Mission Statement

The Division of Adult Care Facilities (ACF) and Assisted Living Surveillance will ensure that residents of NYS Adult Care Facilities receive high quality services through:

- Compliance with regulatory and statutory requirements;
- Promotion of innovative and technological practices;
- Quality assurance and improvement activities; and
- Fostering of continuous improvements through collaboration with key stakeholders.
2014 Accomplishments

- Streamlined Reporting of Annual Census
- Streamlined the Licensure Application
- Awarded ALP 4500 Conversion Initiative
- Implemented Electronic Statements of Deficiencies
- Implemented Quarterly Statistical Information Reports (QSIRs)
- Implemented an Electronic EQUAL 2014-15 Application
- Implemented the Criminal History Record Check Program
- Initiated review of ACF regulations and surveillance procedures
- Mandatory Reporting Forms updated & pending review
2015 – 16 Division Goals

- Expedite processing of licensure applications
- Integrate ACF Common Application into NYSE-CON
- Implement electronic plan of corrections (Pilot underway)
- Increase consistency/standardization of surveillance functions
- Convene regulatory review workgroup with internal and external stakeholders
- Continue to increase Provider communications
- Continue to automate communications to ACFs
Ongoing Efforts To Improve Quality

- Ensuring surveillance activities have impact on achieving sustainable improvements in performance.

- Working with facilities that have repeat deficiencies and/or serious concerns to facilitate improvements.

- Effectively using Directed Plans of Correction as a quality improvement tool.

- Holding Leaders Accountable.
Surveillance

Total number of surveys (Exit Date 1.1.2015 – 3.31.2015)

Complete: 41
Complaint: 138
Follow-Up: 15
Other: 10

➢ Total surveys conducted in 2015: 204
Surveillance Cont.

Complete Inspections:

- **2012:** 283 inspections/860 Violations or 3 Violations per inspection.
- **2013:** 270 inspections/921 Violations or 3.4 Violations per inspection.
- **2014:** 303 inspections/1028 Violations or 3.4 Violations per inspection.
Surveillance Most Common Citations

- **Resident Services**: 964
  - Medication & case management & supervision

- **Environmental Standards**: 604
  - Maintenance of building, grounds & equipment, housekeeping (including vermin) & smoke & fire protection

- **Food Service**: 322
  - Food Purchasing, storage & preparations, prescribed diets & food allergies

- **Records and Reports**: 199
  - Maintenance & availability of resident records
Surveillance Most Common Citations

- **Admission Standards**: 190
  Retaining individuals beyond retention standards, medical and mental health evaluations not completed

- **Personnel**: 175
  Trained in basic first aid & employee health statement

- **Resident Protections**: 83
  Courteous, fair & respectful treatment & executing admission agreements

- **Disaster and emergency planning**: 80
  Fire dills & approved written disaster plan
Surveillance Most Common Citations

- **Admission and Retention Standards:** 78
  - Inappropriate admission
- **Resident funds and valuables:** 40
  - Issuing receipts, return of resident funds and valuables

**TOTAL:** 2,911 Violations or an average of 1.9 Violations per survey
Division of ACF/Assisted Living Updates

► Creation of Surveillance Committee to review existing surveillance policies & procedures and identify areas for potential revisions to:
  ► Facilitate a quality survey;
  ► Meet existing state regulatory requirements; and
  ► Optimize efficiencies in the surveillance process

► Committee recommendations will be presented to central and regional office leadership for review and approval by late summer.
Electronic Plans of Correction (e-POC)

- ePOC application will automate the distribution of Statements of Deficiency (SODs) and the receipt of Plans of Correction (POCs)
- ePOC application is accessible via the Health Commerce System (HCS) at the following link: https://commerce.health.state.ny.us/public/hcs_login.html
- HCS Coordinator of each Adult Care Facility is required to keep HCS role information current; essential for e-POCs.
- Provider access to the application will be governed by HCS roles:
  - Administrator role: may read SODs/POCs, edit, save, and submit POCs;
  - POC Editor role: may read SODs/POCs, edit and save POCs; and
  - Operator role: may read SODs/POCs
- Anticipated statewide rollout for surveys with exit dates of July 1, 2015.
- Webinar link for training will be forthcoming in DAL 15-09.
- Questions about ePOC? Contact acfinfo@health.ny.gov
EQUAL – Enhancing the Quality of Adult Living

- The 2015-2016 EQUAL application will remain an electronic application which is accessed through the HCS.

- Prior to applying for EQUAL program funds, a facility shall receive approval of its expenditure plan from the residents' council for the facility.

- The residents' council shall adopt a process to identify the priorities of the residents for the use of the program funds and document residents’ top preferences by means that may include a vote or survey.

