

# Center for Health Care Quality Semiannual Stakeholder Forum

**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 contracts



# 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 (ICF/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  $\leq$  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)

Citation Class	When Available	Issued Date
AA	10/01/2016	$\geq$ 1/1/2012
A	10/01/2016	$\geq$ 1/1/2012
B	11/01/2016	$\geq$ 7/1/2016

# HFCIS: URL and Disclaimer

## 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	<a href="#">Complaints</a>
2	Facility Self-Reported Incidents	<a href="#">Facility Self-Reported Incidents</a>
4	State Enforcement Actions	<a href="#">Enforcement Actions</a>
11	Survey Deficiencies	<a href="#">Survey Deficiencies</a>

# HFCIS Upload: 1424 & 2567 PDFs

## State Citations with Statement of Deficiencies and Plan of Correction

### Facility Information

ID:

Name:



### Citations with Statement of Deficiencies and Plan of Correction

- [Penalty Number - 120011478 Event ID - 0P7Y11 Citation Issued Date - 6/22/2015](#) 
- [Penalty Number - 120011779 Event ID - 4O5611 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](#) 



# HFCIS Upload:1424 & 2567 PDF

State of California - Health and Human Services Agency

Department of Public Health

## SECTION 1424 NOTICE

Page 1 of 3

CITATION NUMBER: 12-2580-0011478-F

Date: 06/22/2015 Time: *6/22/15  
David 10:40 AM*

Type of Visit : Complaint Investig.

YOU ARE HEREBY FOUND IN VIOLATION OF APPLICABLE CALIFORNIA STATUTES AND REGULATIONS OR APPLICABLE FEDERAL STATUTES AND REGULATIONS

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

Licensee Name

Address

License Number

Limited Liability Company

Facility Name: Parkview Healthcare Center

Address

Telephone

Facility Type

Facility ID

Capacity: 184

SECTIONS VIOLATED	CLASS AND NATURE OF VIOLATIONS	PENALTY ASSESSMENT	DEADLINE FOR COMPLIANCE
F323	CLASS A CITATION -- PATIENT CARE  F 323-483.25(h) Accidents	\$10,000.00	6/29/15 12:00 a.m.

# CHHS Open Data Portal Files

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

Files	Time Period	~ Go Live Date
Enforcement Action Detail	All (1998+)	11/1/2016
Narrative	AA, A & B (as of 1/1/2012)	11/1/2016
	Other (= APs)	11/1/2016
		7/1/2016

# 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

Files	Time Period	~ Go Live Date
Citation Detail	All (1998+)	11/1/2016
Narrative	See Open Data timeline.	

# HFCIS: e-Citation Tool

**CA.GOV** Health Facilities Consumer Information System CDPH

Home Programs Services Health Information Certificates & Licenses Publications & Forms Data

### Quick Links

- HFCIS Home
- Start Here Guide
- Help & FAQ
- Health Facilities
- Licensing & Certification
- Related Links
- Contact Us
- Strategy
- Contact HFCIS
- About Us
- Resident Rights
- Consumer Complaints
- Early Information
- Long-Term Care Facility Citations

## Health Facilities Information

Welcome to the Health Facilities Consumer Information System (HFCIS) website. The website's content is made available by the California Department of Public Health (CDPH), Center for Health Care Quality (CHCQ), Licensing and Certification Program (L&C) to provide immediate access to information about L&C's licensed long-term care facilities and hospitals throughout California.

The website provides profile information for each facility, such as general information, certification status (acceptance of Medicare and/or Medi-Cal) and performance history including complaints, facility self-reported incidents, state enforcement actions, and delinquencies identified by L&C staff. Locate a facility by entering a zip code, city, or county which will then detail the location on a map of the surrounding area.

The website also provides an option to submit a complaint regarding a specific facility. Complaints are forwarded to the appropriate L&C District Office for investigation.

