



Virginia Department of
Behavioral Health &
Developmental Services

DBHDS Office of Licensing Applicant Training

***A Guide to Success in the
Application Process***

February 2022

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Virginia Department of Behavioral
Health and Developmental Services

Do Your Research

- Is the service you plan to provide **needed**?
- Is the area you are wanting to provide the service **saturated**?



Do Your Research

- Is there **funding** for your service?



- Are there **qualified staff** in your area?



Develop a Business Plan

- What is your **mission**?



- Develop your **Service Description**

Review the application to determine which service you would apply for, based on the licenses available. Include the details of the service you plan to provide.



Developing a Business Plan

- **Prepare a Competitive Analysis:**



- **Assess** your direct/indirect competitors in the market

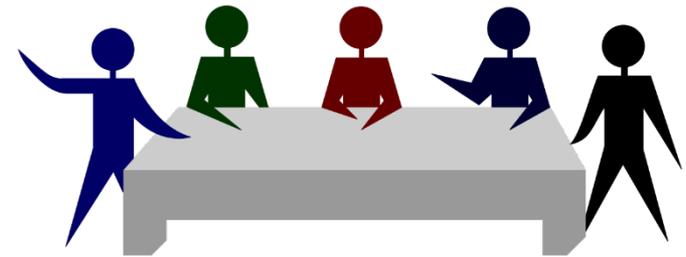
- What unique qualities make your business **stand out** from the competition?

- How will you overcome any **barriers** to entry in your chosen market?



Develop a Business Plan

- Develop an **ownership and management plan**.
 - Outline your business's legal structure and management resources
 - ✓ Internal management team
 - ✓ External management team
 - ✓ Human resources needs



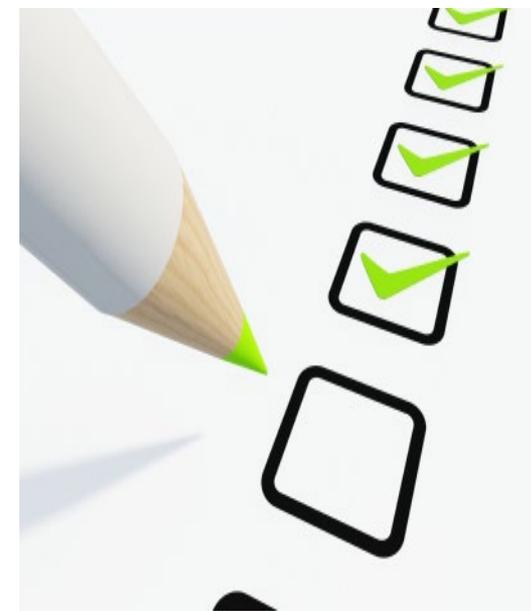
	LLC	SC	Partnership	Private Enterprise
Securities	X	✓	X	X
Capital	Must contribute accordingly	Divided into equal portions (shares)	Must contribute accordingly	Must register capital
Owners	One or multi member	Owners must be shareholders	At least 2 members (co-owners)	One individual

Ownership Differences



Develop a Business Plan

- Develop an **operating plan** (detailed information about how your business will be run)
 - Physical location needs
 - Description of facilities and equipment
 - Types of employees needed
 - Inventory requirements
 - Suppliers
 - Any other applicable operating details that pertain to your precise type of business



Develop a Budget

- Financial Plan
 - Develop a **budget** to include all of your operating costs related to your business



