules adopted for the regulation or management of the facility for the license/certificate of approval, regardless of the name used to describe those rules.
- Ownership and Business Management Form and all required supporting documentation
- Photo identification for individuals who own 5% or more of the corporation
- Summary of project's purpose and philosophy directly related to drug and alcohol services
- Documentation of the project's organizational structure
- Proof of zoning approval *(approval letter from the township stating that Drug and Alcohol services are permitted)*
- CPR and First Aid *(If the location is in an office with more than one person)*
- Copy of proposed client consent to release information form
- Clinical, Medical *(if MA Billing)*, and support staff information form (if applicable)
- Project Director Information form and resume
- Facility Director Information form and resume (if applicable)

*****Please only submit the requested information. Any additional information will delay the application process.*****



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28 Pa. Code § 709.24. Treatment/Rehabilitation Management. (Submit Policy and Procedure)

- A written plan for the coordination of client treatment and rehabilitation services which includes, but is not limited to:
 - (1) Definition of the target population toward whom facility services are directed.
 - (2) Identification of the treatment models and practices utilized by the project.
 - (3) Written procedures for the management of treatment/rehabilitation services for clients.
 - (4) Written procedures for referral outlining cooperation with other service providers including, but not limited to, provisions for access to emergency services.

Name of document this information is found in: _____

Page Number(s): _____

28 Pa. Code § 709.26. Personnel Management. (Submit Policy and Procedure)

- Written project personnel policies and procedures in compliance with State and Federal employment laws. In addition, the written policies and procedures must specifically include, but are not limited to: *(N/A if a Sole Proprietor)*
 - (1) Utilization of volunteers.
 - (2) Rules of conduct.
 - (3) Supervision of staff.
 - (4) Orientation of new employees.

Name of document this information is found in: _____

Page Number(s): _____

- Written job descriptions for project positions.

Name of document this information is found in: _____

Page Number(s): _____



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28 Pa. Code § 709.28. Confidentiality. (Submit Policy and Procedure)

- A written procedure shall be developed by the project director which shall comply with 4 Pa. Code § 255.5 (relating to projects and coordinating bodies: disclosure of client-oriented information). The procedure must include, but not be limited to:
 - (1) Confidentiality of client identity and records. Procedures must include a description of how the project plans to address security and release of electronic and paper records and identification of the person responsible for maintenance of client records.
 - (2) Identification of project staff having access to records, and the methods by which staff gain access.

Name of document this information is found in: _____

Page Number(s): _____

28 Pa. Code § 709.30. Client Rights. (Submit Policy and Procedure)

- Written policies and procedures on client rights and document written acknowledgement by clients that they have been notified of those rights.

Name of document this information is found in: _____

Page Number(s): _____

28 Pa. Code § 709.34. Reporting of Unusual Incidents. (Submit Policy and Procedure)

- Written policies and procedures to respond to the following unusual incidents:
 - (1) Physical assault or sexual assault by staff or a client.
 - (2) Selling or use of illicit drugs on the premises.
 - (3) Death or serious injury due to trauma, suicide, medication error or unusual circumstances while in residential treatment or, when known by facility, for ambulatory services.
 - (4) Significant disruption of services due to disaster such as fire, storm, flood or other occurrence which closes the facility for more than 1 day.
 - (5) Theft, burglary, break-in or similar incident at the facility.
 - (6) Event at the facility requiring the presence of police, fire or ambulance personnel.



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- (7) Fire or structural damage to the facility.
- (8) Outbreak of a contagious disease requiring Centers for Disease Control (CDC) notification.

Name of document this information is found in: _____

Page Number(s): _____

28 Pa. Code § 709.42. Project Management. (Submit Policy and Procedure)

A written procedure for the performance of the following functions:

- (1) Orientation of the client to the drug or alcohol service delivery system, or both.
- (2) Thorough exploration of service needs and discussion with the client concerning service options to which he may be referred.
- (3) Development of a confidential history, including significant medical, social, drug and alcohol, occupational and family information.
- (4) Prompt arrangement for delivery of the requested services.

