

New York State Medicaid Home and Community-Based Services

Heightened Scrutiny Evidence Packet

Setting Information

Provider Name W Day Care		
Location of Setting Queens, NY	Type of Setting Social Adult Day Care (SADC)	Medicaid Home and Community-Based Services Being Provided at the Setting Social Adult Day Care (SADC) Services

Heightened Scrutiny Prong

No	Prong 1: Setting is in a publicly or privately operated facility that provides inpatient institutional treatment.
No	Prong 2: Setting is in a building on the grounds of, or adjacent to, a public institution.
Yes	Prong 3: Setting has the effect of isolating individuals from the broader community.

Qualification for Prong

The SADC site has the effect of isolating individuals from the broader community. Details on isolating characteristics, which are being or were already remediated, are found in the All HCBS Settings and Additional Requirements for Provider-Owned or Controlled Settings sections below.

Provider Compliance Summary

Requirements for All HCBS Settings		
Compliant?	Federal Requirement	Summary
<p><i>42 CFR 441.301(c)(4)(i)</i></p> <p>Partially Compliant</p>	<p>The setting is integrated in and supports full access of individuals receiving Medicaid HCBS to the greater community, including opportunities to seek employment and work in competitive integrated settings, engage in community life, control personal resources, and receive services in the community, to the same degree of access as individuals not receiving Medicaid HCBS.</p>	<p>DOH verified members have access to the greater community by confirming transportation options, support for volunteer/employment opportunities, staff resources, and that member preferences are accommodated by reviewing activity calendars, transportation schedules, daily sign-in/out sheets, and inclusion of preferences in member's PCSP. The SADC has demonstrated compliance in all areas of the standards except for the following: PCSPs reviewed did</p>

		not include community integration activities, goals and activities appear to be on-site only, specific goals documented do not appear to involve opportunities to complete a task/activity and/or use a skill in the community and each PCSP identifies possible safety or risk factors but do not address possible supports in place, referrals needed, and/or ongoing monitoring to support community integration. Remediation will include implementing changes to increase supports and opportunities for community activities to support documented individualized goals in PCSPs, and will be completed by 7/1/2023.
<p><i>42 CFR 441.301(c)(4)(ii)</i></p> <p>Compliant</p>	<p>The setting is selected by the individual from among setting options, including non-disability specific settings and an option for a private unit in a residential setting. The setting options are identified and documented in the person-centered service plan and are based on the individual's needs, preferences, and, for residential settings, resources available for room and board.</p>	<p>The member must choose the SADC site prior to attending. This is done through the person-centered planning process, which is conducted by the MLTC plan. If it is determined the member qualifies and needs SADC, the MLTC plan care manager supplies a list of available SADC site options, and the member makes their selection of where they would like to attend and receive services. The MLTC plan care manager documents the need and the choice of SADC site in the MLTC plan PCSP.</p>
<p><i>42 CFR 441.301(c)(4)(iii)</i></p> <p>Partially Compliant</p>	<p>Ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.</p>	<p>DOH verified members have privacy, are treated with respect and dignity, and are supported to choose their own schedules and activities based on their preferences by reviewing member PCSPs, SADC policy manuals, member experience surveys, staff training topics, and observing the spaces allocated for privacy. The SADC has demonstrated compliance in all areas of the standards except for</p>

		<p>the following: PCSPs reviewed do not indicate how dignity and privacy are maintained if a member requests assistance with personal health matters (i.e. from a specific staff member, by gender preference). Remediation will include ensuring member clinical and support needs are documented with the member's choices also being noted, and will be completed by 3/17/2023.</p>
<p>42 CFR 441.301(c)(4)(iv) Partially Compliant</p>	<p>Optimizes, but does not regiment, individual initiative, autonomy, and independence in making life choices, including but not limited to, daily activities, physical environment, and with whom to interact.</p>	<p>DOH verified staffing ratios, programming, and recreational areas as well as any barriers to free movement, and those individualized activities are offered by reviewing staff schedules, member PCSPs, activity schedules, and through on-site observation. The SADC has demonstrated compliance in all areas of the standards except for the following: goals identified vary by participant but activities are nearly identical across three PCSPs reviewed, and each PCSP reviewed identifies possible health/safety needs without addressing possible supports in place, referrals needed, and/or ongoing monitoring to support community integration. Language in the Service Plan Policy is non-compliant because it indicates the PCSP process is done "in conjunction with" the member. Remediation will include PCSPs being reviewed at least annually to ensure goals reflect member strengths, preferences, and interests, an update to the PCSP to ensure the member is directing the planning process, assessed needs and necessary supports will be noted in the "Intervention" section of the PCSP, and progress will be tracked, monitored, and noted in</p>

