

**STATE OF CONNECTICUT  
DEPARTMENT OF MENTAL RETARDATION**

**Procedure No:** I.D.PR.008  
**Subject:** Community Training Home Licensing  
**Section:** Quality Enhancement

**Issue Date:** March 31, 2005  
**Effective Date:** Upon release

**A. Purpose**

This procedure describes the process for inspection and licensing of community training homes (CTH).

**B. Applicability**

This procedure shall apply to the licensure of all community training homes.

**C. Definitions**

Community Training Home (CTH): means a private family home in which three or fewer adults or children with mental retardation or autism reside and which is licensed pursuant to Section 17a-227 CGS. For children, the CTH provides a substitute family for those who cannot live with their own families or for whom adoption is not immediately possible. For adults, the CTH provides a nurturing home environment where adults can share responsibilities, develop mutual relationships, be independent and make their own choices.

DMR CTH Coordinator: refers to the DMR's supervisory staff having direct responsibility or oversight of the licensing process within the region's CTH Program.

License: means written authorization issued by the commissioner to operate a community training home for a period of up to one year. Licensure may be continued through compliance with an annual renewal process.

Licensee: means the person who is authorized by the commissioner to maintain a community training home and is responsible to the Department of Mental Retardation for complying with the provision of the CTH regulations.

Statement of Deficiencies (SOD): means a report compiled within 15 working days from an inspection by the DMR Licensing and Certification Unit which outlines areas of non-compliance with Licensing regulations (section 17a-227 –23 through-30)

Plan of Correction (POC): means a written document completed by the licensee with regional office assistance as necessary and submitted to the DMR Licensing and Certification Unit-Director of Quality Assurance within 15 working days of receipt of the SOD specifying steps to be taken to correct regulatory deficiencies, person(s) responsible for these steps and time frames for completion.

**D. Implementation**

**1. Initial Licensure**

**a. Application**

The DMR regional office shall compile an initial application packet, which includes the application itself and other materials as required by the CTH licensing regulations and/or as described in the CTH Licensing Training Manual. The application

and related materials shall adhere to the timeframe guidelines set forth either in regulation and/or in the manual. In cases where the DMR has contracted with a private agency to complete the application process, the regional DMR CTH Coordinator shall review the application packet to ensure that it is complete and timely. The CTH Coordinator shall then forward the application packet, along with a completed DMR CTH Initial Licensure Checklist and a Request for CTH Licensure cover memo, to the CTH Licensing Unit in the DMR Central Office. The supervisor of that unit will assign an inspector to review the packet and if the packet is complete the inspector will schedule the initial licensing inspection within ten (10) days, if possible, but within no longer than 30 days.

**b. Inspection**

The licensing inspector shall conduct an on-site inspection of the CTH applicant's home. Using the initial standards portion of the Licensure of Community Training Homes for Persons with Mental Retardation and/or Autism Survey Booklet and the Fire Safety Inspection Report, the inspector shall determine compliance with the initial licensing standards. Should the extent of non-compliance with regulation be so great that the inspector feels that it may preclude the issuance of a license, the inspector may discontinue the inspection. Otherwise, the inspector shall write a statement of deficiencies indicating which, if any, standards were not met and why. The applicant shall then write a plan of correction addressing those deficiencies. If the plan of correction is acceptable (see below), the Commissioner shall issue a license indicating the type (adult and/or child) and the capacity of the home. If any deficiencies are noted which could materially affect the health or safety of an individual placed in the home, the license shall not be issued until there has been verification that the deficiency has been corrected.

**c. Licensure of an existing licensee who has moved**

When an existing licensee moves, a new application must be filed and a new license issued. The region may choose to request a waiver for much of the documentation that would be required for a normal initial licensing packet (the items which may be waived are indicated on the DMR CTH Initial Licensure Checklist). When the application and the Request for CTH Licensure cover memo have been received, the inspector will schedule the inspection. The inspector will write a statement of deficiencies and will get a plan of correction on site from the licensee. If the licensee has already moved or will be moving prior to all the deficiencies having been corrected, and if there are individuals placed by the department living in the home, a new license will be issued in provisional status (see below) until verification of correction of all deficiencies has been received.

