

**New York State Medicaid Home and Community-Based Services**

**Heightened Scrutiny Evidence Packet**

**Setting Information**

<b>Provider Name</b> Royal Community Care Center		
<b>Location of Setting</b> Brooklyn, NY	<b>Type of Setting</b> Social Adult Day Care (SADC)	<b>Medicaid Home and Community-Based Services Being Provided at the Setting</b> Social Adult Day Care (SADC) Services

**Heightened Scrutiny Prong**

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

**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**

<b>Requirements for All HCBS Settings</b>		
<b>Compliant?</b>	<b>Federal Requirement</b>	<b>Summary</b>
<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: documentation</p>

		provided does not reflect information confirmed during the on-site regarding community integration activities (including the ability to come and go for employment/volunteering); and, PCSPs did not include goals, services, or preferences related to community engagement and integration. Remediation will include updates to documentation to reflect members have the freedom to come and go as they please, how members are provided with community event/activity information, what supports are available to engage in community activities, all PCSPs will include discussing and setting community integration goals, and will be completed by 7/1/2024.
<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>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.</p>

<p>42 CFR 441.301(c)(4)(iv)</p> <p>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: PCSPs did not include goals, services, or preferences related to community engagement and integration. The language used in documentation provided references the member "participating" in developing their care plan and being developed "in conjunction with" the member, both of which is not compliant. Remediation will include the SADC updating their Person-Centered Planning Policy to reflect that the process is driven by the member, and will be completed by 3/17/2023.</p>
<p>42 CFR 441.301(c)(4)(v)</p> <p>Compliant</p>	<p>Facilitates individual choice regarding services and supports, and who provides them.</p>	<p>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.</p>
<p><b>Additional Requirements for Provider-Owned or Controlled Settings</b></p>		
<p><b>Compliant?</b></p>	<p><b>Federal Requirement</b></p>	<p><b>Summary</b></p>
<p><b><i>Standards for Provider-Owned and Controlled Residential and Non-Residential Settings</i></b></p>		
<p>42 CFR 441.301(c)(4)(vi)(C)</p> <p>Compliant</p>	<p>Individuals have the freedom and support to control their schedules and activities; and have access to food any time.</p>	<p>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</p>

		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 offered and accommodated to support the freedoms for members of all abilities by reviewing completed member PCSPs.
<b>Standards for Provider-Owned and Controlled Residential Settings Only</b>		
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	SADC sites are non-residential, and therefore this standard is not applicable.

	sleeping or living units within the lease or other agreement.	
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**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**

<b>Date(s) Conducted:</b> 11/3/2022	<b>State Agency/Entity that Conducted the On-Site Visit:</b> NYS DOH & VillageCareMAX / Nancy Martinez
<b>Description of the Setting:</b>	
<p>Royal Community Care Center is located in Brooklyn in the West Midwood community. The SADC provides services in a two-story building, equipped with an elevator for those unable to navigate stairs, and has ample space to offer a variety of daily activities. The SADC caters to the senior Pakistani, Muslim community, offering multilingual support for their participants. Staff speak English, Urdu, and Punjabi, and provide an interpreter when needed to better serve the members. Members have a variety of activities scheduled for them to participate in and/or observe, including various exercise groups, games like ping-pong and billiards, arts and crafts, English as Second Language instruction and other educational/informational topics, and activities to engage members' cognitive abilities, such as "Reminiscence" and "Arm Chair Travels." The SADC utilizes private transportation and/or ride-share services to facilitate community integration activities that are not within walking distance from the setting. Community activities include walks, accessing local halal food pantries, visiting the local library, and recently went to the Prospect Parks Zoo. They work closely with local organizations, such as the Council of Peoples Organization, to provide information and support to participants to meet ongoing needs, and have convenient access to the area mosque where many participants go frequently.</p>	

**Section Two**

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

<b>Individual (Recipient) Interviews</b>
<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"> <li>1. Are you able to be in private for this call or interview? – Yes</li> <li>2. Did you choose this program for yourself to attend? – Yes</li> <li>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</li> <li>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</li> <li>5. Do staff treat you and those around you with respect and care? – Yes</li> </ol>

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? – Yes
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.**

- 2022-11-3\_Virtual On-Site Review\_s0255.pdf
- Activity Calendar.pdf
- Activity Checklist Showing Engagement Level.pdf
- Alternative Restaurant Menu.pdf
- Bus Route Map.pdf
- Care Plan Change Request Notice and Activity Flexibility.pdf
- Care Plan Worksheet.pdf
- Lunch Calendar.pdf
- Member Experience Survey\_1.xlsx
- MTA Transit Maps.pdf
- New Hire Training Requirements.pdf
- Outing and Special Events Sign-Up Logs.pdf
- Participant Bill of Rights.pdf
- Private Dining Area.pdf
- Remediation Plan.xlsx
- SADC PCSP\_1.pdf
- Self-Assessment Review\_#277.pdf
- Service Plan Policy.pdf
- Snack Bar Self-Serve Station.pdf
- Street Facing Visitor Hours and Instructions.pdf
- Training Policy.pdf

**Section Four**

**Public Comments Summary**

**Public Comment Period**

<b>From:</b> Click or tap to enter a date.	<b>To:</b> Click or tap to enter a date.
<b>Summary of Public Comments Received for the Setting</b> Click or tap here to enter text.	
<b>Summary of the State's Response to the Public Comment Received</b> Click or tap here to enter text.	