



**The Commonwealth of Massachusetts**  
**Executive Office of Health & Human Services**  
**Department of Developmental Services**  
**Office of Quality Enhancement**  
**SAMPLE 45 DAY NOTIFICATION LETTER**

(Regional QE Office

Address line 1

Address line 2, MA zip)

(date – 45 days prior to start date)

**Deval L. Patrick**  
Governor

**JudyAnn Bigby, M.D.**  
Secretary

**Timothy P. Murray**  
Lieutenant Governor

**Elin M. Howe**  
Commissioner

(Name Executive Director)  
(Provider name)  
(Provider address)  
(Address, MA zip)

Dear (Name Executive Director),

This letter is to inform you that the Office of Quality Management, Office of Quality Enhancement, will be conducting its Licensure and Certification review of your agency. The anticipated dates for the survey are:

Administrative Review (start date)

Survey anticipated end date (date)

Service Enhancement Meeting (date)

(Surveyor name), Team Leader for the survey, will be contacting you shortly to discuss the details of the upcoming survey. Attached are the names of members of your survey team and the scope of the survey. You have one week in which to request a change in the team composition if you believe that a conflict of interest exists. The number of locations to be visited and the number of individual audits to be conducted is listed by service type. We will be notifying you of the specific locations to be visited at the Administrative Review. In addition, please have information available for any locations in which a Section 8 Site Inspection has been done; if that location is selected for review, a partial review will be conducted in lieu of a full site review.

In preparation for the Administrative Review, we are asking that you provide us with some advance information (see attachment A) within the next month. For example, please note the names of key personnel as we would welcome the participation of key personnel other than yourself whom you feel would be beneficial to speak with the first day. In addition, please provide us with a staff roster and/or training grid. We in turn will provide you with additional information in advance of the survey so that the Administrative Review can be conducted smoothly and efficiently. For example, about one week prior to the administrative review, we will provide you with a list of employees whose training information we will be auditing.

Just as a reminder, all Waiver Petitions that require approval by the Office of Quality Management, Office of Quality Enhancement, must be ready for submission by the beginning of the survey. The team will review new waivers and waivers up for renewal as a part of the survey process.

We will be relying on you to assist us to obtain the information necessary to efficiently determine your success in meeting the licensure and certification indicators. The following information (see attachment B) has proven useful in the past, and therefore, we would appreciate it if you could make both relevant personnel and these items available to the survey team for the

Administrative Review, and as needed throughout the survey. Any of this information that can be sent in advance of the Administrative Review date would also be gratefully appreciated.

Lastly, please note that for the locations and individuals selected for audits, we will be reviewing information from the past year, and would therefore appreciate your willingness to make all information from the past year available at the locations that will be visited.

Thank you for your cooperation.

Sincerely,

(Name), Regional QED

cc (Name) , Regional Director - DDS – Region;  
(name) , Area Director(s), Area(s)

**Provider name:** \_\_\_\_\_

[illegible]

Type of Service	# of Locations	# of Individual Audits
-----------------	----------------	------------------------

This image shows a single sheet of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page. There are approximately 20 lines visible. The paper has a slight shadow on its right side, suggesting it's resting on a surface.

**Attachment A- Information request for submission to OQE within 30 days (e.g. two weeks prior to the start date):**

Please provide a brief overview of your current organization such as by providing your most recent organizational chart as a reference.

---

Please note any significant management/ supervisory changes e.g. reporting responsibility/accountability) which have been adopted since the previous survey.

---

Please provide the names of any additional contacts to obtain more specific information on the following topics:

- Quality Assurance \_\_\_\_\_
- Investigations \_\_\_\_\_
- Human rights \_\_\_\_\_
- Training and workforce \_\_\_\_\_
- Planning \_\_\_\_\_
- Health care \_\_\_\_\_
- Environmental safety \_\_\_\_\_
- Financial oversight \_\_\_\_\_

Please make the above personnel available to speak with us at the Administrative Review.

Please provide staff lists/ staff rosters and centralized training grid relative to all employees:

1. New hires within the past year – including staff name, position, job title, and start date
2. All employees whose credentials/ license are a requirement of the function/ position – including staff name, applicable license type, and position
3. All employees – including relief and home care providers. Please supply staff name, position, job title, work location, shift and whether the employee has a specific role e.g. designated Human Rights Officer, Formal Fire Safety Officer.

