



## Department of Health

ANDREW M. CUOMO  
Governor

HOWARD A. ZUCKER, M.D., J.D.  
Commissioner

SALLY DRESLIN, M.S., R.N.  
Executive Deputy Commissioner

January 2, 2020

DAL#: 20-01  
2019 Adult Care Facility  
4<sup>th</sup> Quarter Statistical Information Report

Dear Administrator:

Title 18 of the New York Code of Rules and Regulations (NYCRR) includes regulations governing the operation of New York State Department of Health (Department) licensed Adult Care Facilities (ACFs), including Standards for Adult Homes (Part 487), Standards for Enriched Housing Programs (Part 488), and Standards for Residences for Adults (Part 490). Pertinent sections of each regulation, more specifically 18 NYCRR §487.10(e)(2), §488.10(e)(4), and §490.10(e)(4), require operators to submit a quarterly statistical information report. Such reports are the primary source of data regarding facility, occupancy and resident characteristics, and are used for many purposes including grant eligibility determination. Therefore, it is essential that the data provided are accurate and verifiable. Accordingly, **all** Department-licensed ACFs are required to complete the 2019 ACF 4<sup>th</sup> Quarter Statistical Information Report for the period from October 1, 2019 to December 31, 2019.

Additionally, ACFs with a certified bed capacity of 80 beds or more, in which twenty percent (20%) or more of the resident population are persons with serious mental illness, are required to provide additional information as described under 18 NYCRR §487.10(e)(3). Specifically, such ACFs are required to submit the Roster of Adult Home Residents to the Department on a **quarterly basis** which, at a minimum:

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

Those ACFs that are required to complete the Roster of Adult Home Residents must provide information for all residents residing in the facility at any time during the period from October 1, 2019 to December 31, 2019. Facility-specific Rosters of Adult Home Residents corresponding to each quarter are forwarded to the administrator of each Transitional Adult Home by Department staff **via the Health Commerce System (HCS) Secure File Transfer Utility**. Such Rosters are sent with instructions for submission and must be used by facilities for the required update. If you have any questions related to the Roster of Adult Home Residents, please contact Matthew Gasbarro of the Office of Community Transitions at (518) 485-8781.

The 2019 ACF 4<sup>th</sup> Quarter Statistical Information Report (and Roster of Adult Home Residents, if applicable) must be submitted to the Department no later than **January 31, 2020**. Failure to submit this report by January 31, 2020 may result in enforcement action and the imposition of civil penalties.

You will be able to access and complete the 2019 ACF 4<sup>th</sup> Quarter Statistical Information Report (and Roster of Adult Home Residents, if applicable) on the HCS effective January 2, 2020. The survey forms can be accessed by logging onto HCS at: <https://commerce.health.state.ny.us>. On the HCS Home Page, click My Applications → click HERDS → click Data Entry and then select an Activity → 4<sup>th</sup> Quarter 2019 Statistical Information Report. **Note: Faxed or printed copies will not be accepted.**

Several individuals, including the facility's Administrator, HPN Coordinator, and Data Reporter, may enter data for this report. **However, the Administrator must review the report prior to submission, complete the attestation statement, and finally submit the completed report.**

If you have any questions regarding the Quarterly Statistical Information Report, please contact Georgina Raus, of my staff, at (518) 408-1133. Thank you for your anticipated cooperation in this matter.

Sincerely,



Heidi L. Hayes, Acting Director  
Division of Adult Care Facility  
and Assisted Living Surveillance

cc: B. Barrington  
P. Hasan  
N. Nickason  
J. Pinto  
J. VanDyke  
L. Ullman  
C. Rodat  
G. Raus