Name of document this information is found in: _____

Page Number(s): _____

A written procedure for the performance of the following functions:

- (1) Arrangement for the provisions of needed medical, functional, psychological, psychiatric, social or vocational diagnostic assessments.
- (2) Preparation of a preliminary treatment plan utilizing appropriate available service resources and listing the services to be provided. This plan shall be developed in cooperation with and agreed to by the intake project or treatment service provider and the client. The service plan shall also include referral to services not specifically for drug and alcohol clients; for example, legal services and dental services for which the client may be eligible.

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A written plan providing for outreach services which shall include, but not be limited to:

- (1) Identifying persons in need of project services.



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- (2) Alerting persons and their families to the availability of project services.
- (3) Encouraging persons to utilize the service delivery system.

Name of document this information is found in: _____

Page Number(s): _____

- Written procedures to be followed in psychiatric and medical emergencies.

Name of document this information is found in: _____

Page Number(s): _____

28 Pa. Code § 709.43. Client Management. (Submit Policy and Procedure)

- Written policies and procedures for communication with law-enforcement authorities, local or State health or welfare authorities, as appropriate, regarding clients whose condition or its cause is reportable; for example, persons having contagious diseases or victims of suspected criminal acts, such as rap or gunshot wounds, 18 Pa.C.S. § 5106 (relating to failure to report injuries by firearm or criminal act) and child abuse under the Child Protective Services Law (11 P.S. §§ 2201-2224).

Name of document this information is found in: _____

Page Number(s): _____

- Written policies and procedures to address special issues regarding treatment clients. These policies and procedures shall include, but are not limited to:
 - (1) Individuals who lose consciousness.
 - (2) Minors.
 - (3) Individuals with communicable disease.
 - (4) Individuals requiring transfer to a hospital or other treatment facility.
 - (5) Individuals requiring detoxification.

Name of document this information is found in: _____

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Continue to next page.



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TELEHEALTH ONLY LICENSES

You acknowledge that you are aware that you are exempt from the following regulations:

CHAPTER 705. PHYSICAL PLANT REGULATIONS

§ 705.21. General requirements for nonresidential facilities.

- (2) Have a certificate of occupancy from the Department of Labor and Industry or its local equivalent.

§ 705.22. Building exterior and grounds.

- (1) Maintain all structures, fences and playground equipment, when applicable, on the grounds of the facility so as to be free from any danger to health and safety.
- (2) Keep the grounds of the facility clean, safe, sanitary and in good repair at all times for the safety and well being of clients, employees and visitors. The exterior of the building and the building grounds or yard shall be free of hazards.
- (3) Keep exterior exits, stairs and walkways lighted at night if in use.
- (4) Store all trash, garbage and rubbish in noncombustible, covered containers that prevent the penetration of insects and rodents, and remove it at least once every week.

§ 705.23. Counseling or activity areas and office space.

- (1) Maintain space for both individual and group counseling sessions.
- (2) Maintain counseling areas with furnishings which are in good repair.

§ 705.24. Bathrooms.

- (1) Provide bathrooms to accommodate staff, clients and other users of the facility.
- (2) Provide a sink, a wall mirror, an operable soap dispenser, and either individual paper towels or a mechanical dryer in each bathroom.
- (3) Have hot and cold water under pressure. Hot water temperature may not exceed 120°F.
- (4) Provide privacy in toilets by doors.
- (5) Ventilate bathrooms by exhaust fan or window.
- (6) Provide toilet paper at each toilet at all times.
- (7) Maintain each bathroom in a functional, clean and sanitary manner at all times.



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§ 705.25. Food service.

