

MEMORANDUM

Department of Aging and Disability Services Regulatory Services Policy * Survey and Certification Clarification

TO: Regulatory Services
Regional Directors and State Office Managers

FROM: Veronda L. Durden
Assistant Commissioner
Regulatory Services

SUBJECT: Follow-ups via Mail or Telephone – **S&CC #06-02**

APPLIES TO: All Home and Community Support Services Agencies (HCSSA)

DATE: May 30, 2006

Can follow-ups to violations cited be conducted via mail or telephone?

State violations cited in the plans of correction (PoCs) may be such that a mail or telephone follow-up will suffice for licensed-only citations in lieu of an on-site visit. Telephone contact is acceptable as long as DADS has no reason to question the validity of the reported corrections. A follow-up can be initiated by mail or telephone, but the HCSSA regional program manager has the option to convert it to an on-site visit if insufficient information is received from the agency to answer all questions about the PoCs.

How is an allowable mail or telephone follow-up determined?

The HCSSA regional program manager must screen the DADS Form-3724 when reviewing for acceptable PoCs and has responsibility for deciding if the follow-up is appropriate to be done by mail or telephone. The HCSSA regional program manager may assign survey staff to contact the agency via telephone or mail if the identified noncompliance is due to:

1. lack of a policy that is not related to patient care;
2. lack of complete bylaws;
3. lack of sufficient information to demonstrate that a criminal background check was conducted;
4. failure to conduct scheduled in-services; or
5. failure to maintain current personnel credentials or documentation of qualifications.

If the requirements of the PoCs have been met, the HCSSA should mail written verification of the corrections to the regional office.

Which types of follow-ups need to be done on-site?

1. If the HCSSA regional program manager determines during initial review of the PoCs that some sections of the PoCs are acceptable and other sections are not acceptable, the entire list of violations on the DADS Form-3724 must be taken and reviewed on-site.
2. If the PoCs contain at least one violation involving patient care or nursing services, the entire follow-up must be conducted on-site.

What documentation is required for mail or telephone follow-ups?

The mail or telephone contact requires that the surveyor complete a Licensing Inspection Violation Revisit Report, DADS Form 3724B.

Is any further action required after conducting a mail or telephone follow-up?

The HCSSA regional program manager has the discretion to review the follow-up information at the next on-site survey.

If you have questions concerning this memorandum, please contact Mary Valente, Program Manager, Policy, Rules, and Curriculum Development, at (512) 438-2440.

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