

**STATE OF CONNECTICUT
DEPARTMENT OF MENTAL RETARDATION**

Procedure No.: I.D.PR.006

Issue Date: March 15, 2002

Subject: Licensing Plan Of Correction Monitoring

Effective Date: March 15, 2002

Designated Area Of Responsibility: Quality Enhancement

A. PURPOSE

The purpose of this procedure is to develop a consistent statewide approach to follow up on licensing plans of correction. Implementation of this procedure will provide oversight from both the Licensing Division and the regional divisions of Private Administrative Services and public residential programs. The department expects that public and private providers will address licensing deficiencies in a timely manner.

B. APPLICABILITY

This procedure shall apply to Community Living Arrangements (CLAs) operated, licensed or certified by the Department of Mental Retardation (DMR). Oversight is the responsibility of DMR Regional Public and Private Division staff and DMR Central Office Licensing Division staff.

C. DEFINITIONS

Summary of Citation: 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 (17a-227-1 through 22).

Site Visit: This is a visit to the program setting to assess the quality of the services provided and the physical environment. This assessment is made by the direct observation of a DMR staff person. Visits may also be conducted to follow-up on issues raised in licensing, previous site visits or other issues as identified.

D. IMPLEMENTATION

Monitoring of the implementation of licensing plans of correction will be as follows:

1. The DMR Licensing/Certification Unit will review and approve the plan of correction submitted by the licensed or certified agency.
2. The DMR Licensing/Certification Unit will then determine which citations can be verified through documentation submitted from the provider to Licensing and which citations will need a site visit to verify that corrections have been made.
3. The DMR Licensing/Certification Unit will then forward a copy of the plan of correction, indicating the citations that require on-site verification, to the assistant regional director for the appropriate division: Public or Private Administration Services.
4. Private sector monitoring:
 - a. If the corrective action relates to an issue of health or safety, the contract manager will visit within 30 days. Otherwise, the DMR regional staff, at the time of the next site visit, will verify that corrective action, consistent with the plan of correction, has taken place.
 - b. The regional management will report the verification of licensing citation correction or lack of correction to the DMR Licensing/Certification Unit licensing inspector.
 - c. If there are issues noted during any site visit related to the licensing plan of correction, the contract manager will communicate with their regional contract administrator and assistant regional director to determine what action is necessary.
 - d. The contract manager will review the results of site visits, as well as the status of plans of correction as two (2) performance indicators at the midyear meeting and annual negotiation with the private agency.
5. Public sector monitoring:
 - a. If the corrective action relates to an issue of health and safety, the residential manager or regional Quality Improvement staff will visit within 30 days.
 - b. The residential manager or Quality Improvement staff will report the verification of licensing citation correction or lack of correction to the DMR Licensing/Certification Unit licensing inspector.
 - c. The Quality Improvement Division will randomly audit at least 25% of all plans of correction received on an annual basis. The results of these audits will be shared with the assistant regional director for Public Services, the regional director and the DMR Licensing/Certification Unit licensing inspector.

E. REFERENCES

1. DMR Regulation 17a-227-1 through 22.
2. Private Provider Site Visit Standard Protocol, 6/29/99.
3. Attached flow chart (Verification of Plan of Correction 2/28/02).