Note: The Statement of Delinquency/Plan of Correction (Form 2547) approved after March 23, 2011 are displayed on the individual Skilled Nursing Facility's page as required by the Patient Protection and Affordable Care Act Section 4100.

The following summaries describe what information can be found on the site. To view any section that is of interest, please click on any of the links below:

### Find a Facility

Looking for a facility?  
[Click here to find facilities.](#)

### Public Health Alerts

Facility Listing  
CDPH Hospital Administrative Penalties by Counties  
[List of Consumer Protection and Information](#)  
[My Hospital Infections](#)  
[Long-Term Care Facility Citations](#)

### QUICK SEARCH

Zip Code:

City:

County:

All

Select a category:

Long-Term Care Facilities

Hospitals

Clinics

[Advanced Search](#)

# 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:

Disposition

Status:  Category:

Narrative keyword search:

### Penalty issued dates

Start:  End:

### Facility general

Name:  Type:

Exact Match  Contains

District Office Responsible:

### Facility detail

Facility #:

Status:



# Template = HFCIS Results

Citation #	Facility name	Date
020002798	[REDACTED]	2003-09-21
	<ul style="list-style-type: none"><li>→ Penalty Type: Citation</li><li>→ Penalty Number: 020002798</li><li>→ Penalty Class: AA</li><li>→ Assessment Amount: 70000.00</li><li>→ Violation From Date: 2003-09-21</li><li>→ Violation To Date:</li><li>→ Penalty Date: 2004-04-06</li><li>→ Appeal Due Date: 2007-11-13</li><li>→ Appeal Received Date: 2004-04-21</li><li>→ Disposition Status: Closed</li><li>→ Correction Date: 2004-04-06</li><li>→ Penalty Category: [REDACTED]</li><li>→ Facility Name: [REDACTED]</li><li>→ Facility Type: SNF</li><li>→ Facility Status: Skilled Nursing Facility</li><li>→ Facility Op State: Open</li><li>→ DO Responsible: East Bay District Office</li><li>→ County: ALAMEDA</li><li>→ Facility Name When Issued: [REDACTED]</li><li>→ License Number When Issued: [REDACTED]</li><li>→ Licensee Name When Issued: [REDACTED]</li><li>→ Facility ID: 020000090</li></ul>	

# Template = Citation Report

**Record Detail: 060004791**

*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.*

14 1 of 1 100% Find | Next

State of California - Health and Human Services  
Agency

Department of Public Health

SECTION 1424 NOTICE

Page: 1 of 1

CITATION NUMBER: 060004791

Date: 4/15/2008 12:00:00 AM Time:

Type Of Visit: Complaint Investig.

YOU ARE HEREBY FOUND IN VIOLATION OF APPLICABLE CALIFORNIA STATUTES AND REGULATIONS OR APPLICABLE FEDERAL STATUTES AND REGULATIONS

Incidents/Complaint No.(s) : CA00135423

Licensee Name:

Address:

License Number:

Facility Name:

Address:

Telephone :

Facility Type: Skilled Nursing Facility

Capacity: 41

Facility ID: 060000130

SECTIONS VIOLATED	CLASS AND NATURE OF VIOLATIONS	PENALTY ASSESSMENT	DEADLINE FOR COMPLIANCE
		50000.00	4/22/2008 12:00:00 AM