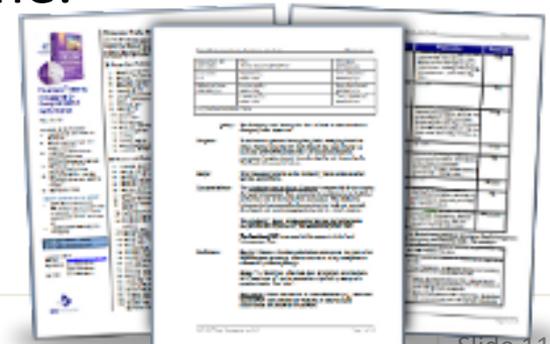
Preparing for Licensure

- Until you are confident that you are near the end of the licensing process, please **delay**:
 - Buying a home for a service;
 - Renting office space (this does not apply to MAT applicants);
 - Buying insurance; &
 - Hiring staff.
- However, you should be collecting and submitting resumes for prospective staff, identifying potential property locations and getting insurance quotes because these items will be required during the on-site inspection.
- **Note: The Office of Licensing will not expedite the review of an application due to expenditures on the abovementioned items.**

Six Phases of the Application Process

PHASE ONE:

- 1. New applicants will submit the following information via the CONNECT provider portal:
 - ✓ A **completed** Licensing Application with the required attachments; AND
 - ✓ The Licensing Policies and Procedures (P & Ps) including **all required forms**.
- The completed application is placed on the waiting list. The waiting list can be viewed on the DBHDS website and on the CONNECT Provider Portal Dashboard at any time.



Six Phases of the Application Process

PHASE TWO:

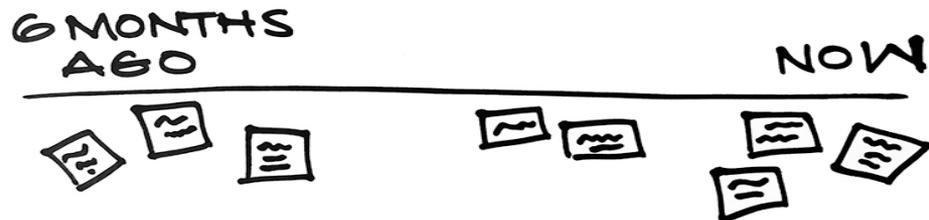
- 1. A Policy Review Specialist will **review** the application, attachments, policies and procedures to determine compliance with the Licensing Regulations.
- 2. If the submitted documentation requires revisions, the Policy Review Specialist will **send a letter**, via the portal, to the provider citing the necessary revisions.
- 3. Receiving a letter from the Policy Review Specialist will signify to the applicant that their application has **been removed from the waiting list** and reviewed for the first time.



Six Phases of the Application Process

PHASE TWO CONTINUED:

- 4. Applicant makes all required corrections and submits the updated policies and procedures to the Policy Review Specialist through the CONNECT Provider Portal.
- 5. Revisions must be received within **six months** from the date on the last revision letter.
- **Please note:** Applicants that do not provide revisions within six months of a request for revisions **will be closed for review**. All future interest in receiving a DBHDS license will require the submission of a new application, policies and procedures, which will be placed on the **waiting list**.



Six Phases of the Application Process

PHASE TWO CONTINUED:

- 6. This process will continue until the Policy Review Specialist determines that the reviewed policies, procedures, and attachments are in compliance with the Licensing Regulations.
 - ✓ *To expedite the licensing process, the focus of the review by the Policy Review Specialist will be on **specific, identified policies**. However, the applicant still is **required to complete and submit ALL policies** in order for their application to be deemed complete. The licensing specialist will determine the final approval of the policies and procedures as part of their onsite review.*



Six Phases of the Application Process

PHASE THREE:

- 1. The Policy Review Specialist will confirm preliminary approval of the licensing application and will send the applicant the on-site inspection preparation checklist through the DBHDS CONNECT Provider Portal.

On-Site Review Preparation Checklist

*An on-site inspection **will not** be conducted, and a conditional license will not be issued until the applicant submits the completed "On-Site Preparation Checklist" to the assigned Licensing Specialist. In addition, the Licensing Specialist may need to request additional documentation from the applicant prior to the on-site inspection in order to assess the applicant's compliance with the Licensing Regulations. Please also note that at the time of the on-site inspection, the applicant should be proficient in and able to answer questions related to their service description, policies, and procedures.*

Provider Name: Click or tap here to enter text.

Organization Number: Click or tap here to enter text.