		Outcomes during reviews, and will be completed by 3/17/2023.
42 CFR 441.301(c)(4)(v) Compliant	Facilitates individual choice regarding services and supports, and who provides them.	DOH verified staff knowledge of members' needs and interests, as well as members' individual choice regarding their activities and supports, and the staff who provide them by evaluating member experience survey results, and reviewing SADC policies, and member handbooks, as well as through observation during the virtual on-site review.
Additional Requirements for Provider-Owned or Controlled Settings		
Compliant?	Federal Requirement	Summary
<i>Standards for Provider-Owned and Controlled Residential and Non-Residential Settings</i>		
42 CFR 441.301(c)(4)(vi)(C) Compliant	Individuals have the freedom and support to control their schedules and activities; and have access to food any time.	DOH verified the availability for meal options, private dining spaces, activity modifications, and the freedom to take breaks and eat meals at the member's request by reviewing weekly menus, policy manuals, and through on-site observation.
42 CFR 441.301(c)(4)(vi)(D) Compliant	Individuals are able to have visitors of their choosing at any time.	DOH verified the acceptance of visitors during program hours by reviewing visitor policies and sign-in/out forms.
42 CFR 441.301(c)(4)(vi)(E) Compliant	The setting is physically accessible to the individual. (Not modifiable)	DOH verified accessibility of the facility through observation, during the virtual on-site review.
42 CFR 441.301(c)(4)(vi)(F) Compliant	Any modifications of the additional conditions under 441.301(c)(4)(vi)(A) through (D) for provider-owned and controlled settings must be supported by a specific assessed need and justified in the person-centered service plan.	DOH verified modifications were not offered or accommodated to support the freedoms for members of all abilities by reviewing completed member PCSPs. The SADC has demonstrated compliance in all areas of the standards except for the following: risk factors identified in the PCSP initial assessment that may justify limitations for independence in the community are listed, but no supports appear to have been arranged to address them, nor is

		a modification or restriction on leaving the SADC noted. Remediation will include updating PCSP documentation to ensure necessary supports for identified health/safety needs will be noted in the "Intervention" section of the PCSP, and progress will be tracked, monitored, and noted in Outcomes during reviews, and will be completed by 3/17/2023.
Standards for Provider-Owned and Controlled Residential Settings Only		
42 CFR 441.301(c)(4)(vi)(A) Not Applicable	The unit or dwelling is a specific physical place that is owned, rented, or occupied under a legally enforceable agreement by the individual receiving services, and the individual has the same responsibilities and protections from eviction as all tenants under landlord/tenant law of the State, county, city, or other designated entity. In settings where tenant laws do not apply, a lease, residency agreement or other written agreement is in place providing protections to address eviction processes and appeals comparable to those provided under the jurisdiction's landlord/tenant law.	SADC sites are non-residential, and therefore this standard is not applicable.
42 CFR 441.301(c)(4)(vi)(B) Not Applicable	Each individual has privacy in their sleeping or living unit: (1) Units have entrance doors lockable by the individual, with only appropriate staff having keys to doors. (2) Individuals sharing units have a choice of roommates in that setting. (3) Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement.	SADC sites are non-residential, and therefore this standard is not applicable.

Recommendation

As required by 42 CFR 441.301(c)(5), the State of New York submits this request for heightened scrutiny review of the SADC site identified above. The State has validated and compiled evidence that

the SADC site is not institutional in nature and will have remediated all isolating characteristics prior to March 17, 2023.

