



Department of Health

KATHY HOCHUL
Governor

MARY T. BASSETT, M.D., M.P.H.
Acting Commissioner

KRISTIN M. PROUD
Acting Executive Deputy Commissioner

January 1, 2022

DAL#: 22-01
2021 Adult Care Facility
4th Quarter Quarterly Statistical Information Report

Dear Administrator:

Regulations governing the operation of Adult Care Facilities (ACFs) are found under Title 18 of the New York Codes, Rules and Regulations (“18 NYCRR”) and include Standards for Adult Homes (Part 487), Standards for Enriched Housing Programs (Part 488), and Standards for Residences for Adults (Part 490). Pertinent subsections of each regulatory Part, 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 (QSIR). Such QSIRs are the primary source of data regarding ACF occupancy and resident characteristics and are used for many purposes, including emergency contact information and grants. Therefore, it is essential that the QSIR data provided are accurate and verifiable.

All ACFs licensed by the New York State Department of Health (“Department”) are required to complete the 2021 ACF 4th Quarter QSIR, encompassing the period from October 1, 2021 to December 31, 2021. 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 (i.e., “Transitional Adult Homes”), are required to provide additional information per 18 NYCRR §487.10(e)(3). Specifically, these 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 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 Part 487 (see attached Definition of Terms);
- (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.

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, 2021 to December 31, 2021. ACF-specific Rosters of Adult Home Residents corresponding to each quarter are forwarded to the administrator of each Transitional Adult Home by program staff via the Health Commerce System (HCS) Secure File Transfer Utility. These rosters are sent with instructions for submission and must be used by facilities for the required update.

The 2021 ACF 4th Quarter QSIR (and Roster of Adult Home Residents, if applicable) must be submitted to the Department no later than **January 31, 2022**. Administrators may access and complete these reports on the HCS effective January 1, 2021. 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 → 4th Quarter 2021 Statistical Information Report. Note: Faxed or printed copies will not be accepted.

Several individuals, including the ACF's Administrator, HPN Coordinator, and Data Reporter, may enter data for this QSIR; however, the Administrator must review the QSIR data, complete the attestation statement, and submit the completed QSIR. Please note that failure to submit this QSIR by January 31, 2022 may result in enforcement action, including the imposition of civil penalties.

Questions pertaining to this DAL and programmatic requirements should be directed to acfqsir@health.ny.gov. Questions specific to the Roster of Adult Home Residents should be directed to Matthew Gasbarro, of the Office of Community Transitions, at (518) 485-8781, or via email to commtran@health.ny.gov. Thank you for your anticipated cooperation in this matter.

Sincerely,

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

Attachments:

DAL 22-01 Definition of Terms

DAL 22-01 ACF 4th Quarter QSIR Data Entry Instructions

cc: J. Treacy
M. Hennessey
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