



NC Adult Care Home Star Rated Certificate Program Training

WEEK ONE

November 18, 2008

**NC Division of Health Service Regulation
Adult Care Licensure Section**

The North Carolina Star Rating Certificate program for adult care homes and family care homes was established in response to citizens of NC who voiced the need for increased availability of public information regarding the care provided in adult care facilities. The Star Rating program is part of Senate Bill 56, and was passed in July 2007 by the NC General Assembly as GS 131D-10. The NC Medical Care Commission was designated to create rules with input from residents and families in adult care homes, advocacy groups, providers, and others. The rules governing the Star Rating program are: **10A NCAC 13F/G .1601-.1605**. The program is administered by the NC Division of Health Service Regulation (DHSR), Adult Care Licensure Section.

The Star Rating program will become effective January 1, 2009. The program is designed as a tool to assist consumers in making informed decisions regarding care options for themselves or a loved one. The Star Rating program will provide consumers with sound, accurate information, however, it is still imperative that consumers also seek out first-hand information to find a match such as touring the facility, and speaking with residents or family members of the potential facility regarding their satisfaction with the care and services provided.



Star Rating Program Overview

Ratings are based on...

- **DHSR annual inspections**
- **DHSR follow-up surveys**
(*Currently F/U surveys are only conducted if a Type A or B was cited at a facility's annual inspection.)
- Recommendations of ***Type A and Unabated Type B Violations*** from the County DSS, which have been reviewed and concurred by DHSR. Citations and Type B violations cited by the County DSS will not count against the facility's rating score.

Note: A new DHSR policy and procedure has been established for reviewing Type A and Unabated Type B violations cited by the County DSS. If a Type A or Unabated Type B violation has not been reviewed and concurred by the DHSR Quality Improvement Committee, it will not be counted against the facility's rating score. The new policy and procedure for this review will be discussed in WEEK THREE (Dec. 2nd) of this training.



Overview continued.....

- * Citations and Type B violations cited by DHSR under the Fundamental Rule Areas will count against a facility's rating score. If a citation or Type B violation is not from a Fundamental Rule Area, it will not count against the facility's rating.
- * Type A and Unabated Type B violations from any rule area cited by DHSR or DSS will count against the rating score.



What Are the Fundamental Rule Areas as Defined by GS 131D-10?

- **Admission and Discharge Procedures** (10A 13F/G .0700)
- **Medication Management** (10A 13F/G .1000)
- **Physical Plant** (10A 13F/G .0300)
- **Resident Care and Services** (10A 13F/G .0900)
The General Statute specifies three rule areas under Resident Care & Services that must be included in the survey (in addition to the rules in this area that are normally surveyed).
They are:
 1. Food Services—this area is already inspected during the annual survey process.
 2. Safety Measures---this area is also already inspected during the annual survey process under the rule of Personal Care and Supervision.
 3. Resident Activity Programs---DHSR will now survey the facility's activity program during annual inspections. DHSR will be responsible for reviewing the facility's activity calendar as well as interviewing residents about the facility's activity program (including preferences/choices, variety of programs, assistance to/from activities, etc.)
- **Resident Assessment and Care Plan**
- **Residents' Rights** (G.S. 131D-21)
- **Sanitation Grade** (below a score of 85) (10A 13F/G .0300)
(This area is already inspected under 'food service' during the annual survey process.)
- **Special Care Units:** (adult care homes only)
Alzheimer's and Related Disorders & Mental Health Disorders (10A 13F.1300 and .1400)
- **Use of physical restraints and alternatives** (10A 13F/G .1500)



Calculating a Rating Score

- Rating scores are based on a point system.
- Each facility starts out with **100 points**, which will renew at each annual inspection.
- Facilities earn **merit** points and **demerit** points based on inspection results.



Demerit Points

- Demerit points are points that are subtracted from the base score for citations and violations cited under the Fundamental Rule areas.

Citations	-2.0 points each
Type A Violations (<i>in any rule area</i>)	-10.0 points each
Type B Violations	-3.5 points each
Uncorrected Type B Violation (<i>in any rule area</i>)	-3.5 points each

- Licensure Action issued by DHSR will also result in demerit points being deducted from the rating score:

*Suspension of Admissions issued by DHSR (-10 points)

**Note: This does not include a SOA issued for failure to send in a Cost Report!*

*Notice of Revocation of License issued by DHSR (-31 points)



Merit Points

- Merit points are points that are added to a facility's score for correction of citations and violations under the Fundamental Rule areas.

Corrected Citation	+1.25 points each
Corrected Type A violation (in any rule area)	+2.5 points each
Corrected Type B violation	+1.25 points each
Uncorrected Type B violation corrected (in any rule area)	+1.25 points each

- Licensure Action by DHSR: If DHSR issues a Removal of Suspension of Admissions, (+5.0 points)
- If a facility corrects the citation for which a Type A violation was identified, they will receive the 2.5 merit points upon correction, and will receive an additional 2.5 merit points following the next annual inspection if no further Type A violations are identified.



Star Rating Scale

Four Stars		100 or greater points <i>on <u>two</u> consecutive annual surveys</i>
Three Stars		90.0-99.9 points, <i>*OR, for any facility whose score is 100 points or greater on one annual inspection</i>
Two Stars		80.0-89.9 points
One Star		70.0-79.9 points
Zero Stars		69.9 points or lower

***Note: A facility must obtain 2 consecutive 100 point or greater annual surveys in order to earn a Four Star rating!**



Additional Information

- ★ Follow-up surveys will be done for facilities who received a Type A or Type B violation on their annual inspection only....except for.....

A facility with a “0” or “1” star rating with no Type A or B violations after their annual inspection can request a follow-up survey from DHSR that would occur at least 60 days after their annual survey. If a facility meets this criteria and wishes to schedule a follow-up survey, they must contact their regional ACLS Team Supervisor. A follow-up inspection shall be completed depending on the availability of DHSR staff.

- ★ Points deducted for Type A violations resulting in a penalty will affect the facility’s star rating score for 24 months from the date the violation was identified. Points deducted for Unabated Type B violations resulting in a penalty will affect the facility’s rating score for 12 months from the date the violation was identified.

- ★ A rating worksheet and certificate will be sent to the facility 45 days from the date the Statement of Deficiencies (SOD) is mailed to the facility. A new worksheet and certificate will be completed every time the rating score changes (annual, follow-up, reviewed DSS findings of Type A or Unabated B, Administrative Licensure Actions).
- ★ Star Ratings will be posted on the DHSR/ACLS website:
<http://www.ncdhhs.gov/dhsr/acls/index.html>
- ★ Facilities must post the worksheet and certificate in a visible location for the public.
- ★ No star ratings are issued until a facility has had an annual survey...initial licensure surveys do not generate a rating.
- ★ Change of Ownership---the rating stays with the facility, even through a CHOW, until the next annual inspection.



Contesting a Star Rating Certificate

- Facilities may contest the rated certificate. 10A NCAC13F/G .1602(d)
- Because certificates are based on inspection results, continue to utilize existing Informal Appeal Process with DHSR Survey Team Leader/Supervisor if you have concerns about inspection results **BEFORE** certificates are issued.
- Appeals will be heard through the:
Office of Administrative Hearings (OAH)
1711 New Hope Church Road
Raleigh, NC 27609
(919) 431-3000
- Providers have 60 days from the receipt of the certificate and worksheet to appeal the rating.
- The rated certificate and any subsequent certificates remain in effect during any contested case hearing process.



QUESTIONS??

If you have questions about the material presented today, please feel free to email Megan Lamphere, Star Rating Administrator at:

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