## **Attachment B: Administrative Review items to prepare for day one**

### **Materials related to Investigations, decisions, and actions:**

- Decision and Action letters
- Complaints
- Documentation relative to specific immediate and corrective actions

### **Materials related to Human Rights:**

- Human Rights Committee membership list and roles
- Human Rights Committee meeting minutes since the last survey (including attendance)
- Human Rights Committee By-Laws
- List of HRC Officers
- Peer Review Composition and minutes, where applicable (if a Provider PRC)
- Guardian human rights training and grievance information if present
- Individual human rights training and grievance information if present

### **Materials related to staff recruitment, retention, and training:**

- New hire recruitment, screening and orientation procedures
- Orientation materials for new staff
- Job descriptions for essential personnel including direct support staff, and service managers.
- Information on new hires. We will be comparing the qualifications for a sample of positions (e.g. as referenced in job descriptions) to the new hire's resume/ application for employment.
- Information on which positions require applicable licensure or certification. We will check to ensure that employee's credentials are appropriate and current. (e.g. Nursing; Social Work; Psychology).
- A listing of staff by location with specific roles (e.g. Human Rights Officer; Formal Fire Safety Officer).
- Training tracking information for the staff list above outlining the current dates of all mandatory trainings (e.g. first aid, human rights, fire safety).
- Availability of actual training certificates or documents to validate the agency's system.
- Information on systems for assessment of staff training needs in addition to mandated trainings
- Evaluation tracking system e.g. Evaluations –blank forms and list of employees with dates of evaluations.

### **Materials related to planning, oversight and organizational systems:**

- Management reports, systems, and information pertaining to incidents
- Strategic Planning information/ Agency planning documents
- Measurements and goals for program quality for each service type
- Record of the agency's measurement of their growth and change (e.g.

- updates on Provider and programmatic goals)
- Any external surveys, evaluation materials, program evaluation processes and outcomes
- Satisfaction survey instrument, how information is collected, results and how information has been used
- Status of changes made as a result of and since the last survey
- Examples of organizational changes that have occurred since the last survey directly linked to stakeholder input and feedback
- Internal/ Program evaluation processes, instrument, results, and utilization of information
- Annual contract reviews/ Annual report/ summary statement on goals/ initiatives that the agency has undertaken in the past year
- Performance Based Objectives
- Policies and procedures, where relevant

**Materials related to funds management when information is located at the Administrative Offices:**

- Charges for care notices, calculations, entitlement award letters
- Agreements and consents, when present (e.g. for joint purchases or expenses such as vacations, cable television)
- Policies and procedures, where relevant

**Materials related to systems in topics which will be validated at the locations:**

- Health care information including policies, procedures, and methods to ensure the promotion of routine, acute, and specialized health care.
- Environmental safety and maintenance information such as policies, procedures
- Any other systems of monitoring or support to locations.

**SAMPLE INFORMATION FORWARDED TO THE PROVIDER BY OQE**  
**PRIOR TO THE ADMINISTRATIVE REVIEW**  
**(e.g. about one week prior to the start date):**

1. New hires within the past year – including staff name, position, job title, and start date. The following 10% sample of new hires has been selected. At the Administrative Review we will be comparing these staff's qualifications against the requirements for the job title.
2. All employees whose credentials / license are a requirement of the function/ position – including staff name, applicable license type, and position. The following 10% sample of licensed employees has been selected. At the Administrative Review we will be asking to see the necessary qualifications and certifications for these staff.
3. All employees – The following 10% sample of employees. At the Administrative Review we will be assessing the presence of performance evaluations, and training information for the following staff. Please make their evaluation dates and training records including documents such as certificates of training, available to us for the following trainings:
  - ☐ First Aid
  - ☐ CPR (one per shift)
  - ☐ MAP (all administering medications)
  - ☐ Human Rights Officer (one per location)
  - ☐ Formal Fire Safety (one per location)
  - ☐ Informal Fire Safety
  - ☐ Abuse and Mistreatment
  - ☐ Human Rights
4. The following Complaints will be discussed at the Administrative Review. Please be prepared to comment on what immediate actions have been taken in each of these situations.
5. The following Action Plans will be reviewed at the Administrative Review. Please be prepared to provide us with information to confirm that each of these actions has been taken.