



COMMISSIONER
Jon Weizenbaum

Date: October 10, 2016

To: Home and Community-based Services (HCS) Program Providers
Texas Home Living (TxHmL) Program Providers

Subject: Information Letter No. 16-37
Waiver Survey and Certification Quality Assurance Surveys

Effective October 1, 2016, the Waiver Survey and Certification (WSC) Unit of the Texas Department of Aging and Disability Services (DADS) Regulatory Services will begin conducting quality assurance (QA) surveys of HCS and TxHmL program providers. The purpose of QA surveys is to increase consistency in the survey and certification process for the HCS and TxHmL programs. During a QA survey, a QA team will review the results of a survey previously conducted by a DADS survey team. A QA survey will be conducted at a location where the QA team will have access to the same individuals, records, and staff as the original survey team.

QA Survey Selection Process:

- The QA team will select a survey from a random sample of surveys that were completed within 14 days before the selection date.
- At least seven days before a QA survey, the QA team will provide notice to the program provider of the survey, which will include an explanation of the purpose of the QA team's on-site visit.

The QA team will select a representative sample of individuals identified in the previous survey's sample. Specifically, the QA team will select at least one individual from the previous survey's sample or a number of individuals of up to ten percent of the previous survey's sample.

On-site QA Survey Activities:

- The QA team will explain the purpose of the QA process to the program provider or provider representative. This explanation will be given in-person if requested by the provider. During the QA survey:
 - No citation will result from the survey unless a hazard to health and safety of an individual (as defined in 40 TAC §9.153 and §9.552) is identified.
 - Any issue, other than a hazard to health and safety of an individual, will be handled by providing technical assistance to the program provider.

If a hazard to health and safety of an individual is identified, a citation will be written only with the consent of the Director or Assistant Director of WSC.

- The QA team will review the records of the individuals selected in the representative sample and the program provider's quality assurance documentation and conduct home and site visits

at a sample of locations identified in the previous survey's sample. Site visits will be limited to the locations that are related to the individuals selected for review in the QA survey.

- The estimated time of a QA survey is approximately two days from the date of entrance, including home and site visits.

Post QA Survey Activities:

- The QA team will give the program provider a report that describes any items of non-compliance identified by the QA team that were not identified in the previous survey.
- The program provider is not required to submit a corrective action plan for the items of non-compliance identified by the QA team.
- DADS expects the program provider to correct any items of non-compliance identified by the QA team to ensure continuous compliance with 40 TAC Chapter 9, Subchapters D and N.

If you have further questions regarding the quality assurance surveys, please contact Kaili Goslant, (512) 438-3491 or kaili.goslant@dads.state.tx.us.

Sincerely,

[signature on file]

Mary T. Henderson
Assistant Commissioner
Regulatory Services