

November 8, 2013

DAL#: 13-23
RE: Adult Care Facility Quarterly
Statistical Information Report

Dear Administrator:

The regulations governing the operation of Adult Care Facilities (ACFs) – Standards for Adult Homes 487.10(e)(2), Adult Care Facilities Standards for Enriched Housing Programs 488.10(e)(4), and Standards for Residences for Adults 490.10(e)(4) – require each operator to submit a quarterly statistical information report. These reports are the primary source of data regarding facility, occupancy and resident characteristics and are used for a number of purposes, including emergency contact information and grants. Therefore, it is essential that the data provided is accurate and verifiable.

In keeping with these requirements, all ACFs are required to complete the ACF Quarterly Statistical Information Report. Additionally, facilities with a certified bed capacity of 80 beds or more, in which **twenty percent** or more of the resident population are persons with serious mental illness, will be required to provide additional information as described under 18 NYCRR 487.10(e)(3). Specifically, these facilities will be required to submit the Roster of Adult Home Residents to the New York State Department of Health (Department) on a quarterly basis which at a minimum:

- (i) Identifies the quarter being reported on;
- (ii) Contains a census report, to include a roster of residents who are persons with serious mental illness as defined in subsection 487.2(c) of this Part;
- (iii) **For any residents admitted** during the quarter being reported on, the prior residence;
- (iv) **For any residents discharged** during the quarter being reported on, the discharge location; and
- (v) The number of resident deaths which occurred during the quarter being reported on.

Please note that the ACF Quarterly Statistical Information Report encompasses the time frame July 1, 2013 through September 30, 2013. Facilities completing the Roster of Adult Home Residents, however, must provide information for all residents residing in the facility during the first nine months of the calendar year by updating the roster that was previously submitted. Program staff will forward the facility-specific Roster of Adult Home Residents via the Secure File Transfer Utility in the Health Commerce System (HCS) to the Administrator of each Transitional Adult Home for updating. Facilities completing the roster for the first time can

download and complete Attachment 3 associated with this DAL (DAL 13-23). The Adult Care Facility Annual Census Report (which has been significantly revised) will serve as the 4th quarter report.

The ACF Third Quarter Statistical Information Report (and Roster of Adult Home Residents, if applicable) must be submitted to the Department of Health no later than November 29, 2013. The list of Transitional Adult Homes posted on January 16, 2013 will be updated once all submissions have been reviewed.

You will be able to access and complete this report on the Health Commerce System (HCS) effective November 8, 2013. The survey form is accessed by logging onto HCS at the following link: <https://commerce.health.state.ny.us>. On the HCS Home Page, click My Applications → click HCBC → click Data Entry and then Select an Activity → ACF Third Qtr 2013 Statistical Info Report. **Note: Faxed or printed copies will not be accepted.**

The ACF Quarterly Statistical Information Report is brief and concise. Notes have been embedded in the census report to facilitate its completion. The information needed to complete this report is provided in this letter and the attachments. These attachments are located in Documents, in the Dear Administrator Letters folder, and are listed below:

Attachment 1: Data Entry Instructions

Attachment 2: Definition of Terms

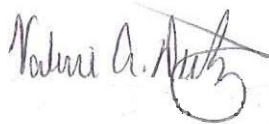
Attachment 3: Roster of Adult Home Residents (Excel Spreadsheet)

Attachment 4: How to Access and Use the HCS Secure File Transfer Utility

Only designated staff (Administrator, HCS Coordinator and Data Reporter) may enter data into the ACF Third Quarter Statistical Information Report. **However, the facility Administrator must review the report prior to submission and complete the attestation statement.** Questions regarding this DAL and programmatic requirements should be directed to Marcia Kolakoski or Jillanna Devik at (518) 485-8781.

Please note that failure to submit this report by **November 29, 2013** may result in enforcement action and the imposition of civil penalties. Thank you for your anticipated cooperation in this matter.

Sincerely,



Valerie A. Deetz, Director
Division of Adult Care Facility &
Assisted Living Surveillance

Attachments (4): Posted with DAL 13-23

VAD/mk