

Common Licensing Deficiencies, 2005

State law and licensing regulations require that any persons, partnerships, corporations, or other legal entities that intend to provide drug and alcohol treatment services (for which there are regulations) shall apply for a license from the Department. A license to operate the facility will be issued when, after an on-site inspection by an authorized representative of the Department, it has been determined that the requirements for licensure have been met.

Subsequent on-site inspections will occur minimally once per year. During these on-site inspections, compliance with the applicable licensing regulation is determined. For any non-compliance identified, the facility is required to submit a plan of corrective action.

Below is a list of the ten most common citations from on-site licensing inspections conducted during calendar year 2005:

<u>Regulation</u>	<u>Number of Citations</u>
• Psychosocial evaluation (This evaluation should provide a composite picture of the individual in relationship to the collected historical information in order to identify possible relationships, conditions and causes leading to the client's current situation.)	243
• Confidentiality – identification of specific information disclosed (The project shall obtain an informed and voluntary consent from the client for the disclosure of information contained in the client record. This written consent shall include the identification of specific information disclosed.)	223
• Treatment plan review and update (The treatment plan should include an assessment of the client's progress in relationship to the stated goals of the comprehensive treatment plan and should be reviewed and updated on a regular basis.)	207
• Confidentiality – the name of the person, agency or organization to whom disclosure is made (The project shall obtain an informed and voluntary consent from the client for the disclosure of information contained in the client record. This written consent shall include the name of the person, agency or organization to which the disclosure is made.)	159
• Follow-up information (There shall be a complete client record on an individual which includes information relative to the client's involvement with the project. Follow-up should occur when a client has been discharged and referred to an outside resource.)	113

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- Discharge summary (There shall be a complete client record on an individual which includes information relative to the client's involvement with the project. Following discharge, an entry should be made in the client record summarizing the reason for treatment, services offered, the response to treatment and the client's status or condition upon discharge.) 109
- Mandatory minimum hours of training for HIV/AIDS, TB and STD (Staff persons and volunteers shall receive a minimum of six hours of HIV/AIDS and at least four hours of TB, STD and other health related topics training using a Department approved curriculum.) 107
- Drug and alcohol history (A history documenting the substances most frequently abused, the length and patterns of use, and prior treatment episodes should be collected during the intake and admission process.) 96
- Alternate exit routes used during fire drills (Exit routes used during fire drills need to be documented in the fire drill record.) 95
- Type and frequency of treatment (An individual treatment plan shall be developed with the client and shall include written documentation of the type and frequency of treatment which is to occur.) 87