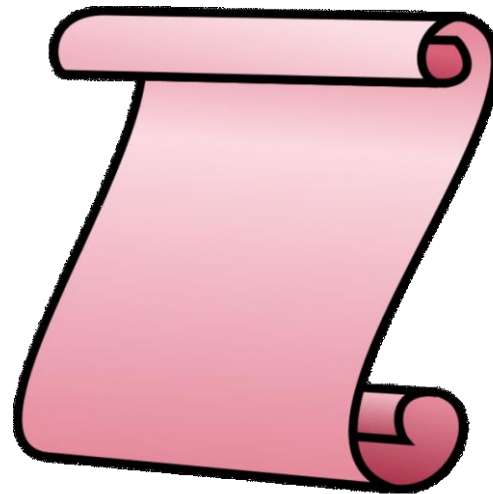




# New Quality Improvement Projects

- 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



# 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

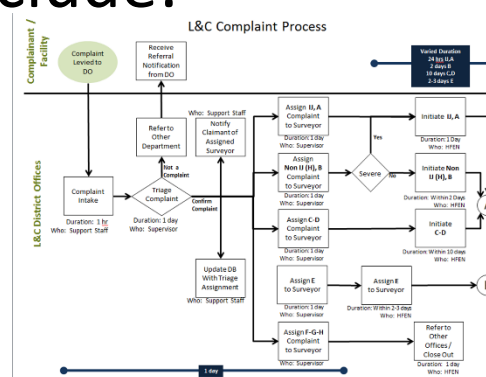
Resources

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”**



## Transferable Learnings →



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

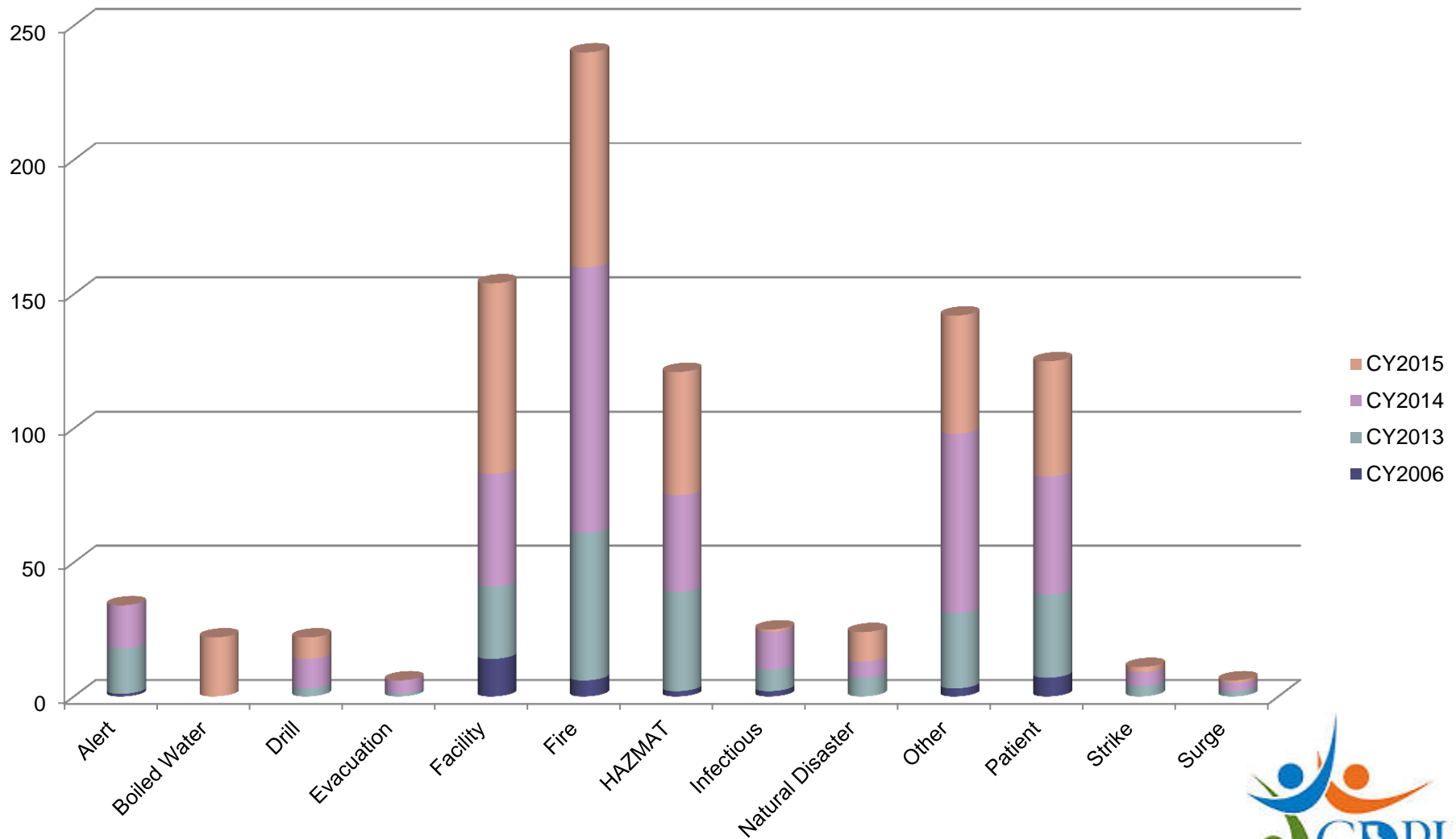
Types of reported incidents include:

- Fires, floods, and other natural disasters
- Mass casualty accidents and Environmental Hazards
- Unusual Occurrences at health care facilities
- Complaints and questions

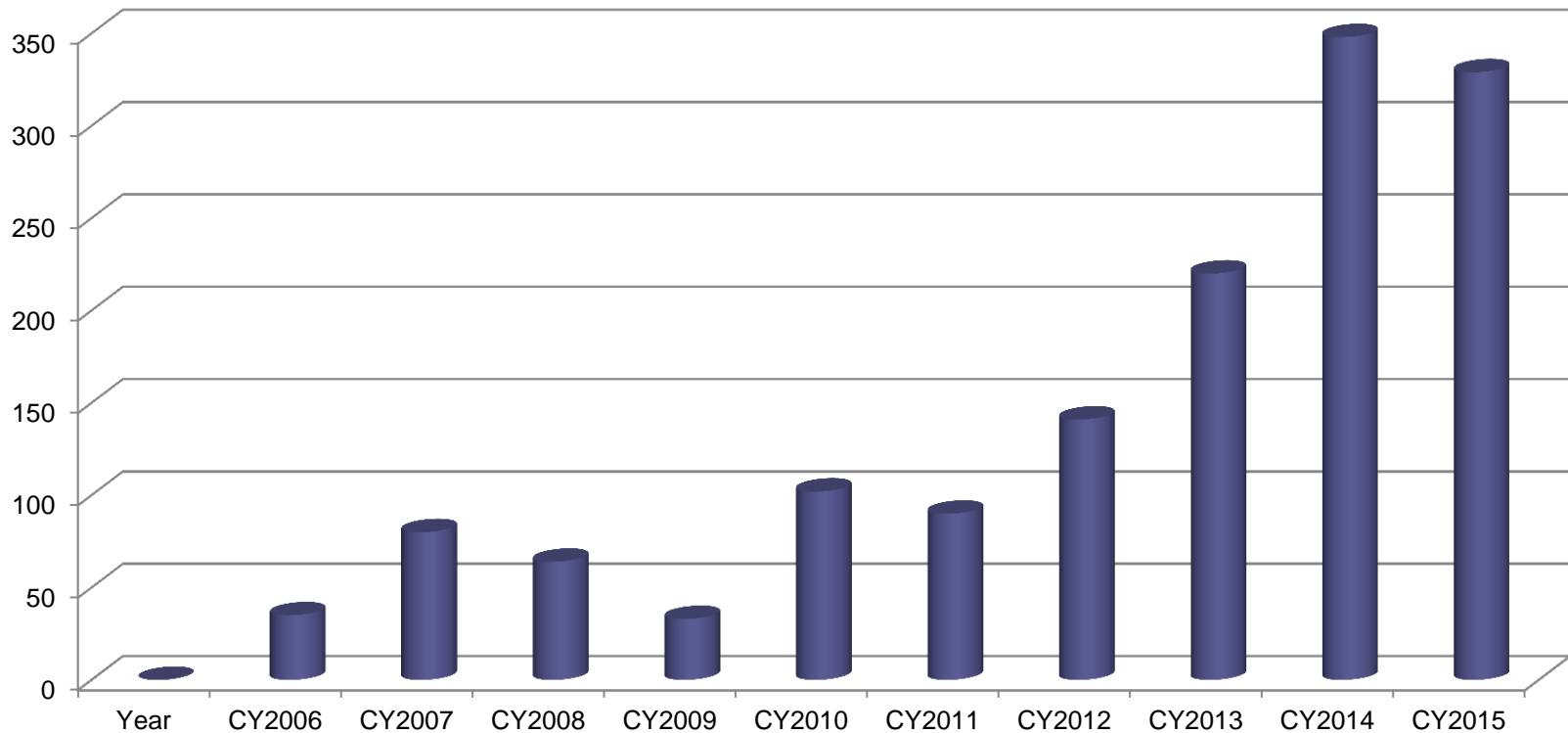