**2. Annual Renewal**

**a. Application**

At least 45 days prior to the annual expiration date of each license, The CTH licensing unit supervisor will mail the Summary Application for Renewal (SAR) and a release form for police record checks to the licensee. The supervisor will also mail the SAR Regional Attachment to the regional CTH Coordinator. When the regional CTH Coordinator has received the completed SAR and release form from the licensee he or she will forward the release form to the state and local (if applicable) police. The Coordinator will forward the SAR, along with the completed regional attachment, to the CTH Licensing Unit. When the completed police check has been received by the region, it will

also be forwarded to the licensing unit.

**b. Inspection**

The licensing inspector will, if possible, schedule the annual licensing inspection with the licensee at a mutually agreeable date and time during or prior to the month of expiration of the license. The inspection will occur at the CTH and, using the Survey Book and the Fire Safety Inspection Report, will evaluate compliance with the CTH licensing regulations. The inspection will consist, at the minimum, of a walk-through of the premises, a review of documentation and interview with the licensee. Observations of interactions between the licensee and individuals placed in the home, and/or interviews with those individuals or others (such as support staff) may also be part of the inspection process. Based on the findings of the licensing inspection, the inspector will write a statement of deficiencies (if any were found) indicating which regulations were not met and the reason for that finding; the statement of deficiencies will then be sent to the licensee.

**c. Plan of Correction**

The licensee, with assistance from the region as necessary, shall write a plan of correction for any deficiencies found at the inspection. In order to be acceptable, the plan of correction should, for each deficiency, provide the following information:

- An outline of a **simple system** to prevent the problem from recurring
- The title of the **person responsible** for monitoring and/or implementing the plan
- **Correction** of the individual example of how the regulation was not met
- The **date** of completion.

The licensee and anyone who assists in the writing of the plan shall sign the plan of correction.

The plan shall be returned to the Director of Quality Assurance within 15 working days of receipt of the statement of deficiencies. The licensing inspector will review the plan to determine if it is acceptable. If it is not, the inspector will contact the licensee by telephone to make necessary amendments to the plan. If the plan is incomplete or in need of major revision before it can be accepted, the inspector will return the plan to the regional CTH coordinator, who together with the licensee will complete the plan. When an acceptable plan of correction has been received, a copy of it will be sent to the licensee with a cover letter indicating either renewal of the license or the reason for the license's being held in provisional status (see below)

**3. Provisional Status**

A license will be placed in provisional status when:

- a. 30 days have elapsed past the annual expiration date of the license and the renewal process is not complete. (Completion of the process may, at the discretion of the Director of the Quality Assurance Division, include verification that all or part of a plan of correction has been implemented.)
- b. An existing licensee (with whom individuals placed by the department are living) has moved and a new license has been issued, but verification that all deficiencies have been corrected has not yet been received.

**4. Revisit Inspections**

Within six months of initial licensure, the inspector assigned to the home will contact the licensee and/or the CTH Coordinator to determine if the department has placed an individual

in that home. If an individual has been placed, the inspector will schedule and conduct an inspection in the same manner as for an annual renewal. The statement of deficiencies/plan of correction process will also occur as described above under annual renewal.

A revisit inspection may also be conducted at any time as a follow-up to an annual inspection to determine if a plan of correction has been implemented.

**E. References**

1. Statutes:  
CGS Section 17a-227
  
2. Rules, Regulations and Policy or Instructions – DMR  
DMR CTH Regulations 17a-227-23 through 30  
Licensure of Community Training Homes for Persons with Mental Retardation and/or Autism Survey Booklet  
CTH Licensing Training Manual  
Fire Safety Inspection report

**F. Attachments:**

1. Attachment A: CTH Initial Licensure Checklist
2. Attachment B: Request for CTH Licensure cover memo
3. Attachment C: Summary Application for Renewal (SAR)
4. Attachment D: Police Check