- The plan shall detail how program funds will be used to improve the physical environment of the facility or the quality of care and services rendered to residents.

- The facility's application for EQUAL program funds shall include a signed attestation from the president or chair-person of the residents' council or, in the absence of a residents' council, at least three residents of the facility, stating that the application reflects the priorities of the residents of the facility.

- EQUAL program funds shall not be expended for expenses incurred retrospectively.

- The facility's application for EQUAL program funds shall include a signed attestation from the president or chair-person of the residents' council or, in the absence of a residents' council, at least three residents of the facility, stating that the application reflects the priorities of the residents of the facility.
Justice Center Update

- 31 ACF's under the conjoined jurisdiction of the New York State Department of Health and NYS Justice Center for the Protection of People with Special Needs that meet the following criteria:
  - 80 beds or more
  - 25% SMI or greater
  - Fewer than 55% beds designated as Assisted Living Program beds

Investigation updates:
- To date, over 4,000 referrals to DOH.
ACF Surveillance Complaint Hotline

- The Division of Adult Care Facility/Assisted Living Surveillance is responsible for investigating written and/or verbal complaints received by the ACF Central Complaint Hotline concerning both licensed and unlicensed adult care facilities.
- Complaints are triaged on intake and assigned a level of severity which determines the timeframe in which the complaint is investigated.
- The Central Complaint Hotline is answered by ACF staff from 8:45 AM to 4:45 PM Monday through Friday, excluding holidays. Complaints made after hours are left on the hotline voicemail system and retrieved the next morning. Complaints received during weekends and holidays and have been determined to be of an emergency nature are immediately referred to the regional office contact person.
- Hotline Number: (1-866-893-6772)
ACF Surveillance Complaint Hotline

- Commenced Operation: 11/15/02
- Total Number of Hotline Staff: 3
- Additional Assignment: Home Care Information Hotline
- Total Complaints Processed through 12/31/14: 12,427
- Total Allegations Reported through 12/31/14: 31,878
- Average Allegations per Complaint through 12/31/14: 2.6
Complaint Allegations

- Resident Rights: 9%
- Abuse - All Incidents: 4%
- Resident Deaths: 1%
- Case Management: 9%
- Supervision: 11%
- Admission/Retention: 8%
- Personnel/Staffing: 6%
- Medications: 8%
- Dietary Standards: 7%
- Facility Maintenance: 9%
- Housekeeping: 5%
- Resident Funds: 5%
- Personal Care: 5%
- Records/Reports: 3%
- Environmental/Safety: 3%
- All Other: 3%
- Resident Termination: 3%
- All Incidents: 4%
- Resident Deaths: 1%
- Case Management: 9%
- Supervision: 11%
- Admission/Retention: 8%
- Personnel/Staffing: 6%
- Medications: 8%
- Dietary Standards: 7%
- Facility Maintenance: 9%
- Housekeeping: 5%
- Resident Funds: 5%
- Personal Care: 5%
- Records/Reports: 3%
- Environmental/Safety: 3%
- All Other: 3%
- Resident Termination: 3%
- All Complaint Allegations: 100%
Human Services Consolidated Call Center Consolidation of Adult Care Facility and Home Care Hotlines

The *Consolidated Call Center Project* is a Governor’s initiative to assist those who call for information from New York State agencies to assure that every caller receives consistent, accurate and high quality service. Toward that goal, New York embarked on an enterprise-wide effort to consolidate information and referral calls from more than 30 agencies into four Anchor Agencies. Consolidation is expected to enhance operational efficiencies, improve upon business processes and deliver better customer service.

- Transition of calls for certain affected DOH bureaus commenced in May, 2013.
- Transition of calls into the ACF and Home Care Hotlines commence 4/24/15.
Human Services Consolidated Call Center Consolidation of Adult Care Facility and Home Care Hotlines cont.

The Office of Children and Family Services (OCFS) was selected as one of the four Anchor Agencies to establish the Human Services Consolidated Call Center (HSCC) in order to serve the following agencies:

- Office for People With Developmental Disabilities (OPWDD)
- Department of Health (DOH)
- Office of Victim Services (OVS)
- Office of Alcoholism and Substance Abuse Services (OASAS)
- Department of Civil Service (DCS)
- Office of Temporary and Disability Assistance (OTDA)
- Office of Children and Family Services (OCFS)
- Workers’ Compensation Board (WCB)
Human Services Consolidated Call Center Consolidation of Adult Care Facility and Home Care Hotlines cont.

