September 8, 2016

Presented by:
Jean Iacino
Deputy Director

Scott Vivona
Assistant Deputy Director
AGENDA

1. Welcome
   Claudia Crist, RN, FACHE

2. Overview
   Kristin Vandersluis

3. CHCQ Updates
   Jean Iacino

4. Citation Information Update
   Jean Iacino

5. New Quality Improvement Projects
   Scott Vivona,
   Andy Barbusca,
   Muree Larson-Bright

6. CHCQ’s Role in Emergency Preparedness and Response
   Eric Morikawa

7. Licensing Standards for ASCs, CORFs, and ESRDs
   Chelsea Driscoll

8. Questions and Answers
   Jean Iacino
Welcoming Remarks

- Claudia Crist, RN, FACHE
  Chief Deputy Director of Policy and Programs
Overview

• Kristin Vandersluis
  Facilitator
CHCQ Updates

• Jean Iacino
  Deputy Director
FY 16/17 CHCQ Budget Adjustments

- $2.5 M authority to convert 18 limited-term positions to permanent positions in Professional Certification Branch (PCB) and add 2 attorneys
- $2 M authority from Internal Departmental Quality Improvement Account to design of the Centralized Applications Unit IT system and redesign of the Health Facilities Consumer Information System
- $2.1 M authority to cover salary and benefit increases in the Los Angeles County contract
Citations - Going Public
What is a citation?

- A “state enforcement action”.
- A civil sanction issued to a LTC facility that has violated a state or federal statute or regulation regarding the operation or maintenance of the facility.

Health & Safety Code (HSC) §§ 1423(a), 1424
California Licensed LTC Facilities

- Skilled Nursing Facilities (SNF)
- Nursing Facilities (NF)
- Congregate Living Health Facilities (CLHF)
- Intermediate Care Facilities (ICF)
- Intermediate Care Facilities/Developmentally Disabled (ICF/DD)
- Intermediate Care Facilities/DD – Habilitative (ICD/DD-H)
- Intermediate Care Facilities/DD – Nursing (ICF/DD-N)
- Intermediate Care Facilities/DD – Continuous Nursing (ICF/DD-CN)
- Pediatric Day Health and Respite Care Facilities (PDHRC)

HSC §§ 1250, 1418.7(d), 1423(c), and 1424.1
Documenting Survey Findings

Form = 2567/SOD

- documentation of violations cited during survey
- federal Statement of Deficiency [CMS Form 2567]
- state Statement of Deficiency [state-2567]

Form = 1424

- Documentation of violations related to the state enforcement action
- SECTION 1424 NOTICE
- HSC § 1424
Transparency Drivers

- Citation QI Project (CSU-Fresno)
- SB 75 - Issue citations ≤ 30 days
- Public Records Acts Requests -
Transparency Benefits

- Health Care Facilities/Planners
- Advocacy Groups/Media
- CHCQ Mission: Quality Health Care & Facilities
- CDPH Vision: Healthy Individuals and Families in Healthful Communities
CHCQ Citations – Going Public

Currently posted: AA state 2567s

Coming:

1 – HFCIS: Upload 1424 PDFs
2 – CHHS Open Data Portal
3 – HFCIS: e-Citation Tool
HFCIS Upload: 1424 & 2567 PDF

- AA, A & B citations + state 2567
- As-issued citation class and penalty amount
- PDF (hard copy redaction)

<table>
<thead>
<tr>
<th>Citation Class</th>
<th>When Available</th>
<th>Issued Date</th>
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<tbody>
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<td>AA</td>
<td>10/01/2016</td>
<td>≥ 1/1/2012</td>
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<tr>
<td>A</td>
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<td>≥ 1/1/2012</td>
</tr>
<tr>
<td>B</td>
<td>11/01/2016</td>
<td>≥ 7/1/2016</td>
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Complaints/Facility Self-Reported Incidents/Inspection Results Summary

Disclaimer: Federal deficiencies that are corrected during a follow-up survey are listed on the 'Survey Findings' page but not included in the total deficiency count.

