

Procedures for Self-Inspection to Increase Maximum Capacity in an Existing Licensed Facility

February 15, 2013

Applicability

These procedures apply to human services providers licensed pursuant to the following:

- Chapter 2380 (adult training facilities)
- Chapter 2390 (vocational facilities)
- Chapter 2600 (personal care homes)
- Chapter 2800 (assisted living residences)
- Chapter 6400 (community homes for people with intellectual disabilities)
- Chapter 6500 (family living home agencies)

Introduction

The "maximum capacity" is the total number of persons who may be served by a licensed provider. Maximum capacity is determined by physical site requirements such as square footage and the number of available sinks and toilet areas. Effective February 1, 2013, a provider who wishes to increase the maximum capacity of its facility may self-inspect the facility in lieu of an inspection conducted by the Department of Public Welfare (Department).

Eligibility

In order to be eligible for self-inspection, the provider must be on regular license status (i.e., not on a provisional license or operating pending appeal). The Department will **deny** any requests to increase maximum capacity from a provider that is not on regular license status. Please note that this does not apply to providers with regular licenses that have expired due to the Department's delay in conducting an inspection or processing inspection results. Providers that are applying for initial licensure – that is, facilities that are not currently licensed - may **not** self-inspect for any reason.

Personal care homes with a current maximum capacity of 8 or fewer **may not** self-inspect to increase capacity to 9 or above.

Personal care homes **may not** self-inspect new or expanded secure dementia care units.

Assisted living residences **may not** self-inspect new or expanded special care units.

Processes

The processes for self-inspection differ based on the type of license held by a provider.

- To increase the maximum capacity of an **adult training facility, vocational facility, personal care home, or assisted living residence**, please see the procedures at **Attachment A**.
- To increase the maximum capacity of a **community or family living home**, please see the procedures at **Attachment B**. Note that these procedures do not apply to self-inspection of new sites under an existing 6400 or 6500 license. These procedures apply when a provider wishes to increase the licensed capacity of a setting that is already included on the license.

Notice of Potential Enforcement

Providers are advised that knowingly providing inaccurate information via the self-inspection process may lead to enforcement action up to and including revocation of the provider's license to operate the facility.

Contact Information

For questions or concerns about the self-inspection process, please contact the Department's Operator Support Hotline at 1-866-503-3926, or via electronic mail at Ra-pwarlheadquarters@pa.gov.

Attachment A
**Increasing the Maximum Capacity at an Adult Training Facility, Vocational Facility,
Personal Care Home, or Assisted Living Residence**

1. The provider submits an application to increase capacity in accordance with the procedures set forth at <http://www.dhs.pa.gov/provider/longtermcareservices/applicationforpersonalcarehomelicense/index.htm> or via the Certification and Licensing System (CLS).
2. The provider self-inspects the new home using the appropriate *Self-Inspection and Declaration Tool*.
 - a. If violations are found via the self-inspection process, the provider will complete a plan of correction and verify compliance with the plan.
 - b. If no violations are found, the provider will circle "Not Applicable – No Violation" as indicated on the tool.
3. The provider submits the completed *Self-Inspection and Declaration Tool* and a valid certificate of occupancy or a statement from the appropriate local building authority to:

Traditional mail:

Bureau of Human Services Licensing
625 Forster Street, Room 631
Harrisburg, Pennsylvania 17120

Electronic mail:

Ra-pwarlheadquarters@pa.gov

4. Upon receipt of the above documents, the Department will verify that the *Self-Inspection and Declaration Tool* is properly completed and that the certificate of occupancy documents are valid.
 - a. If the *Self-Inspection and Declaration Tool* is improperly completed, or if the certificate of occupancy documents are invalid, the Department will contact the provider and request that accurate documents be submitted.
5. Once the submitted documents are verified as valid and accurate, the Department will process an addendum to the current license and transmit it to the provider and the appropriate regional office.

Attachment B
Increasing the Maximum Capacity at a Community or Family Living Home

1. The provider submits an application to increase capacity in accordance with the procedures set forth at <http://www.dhs.pa.gov/provider/longtermcareservices/applicationforpersonalcarehomelicense/index.htm> or via the Certification and Licensing System (CLS).
2. The provider self-inspects the new home using the appropriate *Self-Inspection and Declaration Tool*.
 - a. If violations are found via the self-inspection process, the provider will complete a plan of correction and verify compliance with the plan.
 - b. If no violations are found, the provider will circle "Not Applicable – No Violation" as indicated on the tool.
3. The provider submits the completed *Self-Inspection and Declaration Tool* and a valid certificate of occupancy or a statement from the appropriate local building authority to:

Traditional mail:

Bureau of Human Services Licensing
625 Forster Street, Room 631
Harrisburg, Pennsylvania 17120

Electronic mail:

Ra-pwarlheadquarters@pa.gov

4. Upon receipt of the above documents, the Department will verify that the *Self-Inspection and Declaration Tool* is properly completed and that the certificate of occupancy documents are valid.
 - a. If the *Self-Inspection and Declaration Tool* is improperly completed, or if the certificate of occupancy documents are invalid, the Department will contact the provider and request that accurate documents be submitted.
5. Once the submitted documents are verified as valid and accurate, the Department will process an modification to the current license and transmit it to the provider and the appropriate regional office.
6. Once the revised license is issued, the agency contacts the regional waiver capacity manager to establish the revised Approved Program Capacity (APC).