Procedure:

- All calls initially dialed into either the ACF Hotline at 1-866-893-6772 or the Home Care Hotline at 1-800-628-5972 are diverted to the Consolidated Call Center where the purpose of the call is triaged.
- All complaint requests against ACF operators are transferred back to the ACF Complaint Unit at 875 Central Avenue. Calls are processed and assigned for investigation the same way.
- If the involved ACF operator is a designated Justice Center facility, complaint calls are transferred to the NYS Justice Center at 1-855-373-2122. An electronic referral to document receipt and issue of the call is sent to the ACF Complaint Unit.
- The process that governs weekend/holiday voice message retrieval is not affected and remains unchanged.
Human Services Consolidated Call Center Consolidation of Adult Care Facility and Home Care Hotlines cont.

- All other ACF related calls are addressed by the call center representatives by answering inquiries including use of and referral to the Department’s website; transferring the caller to the appropriate state, county or municipal agency when the matter is not an issue under NYS government oversight.
- All complaint requests against certified Home Care providers are transferred to the appropriate regional office that has surveillance responsibility.
- All other Home Care related calls are addressed by call center representatives in the same manner as ACF calls, particularly ones seeking basic information and referral on Home Care.
- The Consolidated Call Center will maintain and share call data with the Department on a monthly basis; as well as conduct conference calls to resolve problem issues that may arise.
- Confidentiality requirements of the Department are adhered.
Emergency Preparedness Update

- No patients with Ebola, but preparations and precautions are ongoing.
- All hospitals have been assessed at least once for their ability to stabilize patients who are suspected of having Ebola. Eleven hospitals have been designated to provide ongoing Ebola care when all structural changes and assessments have been completed. A regional center will be set up to accept patients from abroad or from out of state.
- Multiple-level screening of air passengers from countries with Ebola outbreak continues at JFK airport. All air travel from those countries into NYS are routed to JFK. Passengers from these countries are followed by Local Health Departments twice a day for 21 days.
- Lessons learned from Ebola will enhance preparedness for other highly pathogenic diseases, such as use of protective equipment.
Emergency Preparedness Update Cont.

- The Associations, NYCDOHMH and NYSDOH are working with a group of NYC operators regarding the possible use of alternate evacuation sites (other than evacuation to another ACF).

- The group has written guidance documents for facilities to use in choosing and supplying alternate evacuation sites.

- The use of alternate evacuation sites is voluntary, and a send-receive arrangement must also be in place.

- Alternate Evacuation Site spring meeting to be held May 27, 2015 in NYC for facilities currently participating in this trial.
Emergency Preparedness Update: eFINDS

- HCS Accounts should be maintained by a group of staff to cover each shift.
- Procedures should match available staffing and demands of emergency; use exercises to train staff and refine procedures, such as with and without internet, with and without scanners, with and without notice; receiving and sending.
- Exercises have shown that it takes about 3 minutes per person to apply wristband and enter data; should have multiple copies of paper back up.
- If localized evacuation, contact Department to open an Operation to use eFINDS. If large-scale emergency, NYSDOH alerts facilities through HCS that they must use eFINDS.
- Recorded training on HCS.
- General help, questions, and more wristbands: efinds@notes.health.state.ny.us
Dear Administrator Letters 2015 to date

DAL 15-01: 2014 Annual Census – Posted 1/1/15

DAL 15-02: Required Roles within the Health Commerce System (HCS) – Posted 3/19/15

DAL 15-03: Electronic Plan of Corrections (ePOC) – Posted 4/21/15

DAL 15-05: 1st QSIR 2015 – Posted 4/1/15
Criminal History Record Check (CHRC)

- Implemented January 1, 2015

- Requirements:
  - Determining who is subject
  - Retaining Consent forms (CHRC 102)
  - Supervising employees while awaiting results
  - Reporting employee terminations and separations
  - Timeliness of scheduling fingerprint appointments and rescheduling when needed.
  - Recognition that charging costs to employees is not permitted
CHRC Policies and Procedures Must Include:

- Who is subject to CHRC?

- All non-licensed employees providing direct care to residents/clients pursuant to a plan of care, including those who have access to living quarters.

Examples:

- PCAs
- HHAs
- Dietary Aides
- Hairdressers & barbers
- Housekeepers
- Maintenance workers
CHRC Policies and Procedures Must Include:

- Who is not subject to CHRC?
  - Licensed health care employees
    - Article 8 of the Education Law
  - Nursing home administrators
    - Article 28-D of the Public Health Law
  - Employees without resident contact
    - Groundskeepers, kitchen workers, etc.
  - Volunteers
COLLABORATION IS KEY

THANK YOU FOR YOUR CONTINUED COMMITMENT TOWARDS ENHANCING THE QUALITY OF LIFE FOR OUR RESIDENTS!!!!
WE LOOK FORWARD TO CONTINUING OUR PARTNERSHIP WITH YOU IN 2015.

Phone: 518-408-1133 (Program)
518-408-1624 (Licensure)
518-485-8781 (CT Program)

For questions related to the CHRC Program
chrc@health.ny.gov