A nonresidential facility may provide meals to clients through onsite food preparation areas, a central food preparation area or contractual arrangements with vendors or caterers. A nonresidential facility which operates an onsite food preparation area or a central food preparation area shall:

- (1) Have a food preparation area with a refrigerator, a sink, a stove, an oven and cabinet space for storage.
- (2) Clean and disinfect food preparation areas and appliances following each prepared meal.
- (3) Clean all eating, drinking and cooking utensils and all food preparation areas after each usage and store the utensils in a clean enclosed area.
- (4) Ensure that storage areas for foods are free of food particles, dust and dirt.
- (5) Keep cold food at or below 40°F, hot food at or above 140°F, and frozen food at or below 0°F.
- (6) Store all food items off the floor.
- (7) Prohibit pets in the food preparation area.
- (8) Prohibit smoking in food preparation areas.

§ 705.26. Heating and cooling.

- (1) Shall have a heating and cooling ventilation system that is adequate to maintain an indoor temperature of at least 65°F in the winter. When indoor temperatures exceed 90°F, mechanical ventilation such as fans or air conditioning shall be used.
- (2) May not permit in the facility heaters that are not permanently mounted or installed.

§ 705.27. General safety and emergency procedures.

- (1) Be free of rodent and insect infestation.
- (2) Require that pets which are housed in a nonresidential facility be cared for in a safe and sanitary manner.
- (3) Limit smoking to designated smoking areas.

§ 705.28. Fire safety.

- (a) *Exits.*
 - (1) The nonresidential facility shall:
 - (i) Ensure that stairways, hallways and exits from rooms and from the nonresidential facility are unobstructed.



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- (ii) Maintain a minimum of two exits on every floor, including the basement, that are separated by a minimum distance of 15 feet.
 - (iii) Maintain each ramp, interior stairway and outside steps exceeding two steps with a well-secured handrail and maintain each porch that has over an 18 inch drop with a well-secured railing.
 - (iv) Clearly indicate exits by the use of signs.
 - (v) Light interior exits and stairs at all times.
- (2) Portable ladders and rope escapes are not considered exits, but may be used in addition to standard exits.
- (b) *Smoke detectors and fire alarms.* The nonresidential facility shall:
- (1) Maintain a minimum of one operable automatic smoke detector on each floor, including the basement and attic.
 - (2) Place the smoke detector in a common area or hallway. All detection devices shall be interconnected.
 - (3) Repair inoperable smoke detectors or fire alarms within 48 hours of the time the detector or alarm is found to be inoperative.
 - (4) Maintain a manual fire alarm system that is audible throughout the facility.
 - (5) Maintain automatic smoke detectors and fire alarms of a type approved by the Department of Labor and Industry or by the Underwriters Laboratories.
- (c) *Fire extinguishers.* The nonresidential facility shall:
- (1) Maintain a portable fire extinguisher with a minimum of an ABC rating which shall be located on each floor. If there is more than 2,000 square feet of floor space on a floor, there shall be an additional fire extinguisher for each 2,000 square feet or fraction thereof.
 - (2) Maintain at least one portable fire extinguisher with a minimum of an ABC rating in each kitchen.
 - (i) This fire extinguisher shall meet the requirements of one portable fire extinguisher for a 2,000 square foot area.
 - (ii) The extinguisher shall be located near an exit and away from the cooking area.
 - (3) Ensure fire extinguishers are inspected and approved annually by the local fire department or fire extinguisher company. The date of the inspection shall be indicated on the extinguisher or inspection tag. If a fire extinguisher is found to be inoperable, it shall be replaced or repaired within 48 hours of the time it was found to be inoperable.
 - (4) Instruct staff in the use of the fire extinguisher upon staff employment. This instruction shall be documented by the facility.



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- (d) *Fire drills.* The nonresidential facility shall:
- (1) Conduct unannounced fire drills at least once a month.
 - (2) Conduct fire drills during normal staffing conditions.
 - (3) Ensure that all personnel on all shifts are trained to perform assigned tasks during emergencies.
 - (4) Maintain a written fire drill record including the date, item, the amount of time it took for evacuation, the exit route used, the number of persons in the facility at the time of the drill, problems encountered and whether the fire alarm or smoke detector was operative.
 - (5) Prepare alternate exit routes to be used during fire drills.
 - (6) Conduct fire drills on different days of the week, at different times of the day and on different staffing shifts.
 - (7) Set off a fire alarm or smoke detector during each fire drill.
 - (8) Prohibit the use of elevators during a fire drill or a fire.