# Type of Duty Officer Calls Received



# 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**

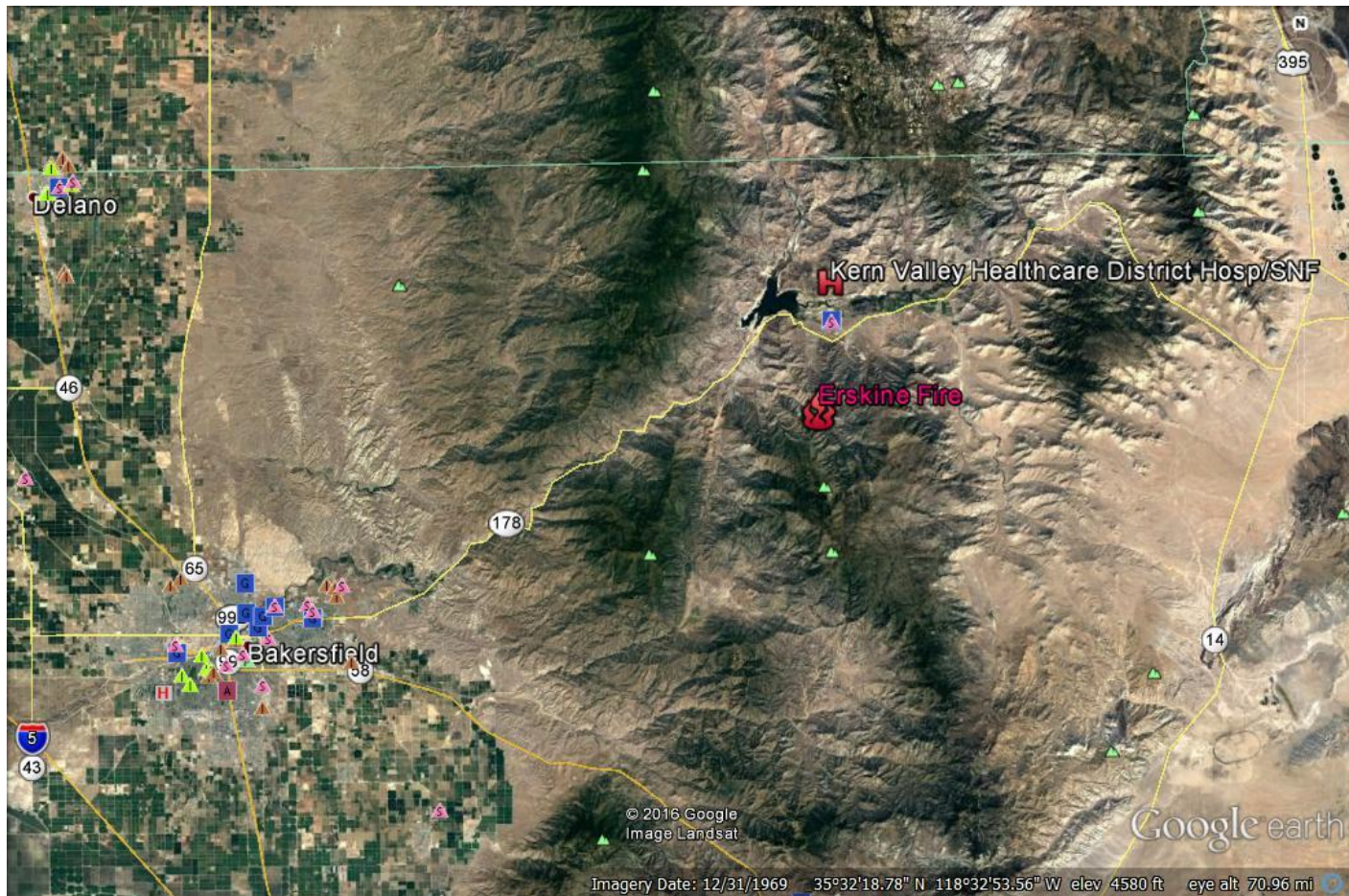
CDPH Duty Officer notifies CHCQ Duty Officer

