

# 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:** **S&CC 07-17** – Exit Conference Preliminary Findings List and Second Exit Conference  
**(Replaces S&CC 03-14)**

**APPLIES TO:** Nursing Facilities, Intermediate Care Facilities for Persons with Mental Retardation or a Related Condition, Assisted Living Facilities, Adult Day Care Facilities, and Home and Community Support Services Agencies

**DATE:** **August 20, 2007**

---

The following changes will be effective September 1, 2007, for all provider types.

### **Initial Exit Conference**

When a survey or inspection results in a deficiency or violation, the Department of Aging and Disability Services (DADS) survey staff will hold a face-to-face exit conference with the appropriate facility or agency staff and leave a list of preliminary findings with the facility or agency management staff. This directive applies to all entities regulated by DADS, including facilities that are licensed or certified only.

### **Second Exit Conference**

Following the initial exit conference, should "additional deficiencies or violations" be cited, the surveyor will hold a second on-site, face-to-face exit conference with the appropriate facility or agency staff. During the second exit conference, the surveyor will provide a revised list of preliminary findings with the facility or agency management.

"Additional deficiencies or violations" are defined as:

- content of the deficient practice or violation that was not covered or discussed at the initial exit conference, or
- further violations or deficiencies identified during review of the surveyor's notes after the initial exit conference.

Changes of tag numbers and regulation citations are not considered additional deficiencies or violations as long as the evidence supporting the citations is not changed and the content was discussed at the initial exit conference.

The date of the second exit conference does not change the original exit date of the survey or inspection, nor does it change any pertinent deadlines and/or time frames.

For questions concerning this memorandum, please contact a policy specialist with the Policy, Rules, and Curriculum Development Unit at (512) 438-3161.