Section One

On-Site Visit Observation

Date(s) Conducted: 10/27/2022	State Agency/Entity that Conducted the On-Site Visit: NYS DOH & RiverSpring at Home / Ilene Greinsky
<p>Description of the Setting:</p> <p>The W Group Day Care LLC SADC is located within an assisted living facility in Queens, NY. The SADC has its own entrance and exit, it operates from the lower level of the building and is separated from the assisted living facility. The building is in an urban area in Rockaway Park, close to the boardwalk. The SADC serves up to 110 members a day, offering community activities and outings, and site-based activities that include various exercise groups, games, live entertainment, and instructional classes. The SADC has a large gathering area outside with chairs and benches available for members to socialize outside. Transportation is provided by the site for group outings and individual requests for community integration activities. Information about community events is provided to members and they discuss them during Resident Council meetings to determine future SADC activities and to make individuals aware of activities they can do independently.</p>	

Section Two

Community Integration Observations and Input from Individuals Served (without observation by staff), Family Members/Guardians, and Staff

<p>Individual (Recipient) Interviews</p> <p>The MLTC plan contracted with the SADC site conducted a member experience survey to ascertain how members feel about the SADC. DOH utilized responses on the survey to identify any potential areas of possible non-compliance and investigated thoroughly during the virtual on-site review, to confirm validity of the responses. DOH's determination and observations are documented in the Provider Compliance Summary section.</p> <p>Details received and investigated by DOH are as follows:</p> <ol style="list-style-type: none"> 1. Are you able to be in private for this call or interview? – Yes 2. Did you choose this program for yourself to attend? – Yes 3. Are you able to leave the SADC for outside activities you wish or need to attend? (Ex. community activities, volunteer work, doctor appointments) – Yes 4. Do you get the help you need while you are at the program, for example with using the restroom, grooming, feeding, setting up appointments, taking medications, etc.? – Yes 5. Do staff treat you and those around you with respect and care? – Yes 6. If you have a problem or concern, do you know who to go to? – Yes 7. If you have a problem or concern, and you speak to someone about it, does it get resolved and do you feel listened to? – Yes 8. Do you get to choose when and with whom you get to eat with, or can you eat alone if you want to? – Yes 9. Can you make private phone calls? – Yes 10. Are you allowed to have visitors while you are here? – Yes 11. Do you know where to store your personal belongings while you are here (coat, purse, etc.)? – Yes 12. Do you get to choose which activities you will or will not participate in, and with whom? – Yes 13. Are there restrictions on who you can or cannot interact or talk with? – No -"Member said she can interact with anyone she chooses to."
--

14. Are you allowed to move around the building alone? If not, are staff available when you choose to move around? – Yes
15. Is transportation and support to obtain transportation available to you, at your request, for medical appointments or outings of your choosing? – Yes

Employee Interviews

Section Three

Additional Evidence

The following evidence has been compiled that demonstrates the setting is integrated in, and supports full access of, individuals receiving HCBS into the greater community.

- 2022-10-27_Virtual On-Site Review_s0080.pdf
- Activity Calendar.pdf
- Activity Interest Review Policy and Assessments.pdf
- Care Plan Changes and Grievances.pdf
- Community Access Bulletin Board with Bus Schedule.docx
- Computer Room.JPG
- Member Experience Survey_1.xlsx
- Member Experience Survey_2.xlsx
- Member Experience Survey_3.xlsx
- Menu Calendar.pdf
- Participants Rights.pdf
- Person Centered Care Training.pdf
- Person-Centered Planning Assessments.pdf
- Private Dining Space.jpg
- Quality of Individual Experiences In-Service Training.pdf
- Remediation Plan.xlsx
- Resident Council Policy.pdf
- SADC PCSP_1.pdf
- SADC PCSP_2.pdf
- SADC PCSP_3.pdf
- Self-Assessment Review_#320.pdf
- Service Plan Policy.pdf
- Snack and Hydration Station.docx
- Trainingschedule_000368.pdf
- Transportation Maps.pdf
- Visitor Policy.pdf

Section Four

Public Comments Summary

Public Comment Period

From: Click or tap to enter a date.

To: Click or tap to enter a date.

Summary of Public Comments Received for the Setting

Click or tap here to enter text.

Summary of the State’s Response to the Public Comment Received

Click or tap here to enter text.