### **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)

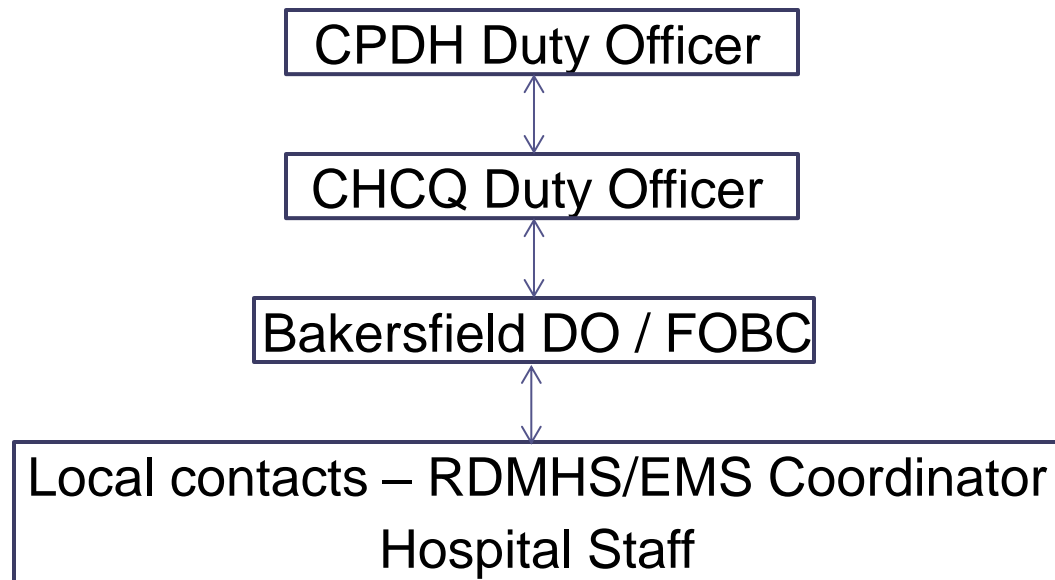
Licensed Bed Capacity 27 CAH  
beds and 74 SNF beds