Item #	Requirement	Regulation	Date Completed	Applicant Initials
1	*Staffing Schedule: including staff names, titles/credentials, all required training, and enough oriented staff to begin service operation (including relief staff)	12VAC35-105-40(B)(1) & 590		
2	*Documentation reflecting applicable work experience and education for staff	12VAC35-105-40(B)(2)		
3	Staff training completed in CPR, First Aid, Behavior Intervention, Serious Incident Reporting, Emergency Preparedness and Infection Control, and Medication Management, if applicable	12VAC35-105-450 & 460		
4	Criminal background checks and Central Registry (VDSS) searches must be initiated for all staff that will begin work	12VAC35-105-400		

- 2. During this time, the applicant will contact the DBHDS Background Investigation Unit and register with Fieldprint to initiate the **Criminal Background Check** process.

Six Phases of the Application Process

PHASE THREE CONTINUED:

- 3. The applicant will also contact the Virginia Department of Social Services to complete the **Central Registry Check** process.
- 4. The applicant must develop policies that are in compliance with *The Rules and Regulations to Assure the Rights of Individuals Receiving Services from Providers Licensed, Funded or Operated by the Department of Department of Behavioral Health and Developmental Services*. Then the applicant must submit the “human rights compliance verification checklist” to Human Rights at OHRpolicy@dbhds.virginia.gov.



Six Phases of the Application Process

PHASE THREE CONTINUED:

- 5. The applicant is required to complete all items in the Additional Application Requirements section for the application and submit the completed on-site inspection preparation checklist to the Policy Review Specialist through the DBHDS CONNECT Provider Portal within six months from the date the on-site inspection preparation checklist was sent to the applicant.
- 6. Once the applicant has completed all items on the DBHDS CONNECT Provider Portal and the on-site inspection preparation checklist, they will need to submit the completed checklist to the Policy Review Specialist through the DBHDS CONNECT Provider Portal.

Six Phases of the Application Process

PHASE FOUR:

- 1. Once the Policy Review Specialist determines that the reviewed onsite inspection checklist and attachments are **complete and in compliance** with the Licensing Regulations, the Policy Review Specialist will **assign the applicant to a Licensing Specialist**.
- 2. The applicant is required to contact the Licensing Specialist for an on-site review within **six months** of the date on the letter assigning the applicant to a Licensing Specialist. If the applicant fails to contact the licensing specialist, within **six months** of being assigned to a Licensing Specialist, the provider's application will be closed.



Six Phases of the Application Process

PHASE FOUR CONTINUED:

- 3. During the on-site inspection, the Licensing Specialist will review the physical facility or administrative office and conduct knowledge based interviews with the Service Director, CEO, licensed staff, etc. to determine if the staff has a working knowledge of the service.
- 4. The Licensing Specialist will give the final approval for the policies and procedures as part of the on-site inspection.
- 5. Once the on-site inspection is completed, the Licensing Specialist will make a licensing recommendation to the Office of Licensing management staff for review, who then, will forward the recommendation to the DBHDS Commissioner for the final approval.



Six Phases of the Application Process

PHASE FIVE:

- While the applicant is waiting for licensure approval from the DBHDS Commissioner, the applicant may request a **Pending Letter** from the specialist. The Licensing Specialist will initiate the pending letter and will submit it to the applicant. The Pending Letter will serve as the **authorized license** until the finalized license is received.
- Medicaid can be notified via the Pending Letter, so the new provider may begin providing services, if the provider is providing Medicaid reimbursable services.



Virginia Medicaid

Department of Medical Assistance Services

Six Phases of the Application Process

PHASE SIX:

- For those working through the CONNECT portal, the license will be printed from the portal.



Policies and Procedures

WHAT ARE ACCEPTABLE POLICIES AND PROCEDURES?