View Federal Statement of Deficiencies With Plan of Correction

View State Citations with Statement of Deficiencies and Plan of Correction

YEAR: 2016

20 Complaints
2 Facility Self-Reported Incidents
4 State Enforcement Actions
11 Survey Deficiencies
HFCIS Upload: 1424 & 2567 PDFs

State Citations with Statement of Deficiencies and Plan of Correction

Facility Information

ID:
Name:

Penalty Number - 120011478 Event ID - 0P7Y11 Citation Issued Date - 6/22/2015
Penalty Number - 120011779 Event ID - 405611 Citation Issued Date - 11/9/2015
Penalty Number - 120011664 Event ID - 7Z7V11 Citation Issued Date - 9/14/2015
Penalty Number - 120011224 Event ID - IS6W11 Citation Issued Date - 2/4/2015
Penalty Number - 120012021 Event ID - KD4O11 Citation Issued Date - 2/22/2016
Penalty Number - 120010167 Event ID - WZUZ11 Citation Issued Date - 2/11/2014
Penalty Number - 120010482 Event ID - XTRD11 Citation Issued Date - 3/26/2014
**State of California - Health and Human Services Agency**

**SECTION 1424 NOTICE**

**CITATION NUMBER:** 12-2580-0011478-F

**Type of Visit:** Complaint Investig.

**Incident/Complaint No.(s):** CA00435200, CA00434858

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You are hereby found in violation of applicable California statutes and regulations or applicable federal statutes and regulations.

**Licensee Name:**

**Address:**

**License Number:**

**Licensee:** Limited Liability Company

**Facility Name:** Parkview Healthcare Center

**Address:**

**Facility Type:**

**Capacity:** 184

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<table>
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<tr>
<th>SECTIONS VIOLATED</th>
<th>CLASS AND NATURE OF VIOLATIONS</th>
<th>PENALTY ASSESSMENT</th>
<th>DEADLINE FOR COMPLIANCE</th>
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<tbody>
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<td>F323</td>
<td>CLASS A CITATION - PATIENT CARE</td>
<td>$10,000.00</td>
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# CHHS Open Data Portal Files

- LTC state enforcement actions
- As-issued and final (citation class and penalty $)
- Detail and Narrative Files

<table>
<thead>
<tr>
<th>Files</th>
<th>Time Period</th>
<th>~ Go Live Date</th>
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<tbody>
<tr>
<td>Narrative</td>
<td>AA, A &amp; B (as of 1/1/2012)</td>
<td>11/1/2016</td>
</tr>
<tr>
<td></td>
<td>Other (= APs)</td>
<td>7/1/2017</td>
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</table>
Proposed CHHS Open Data Files

- LTC enforcement action detail file
- LTC citation narrative file
- Detail file data dictionary
- Narrative file data dictionary
- Citation FAQ Paper
- MSAccess Viewing Template
HFCIS: e-Citation Tool

- AA, A & B citations
- As-issued and final (citation class and penalty $)
- As-issued citation language
- System data (soft copy redaction)
- Query-able; export reports

<table>
<thead>
<tr>
<th>Files</th>
<th>Time Period</th>
<th>~ Go Live Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Citation Detail</td>
<td>All (1998+)</td>
<td>11/1/2016</td>
</tr>
<tr>
<td>Narrative</td>
<td>See Open Data timeline.</td>
<td></td>
</tr>
</tbody>
</table>
HFCIS: e-Citation Tool

Long-Term Care Facility Citations

Disclaimer: Citation documents reflect only the originally-issued citation class and penalty amount. Revised citations class and penalty amounts resulting from appeals can be viewed on the HFCIS LTC Citations Results page.

ENTER ONE OR MORE SEARCH FIELDS:

Penalty
Penalty #:    Class:        ALL
Disposition
Status:     Category:    ALL

Narrative keyword search:

Penalty issued dates
Start: MM/DD/YYYY          End: MM/DD/YYYY

Facility general
Name:    Type: --- ALL ---

Exact Match Contains

District Office Responsible:
--- ALL ---

Facility detail
Facility #:    Status: --- All ---
**Template = HFCIS Results**

<table>
<thead>
<tr>
<th>Citation #</th>
<th>Facility Name</th>
</tr>
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<tbody>
<tr>
<td>200002798</td>
<td>Blacked out</td>
</tr>
</tbody>
</table>

