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| LOCAL COMMISSIONERS MEMORANDUM |
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Transmittal No: 90 LCM-59

Date: May 2, 1990

Division: Adult Services

TO: Local District Commissioners

SUBJECT: Family-type Home for Adults (FTHAs) Quality Assurance
Procedure

ATTACHMENTS: None

As you know, pursuant to Section 460-c.7 of the Social Services Law, the Department has delegated its responsibilities for the inspection and supervision of FTHAs to the districts. The specific responsibilities of the districts with regard to the inspection and supervision of FTHAs are set forth in Part 489 of the Department's regulations and in three administrative directives (85 ADM-36, 88 ADM-15, and 89 ADM-22).

A recent audit of the FTHA Program by the Office of the State Comptroller concluded that the Department is not fulfilling its responsibilities for supervising the administration of the FTHA program by the local districts. The audit report also concludes that due to insufficient oversight by the Department, some districts are not complying with or enforcing certain standards which pertain to the inspection and supervision of FTHAs. The specific local district deficiencies identified in the Comptroller's report are:

- o violations in FTHAs go undetected or overlooked by district staff;
- o complete inspections are not performed every six months as required;
and
- o reports of inspections are not issued to FTHA operators after each inspection.

In response to these findings, the Department has developed a quality assurance procedure to determine local district compliance with the standards for the FTHA program. This procedure, which will be implemented by staff from the four regional offices of the Division of Adult Services (DAS), requires:

- o written notification to a district by the appropriate DAS regional office prior to the start of a FTHA quality assurance review;
- o an entrance conference with the Commissioner or his/her designee;
- o an interview with the district's FTHA coordinator;
- o a review of the inspection and enforcement related information contained in a sample of the district's FTHA records;
- o visits to the FTHAs included in the sample to verify the information contained in the district's records and to determine facility compliance with Department regulations; and
- o an exit conference with the Commissioner or his/her designee.

After a review is completed, the district will be notified in writing of the Department's findings by the appropriate DAS regional office. Within 60 days of receiving our findings, each district will be required to submit a corrective action plan, which addresses the deficient areas identified by the review, for the approval by the appropriate DAS regional office. After quality assurance reviews are completed in enough districts to enable us to determine the type and extent of FTHA compliance problems, DAS staff will provide necessary technical assistance to local staff.

Finally, in order to assure the validity of our quality assurance procedure, it will be tested in two districts by one of the DAS regional offices during the months of May and June 1990. After the procedure is tested and revised as necessary, we will begin Statewide implementation.

If you or your staff have any questions about this memorandum, please contact Dan Howells of the Division of Adult Services, Bureau of Inspection and Enforcement, at 1-800-342-3715, ext. 432-2982.

Judith Berek
Deputy Commissioner
Division of Adult Services