- Applicants should carefully read the regulations to determine when a written policy or procedure is required. A written policy is required when the regulation calls for a “policy” and a written procedure is required when the regulation calls for a “procedure.”
 - **“Policy”** defines what the plan or guiding principle of the organization is, as related to the required regulation.
 - **“Procedures”** are the process (or steps) the applicant takes to ensure the policy is carried out. Procedures should answer the questions of who, where and how a policy will be implemented.



Policies and Procedures

- Policies and procedures are not the re-statement of a regulation. When submitted policies are a re-statement of DBHDS or DMAS regulations, they will not be accepted.
- Applicants may also need to develop other policies to guide the delivery of services even when not required by the regulations.
- All copies of service descriptions, policies, procedures and forms should have a footer or header noting the date they were developed (or revised) and page numbers.
- Example:

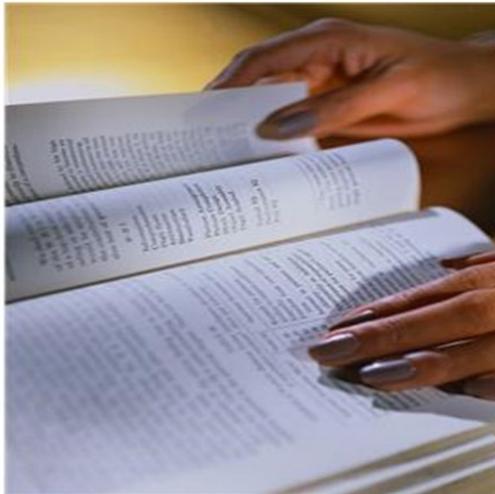
<i>Area:</i>	<i>Policy:</i> 12 VAC 35-105-390	<i>Page 1 of 2 pages</i>
<i>Title: Confidentiality and Security of Personnel Records</i>	<i>Issued:</i>	<i>Revised:</i>

Policy:

Additional Resources

- Additional information and resources available in the 2022 New Applicant Licensing Resources Packet available on the [Office of Licensing Website](#).

2022 New Applicant Licensing Resources



Department of Behavioral Health and Developmental Services
Office of Licensing
1220 Bank Street
Richmond, VA 23219
(804) 786 -1747

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Additional Resources

- [Licensing Regulations \(12VAC35-105\)](#)
- [Children's Residential Regulations \(12VAC35-46\)](#)
- Emergency Regulations in Effect:
 - [Amendments to align with ASAM criteria in children's residential facilities;](#)
 - [Amendments to align with ASAM criteria;](#) and
 - [Amendments to align with enhanced behavioral health services.](#)
- [Guidance Documents](#)

LIC 15	Guidance for Counseling in Medication Assisted/Opioid Treatment (MAT/OTP) Services	3/1/2018	
LIC 16	Guidance for Quality Improvement Plan	11/28/2020	
LIC 17	Guidance for Serious Incident Reporting	11/28/2020	
LIC 18	Individuals with Developmental Disabilities with High Risk Health Conditions	6/1/2020	
LIC 19	Corrective Action Plans (CAPs)	8/22/2020	
LIC 20	Incident Reporting	8/22/2020	
LIC 21	Guidance for Risk Management	8/27/2020	

Additional Resources

- [Office of Licensing Website](#)

An Agency of the Commonwealth of Virginia Virginia.gov Find an Agency

EMERGENCY ALERTS | Learn more about DBHDS Coronavirus - COVID-19 updates, resources and FAQs

Virginia Department of Behavioral Health & Developmental Services

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Office of Licensing

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! The CONNECT link for new applicants will be posted on the Office of Licensing website in the upcoming weeks. The link will allow initial applicants the opportunity to create a CONNECT login and submit their application. Please check back for updates.

OUR MISSION: To be the regulatory authority for DBHDS licensed service delivery system through effective oversight.

OUR VISION: The Office of Licensing will provide consistent, responsive, and reliable regulatory oversight to DBHDS licensed providers by supporting high quality services to meet the diverse needs of its clients.

Questions?

- For questions about the DBHDS initial application process, please email licensingadminsupport@dbhds.virginia.gov.