- **Penalty Type:** Citation
- **Penalty Number:** 200002798
- **Penalty Class:** AA
- **Assessment Amount:** 70000.00
- **Violation From Date:** 2003-09-21
- **Violation To Date:**
- **Penalty Date:** 2004-04-06
- **Appeal Due Date:** 2007-11-13
- **Appeal Received Date:** 2004-04-21
- **Disposition Status:** Closed
- **Correction Date:** 2004-04-06
- **Penalty Category:**
- **Facility Name:** Blacked out
- **Facility Type:** SNF
- **Facility Status:** Skilled Nursing Facility
- **Facility Op State:** Open
- **DO Responsible:** East Bay District Office
- **County:** ALAMEDA
- **DO Name:** Blacked out
- **License Number When Issued:**
- **Licensee Name When Issued:**
- **Facility ID:** 20000000
Template = Citation Report
New Quality Improvement Projects

- Scott Vivona
- Andy Barbusca
- Muree Larson-Bright
Provider Bill of Rights
“Informal Conferences”
CHCQ successfully implemented two Q.I. projects in 2015 as follows:

- LTC complaints
- LTC citations

...and we are continuing using PDCA principles to make improvements as follows:
We are preparing to kick-off a Q.I. team and project charter on “informal conferences.”

The purpose is to improve communication and collaboration by establishing a process to inform complainants about the status of an long term care facility investigation while preserving resident privacy rights.
The project activities are as follows:

- Invite customer input
  - Collect ideas and recommendations
- Review statute and update guidance
  - Health and Safety Code 1420
  - Consider timelines and restrictions
  - Establish process and identify what can be shared
- Establish policy and procedure
  - Improve outcome
  - Improve communication
Stay tuned for quality improvement and excellent customer service!!
Rapid Innovation Project

- Retained Foreign Object Adverse Event Investigations
Use data, analytics, and technology to improve retained foreign object (RFO) adverse event investigations.

Adverse events are events in healthcare settings that should never happen, such as retained foreign objects, pressure ulcers, wrong surgical site, patient abductions. L&C investigates every adverse event reported.
“Innovation” Principles

1. Customer Oriented (user focused)
2. Analytics
3. Test small, fail small, scale big

"Unless we try, we'll never know the potential..."
Prioritization of 100 Ideas  Top 10 Priorities

- Identified more than 100 user-centered ways that technology could be used to improve the existing processes...key categories include:
  - Facility Profile
  - Investigative Process Template
  - Timelines
  - Resources
  - 2567 Checklists
  - Functionality/Options

- Narrowed to a list of 10 priorities will have the greatest impact for the investigator
External Resource Partner → Bringing the Ideas to Life

1. “Architect”

2. “General Contractor”
Factor = User-Centered Design focus

- Identify priorities and confront trade-offs
- Start small with a big vision
- State contracting processes can align more to support the “end-user”
“Architect” Contracting Step #1

- We have executed a contract for a consultant to develop the Project Approval Life Cycle Documents, and a Scope of Work (SOW)

- We are working with the contractor to translate our priorities and vision into a SOW that we can use to bring on a “general contractor.”
Disaster Response

CHCQ Roles, Responsibilities, and Activities
CHCQ Disaster Response

Duty Officer Program

CHCQ Duty Officers respond to reported emergency incidents that pertain to programs, health care facilities or providers overseen by CHCQ

Types of reported incidents include:

- Fires, floods, and other natural disasters
- Mass casualty accidents and Environmental Hazards
- Unusual Occurrences at health care facilities
- Complaints and questions
Type of Duty Officer Calls Received
CHCQ Disaster Response – Duty Officer Call Details
Erskine Vegetation Fire – June 2016
Erskine Vegetation Fire, Lake Isabella, Kern County

Thursday, June 23, 2016

• Started at approximately 4:00 p.m. near Lake Isabella (Northeast of Bakersfield) in Kern County.

• At 5:02 PM, the Bakersfield District Office (DO) received notice of fire near Kern Valley Healthcare District.
  ▫ Hospital had not received instructions to evacuate, was sheltering in place, and had activated their emergency policy.