§ 705.29. Child care.

When a nonresidential facility admits children for services or for custodial care, the following requirements apply:

- (1) *Building exterior and grounds.* The nonresidential facility shall:
 - (i) Fence off or have natural barriers to protect children from all areas determined to be unsafe including steep grades, open pits, swimming pools, high voltage boosters or roads.
 - (ii) Provide access to outdoor recreational space and recreational equipment.
- (2) *Interior space.* The nonresidential facility shall:
 - (i) Provide an interior play area which meets the developmental and recreational needs of the children in care.
 - (ii) Maintain security screens or safety locks for all operable windows.
 - (iii) Maintain protective caps over each electrical outlet.
 - (iv) Secure all hazardous and poisonous substances and materials with safety latches or locks.



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**CHAPTER 704. STAFFING REQUIREMENTS FOR DRUG AND ALCOHOL
TREATMENT ACTIVITIES**

§ 704.3. General requirements for projects.

- (c) Clerical and other support staff shall be employed in sufficient numbers to insure efficient and safe operation of all of the services provided by the project.

**CHAPTER 709. STANDARDS FOR LICENSURE OF FREESTANDING
TREATMENT FACILITIES**

§ 709.32. Medication control.

- (a) Projects furnishing pharmaceutical services shall present a license from the Department of Health's Board of Examiners or the Department of State's State Board of Pharmacy and a DEA registration to Department employees. Other notices of review or inspection, or both, shall be made available upon request.
- (b) Verbal orders for medication can be given only by a physician or other medical professional authorized by State and Federal law to prescribe medication and verbal orders may be received only by another physician or medical professional authorized by State and Federal law to receive verbal orders. When a verbal or telephone order is given, it has to be authenticated in writing by a physician or other medical professional authorized by State and Federal law to prescribe medication. In detoxification levels of care, written authentication shall occur no later than 24 hours from the time the order was given. Otherwise, written authentication shall occur within 3 business days from the time the order was given.
- (c) The project shall have and implement a written policy and procedures regarding all medications used by clients which shall include, but not be limited to:
 - (1) Administration of medication, including the documentation of the administration of medication:
 - (i) By individuals permitted to administer by Pennsylvania law.
 - (ii) When self administered by the client.
 - (2) Drug storage areas including, but not limited to, the secure storage of controlled substances and other abusable drugs in accordance with State and Federal regulations and program requirements.
 - (3) Inspection of storage areas that ensures compliance with State and Federal laws and program policy. The policy must include, but not be limited to:



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- (i) What is to be verified through the inspection, who inspects, how often, but not less than quarterly, and in what manner it is to be recorded.
 - (ii) Disinfectants and drugs for external use are stored separately from oral and injectable drugs.
 - (iii) Drugs requiring special conditions for storage to insure stability are properly stored.
 - (iv) Outdated drugs are removed.
 - (v) Copies of drug-related regulations are available in appropriate areas.
- (4) Methods for control and accountability of drugs, including, but not limited to:
- (i) Who is authorized to remove drug.
 - (ii) The program’s system for recording drugs, which includes the name of the drug, the dosage, the staff person, the time and the date.
- (5) Security of drugs, including, but not limited to, the loss, theft or misuse of drugs.
- (6) Medication errors and drug reactions shall be recorded in the client record. This may be the medical record if a separate medical record is maintained for all clients.

Please note it is the responsibility of the applicant to review ALL regulations pertaining to the activities they are applying to provide.

I (the applicant) acknowledge that my signature is verification that I have completed this checklist truthfully and accurately, and I understand that my statements herein are made subject to the penalties of 18 Pa.C.S.§4904 (relating to unsworn falsification to authorities).

APPLICANT PRINT NAME

APPLICANT SIGNATURE

DATE