# 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)





# CHCQ Disaster Response – Monitoring

## 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

# CHCQ Disaster Response – Assistance

## 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

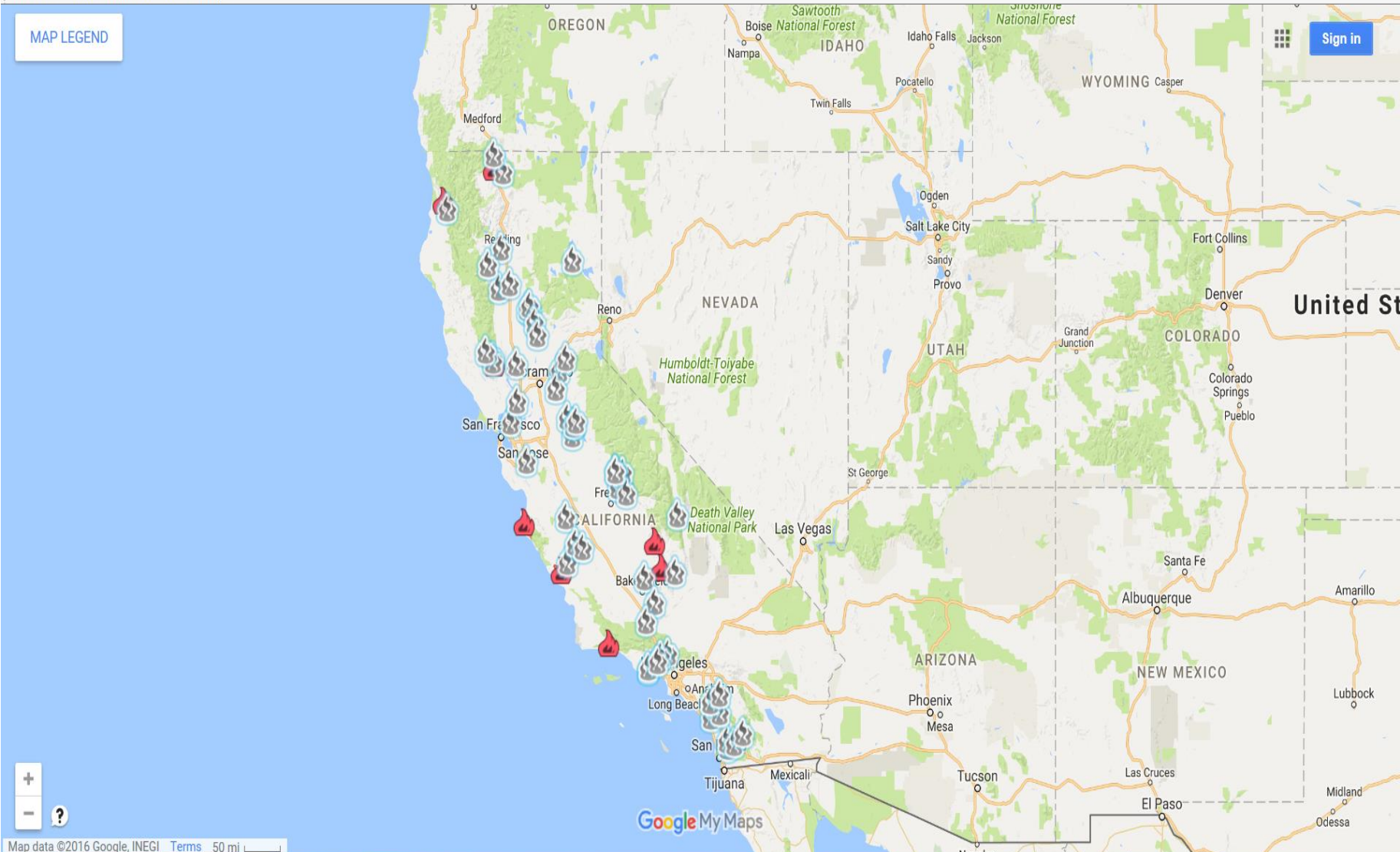
The fire ultimately resulted in over 48,000 acres burned, over 250 structures destroyed, and 2 confirmed fatalities.

Other impacts included:

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

MAP LEGEND

Sign in



# 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](mailto:CHCQStakeholderForum@cdph.ca.gov)



# Questions and Answers



# Additional questions? Feedback?

Email the Stakeholder Forum mail box at:

[CHCQStakeholderForum@cdph.ca.gov](mailto:CHCQStakeholderForum@cdph.ca.gov)





# **Mark Your Calendars**

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