• At 7:34 pm, the CDPH Duty Officer contacted the CHCQ Duty Officer and notified CHCQ that the hospital was evacuating.
Erskine Vegetation Fire, Lake Isabella, Kern County

**Duty Officer Responsibilities**

CDPH Duty Officer notifies CHCQ Duty Officer

Next Steps: Assess the Call/Situation:

- Where? What Facilities affected? DOs involved?
- Determine the Level of Emergency (I, II, or III)
- Routing the Call (who to contact and when)
Erskine Vegetation Fire, Lake Isabella, Kern County

Google Earth View: Kern County near Lake Isabella
Erskine Vegetation Fire, Lake Isabella, Kern County

Thursday, June 23, 2016

What Facilities affected?  *Google Earth, Sit Reps received*

**Kern Valley Healthcare District**
6412 Laurel Avenue
Lake Isabella, CA  93240
Kern County

Critical Access Hospital (CAH) and a Distinct Part Skilled Nursing Facility (DP SNF)
Licensed Bed Capacity 27 CAH beds and 74 SNF beds
Erskine Vegetation Fire, Lake Isabella, Kern County

Thursday, June 23, 2016

- Level I and becoming Level III – DO and FOBC notified immediately by phone and email
- Continuous communication Thursday evening (7:00 pm – 11:30 pm)

CPDH Duty Officer

CHCQ Duty Officer

Bakersfield DO / FOBC

Local contacts – RDMHS/EMS Coordinator
Hospital Staff
DO Monitoring & Reporting

- Monitors and reports on facility operations, staffing, and health and safety of patients
- Ensures that facilities are following state and federal requirements as well as their own emergency plans.
- Monitors the welfare of patients after transfer to a receiving facility
- Investigate patient/resident complaints
Program Assistance

- Duty Officer and/or DO may assist in the identification and/or coordination with health care facilities for accepting patients.
- Provide regulatory guidance and may approve program flex requests
- CHCQ may coordinate activities and requests with CMS
- DO will coordinate with other agencies such as OSHPD to approve repopulation of a health care facility.
Erskine Vegetation Fire, Lake Isabella, Kern County

Saturday, June 25 through Monday, June 27

• CHALLENGE:
  Due to communication issues, DO staff:
  ▫ Unable to reach Hospital staff to receive evacuation locations and patient information;
  ▫ Called facilities in the area to gather information

• DO was able to contact the Hospital Administrator and received the following updates:
  ▫ Location and welfare of evacuated residents.
  ▫ Facility status - without power, on boil water notice, no land lines, and cell service limited.
Erskine Vegetation Fire, Lake Isabella, Kern County

Thursday, June 30 and Friday, July 1

- Mandatory evacuation order lifted.
- Hospital power and water were restored.
- OSHPD and LSC staff onsite to ensure facility ready for patient services; and
- Facility opens emergency and acute care services following final clearance by the District Office on July 1, 2016.
- SNF repopulates the skilled nursing residents the following week.
Erskine Vegetation Fire, Lake Isabella, Kern County

The fire ultimately resulted in over 48,000 acres burned, over 250 structures destroyed, and 2 confirmed fatalities. Other impacts included:

- Power outages
- Mandatory evacuations
- Road closures
- Boil water notices, and
- Cell phone service disruption
CHCQ Disaster Response

Questions???
Stakeholder Input

Licensing Standards for:
Licensed Surgical Clinics
Chronic Dialysis Clinics
Rehabilitation Clinics
SB 534

- Authorized the use of federal certification standards as licensing requirements
- Requires a study
- Requires at least one public hearing
Analysis of federal standards

- CDPH contracted with the Institute for Population Health Improvement (IPHI) at UC Davis

- IPHI’s evaluation focused on two questions
  - what regulations are other states using to oversee these facilities
  - what are the known quality issues – defined broadly as concerns related to safety, effectiveness, patient-centeredness, timeliness, efficiency, and equity?
UCD Report

“A Review of Regulatory Standards, Quality of Care Concerns, and Oversight of Ambulatory Surgery Clinics, Comprehensive Outpatient Rehabilitation Facilities, and End-Stage Renal Disease Facilities”
UCD Report Findings

• Use of CMS certification standards is consistent with national standard practice
• Some other states require accreditation for more types of ASCs and for CORFs
• Better compliance with existing federal standards would address quality concerns
• State-specific standards would be of uncertain value
Comments or Questions?
Additional Feedback

- Accepted through September 30, 2016
- Submit to the Stakeholder Forum mail box at: CHCQStakeholderForum@cdph.ca.gov
Questions and Answers
Additional questions? Feedback?

Email the Stakeholder Forum mail box at: CHCQStakeholderForum@cdph.ca.gov
Mark Your Calendars

Next CHCQ Stakeholder Forum
February 15, 2017
2 p.m. to 4 p.m.