



NC Adult Care Home Star Rating Program

**NC Division of Health Service Regulation
Adult Care Licensure Section**

In the Beginning.....

- Requests from NC citizens to their legislators for more information to be available to consumers about adult care homes in order to assist them in making decisions about care options for themselves or a loved one.
- The NC General Assembly created Senate Bill 56 which changed the General Statutes to include ***GS 131D-10*** "***Adult Care Home Rated Certificates***"
- Medical Care Commission was designated to create rules with input from residents and families in adult care homes, advocacy groups, providers, and others.
- **Rules: 10A NCAC 13F/G .1601-.1605**



Star Rating Program Overview

Ratings are based on

- DHSR annual inspections
- DHSR follow-up surveys (*Type A & B)
- Recommendations of Type A and Uncorrected Type B Violations from the County DSS, which have been reviewed and concurred by DHSR.

*Only citations and violations under the **Fundamental Rule Areas** will count against a facility's rating score.



Fundamental Rule Areas under GS 131D-10

**Citations in the following areas will count against a facility's rating:*

- **Admission and discharge procedures** (10A 13F/G .0700)
- **Medication management** (10A 13F/G .1000)
- **Physical Plant** (10A 13F/G .0300)
- **Resident care and services--** including food services, resident activities programs, and safety measures (10A 13F/G .0900)
- **Residents' Rights** (G.S. 131D-21)
- **Sanitation Grade** (below a score of 85) (10A 13F/G .0300)
- **Special Care Units** (adult care homes only) (10A 13F.1300 and .1400)
- **Use of physical restraints and alternatives** (10A 13F/G .1500)



Calculating a Rating Score

- Rating scores are based on a point system.
- Each facility starts out with **100 points**, which will renew at each annual inspection.
- Facilities earn **merit** points and **demerit** points



Demerit Points

- Points subtracted from the base score for citations and violations cited under the Fundamental Rule areas.

Citations	-2.0 points each
Type A Violations	-10.0 points each
Type B Violations	-3.5 points each
Uncorrected Type B violation	-3.5 points each

- Suspension of Admissions (-10 points)

**Note: This does not include a SOA issued for failure to send in a Cost Report!*

- Notice of Revocation of License (-31 points)



Merit Points

- Points added to a facility's score for correction of citations and violations under the Fundamental Rule areas.

Corrected Citation	+1.25 points each
Corrected Type A violation	+2.5 points each
Corrected Type B violation	+1.25 points each
Uncorrected Type B violation corrected	+1.25 points each

- Removal of Suspension of Admissions
(+5.0 points)



Additional Merit Point Opportunities Upon Annual Inspections

- **Emergency Power Back-Up**

Generator installed OR Contract (+2.0 points for new, +1.0 point for existing)

- **Automatic Sprinkler System**

(+3.0 points for new, +2.0 points for existing)

- **NC NOVA Designation** (+2.5 points)

- **Participation in a Quality Improvement Program approved by DHHS** (+2.5 points)



QI Program Approval: What Are They Looking For??





- Approval will occur on-site by the survey team upon annual inspection
- QI Programs are not “one size fits all”
- Focus on *Quality Management* as well as improvement
- Think about being proactive, preventative
- TIP: Utilize your Association!
They are a great resource!



Questions the Surveyor May Ask About Your QI/QM Program

- Can I see your Policies and Procedures for your program?
- What is the focus of your program?
- Who participates on the QI/QM team?
- Who is responsible for what?
- How often does the team meet?
- Are residents and/or family members involved?
- Do you have minutes and an agenda for your meetings?
- How do you incorporate incident/accident reports or resident/family complaints in the QI process?
- How does the QI team involve the other staff members?
- Can you give an example of how your QI program has worked or been successful?

Star Rating Scale

Four Stars		100 or more points
Three Stars		99.9-90.0 points
Two Stars		89.9-80.0 points
One Star		79.9-70.0 points
Zero Stars		69.9 points or lower

***Note: A facility must obtain 2 consecutive 100 point or greater annual surveys in order to earn a Four Star rating!**



**DHHS - Division of Health Service Regulation
Adult Care Home Rating Worksheet**

DRAFT

Procedure: DHHSR will complete the rating worksheet upon conclusion of the facility's annual inspection. Conclusion of the inspection is defined as when DHHSR staff has returned to the office and the statement of deficiencies is mailed to the facility. If issues affecting the rating change between annual inspections, a new certificate will be mailed to the facility.
More information about the Star Rating Program and inspections of adult care homes can be found at the DHHSR website: <http://dhhs.state.nc.us/dhhsr>

Reason for Rating Issuance:

<input type="checkbox"/> Annual Inspection	Date:	<input type="checkbox"/> Type A Violation	Date:	<input type="checkbox"/> Suspension of Admissions	Date:
<input type="checkbox"/> Follow-up Inspection	Date:	<input type="checkbox"/> Uncorrected Type B Violation	Date:	<input type="checkbox"/> Revocation of License	Date:

Merit Points Earned	Demerits issued for non-compliance	Statute or Rule – Category	Measurement Evaluated
		13F.0300 – Physical Plant Requirements	For each citation of noncompliance with the rules related to physical plant, the facility will receive a demerit of 2 points. (total citations _____ x 2.0= _____)
		13F.0700 – Admission & Discharge Requirements	For each citation of noncompliance with the rules related to admission and discharge, the facility will receive a demerit of 2 points. (total citations _____ x 2.0= _____)
		13F.0800 – Resident Assessment & Care Plan	For each citation of noncompliance with the rules related to resident assessment & care plan, the facility will receive a demerit of 2 points. (total citations _____ x 2.0= _____)
		13F.0900 – Resident Care & Services	For each citation of noncompliance with the rules related to resident care & services, the facility will receive a demerit of 2 points. (total citations _____ x 2.0= _____)
		13F.1000 – Medication Management	For each citation of noncompliance with the rules related to medication management, the facility will receive a demerit of 2 points. (total citations _____ x 2.0= _____)
		13F.1300 – Special Care Units for Alzheimer's & Related Disorders (ACH ONLY)	For each citation of noncompliance with the rules related to special care units for Alzheimer's & related disorders, the facility will receive a demerit of 2 points. (total citations _____ x 2.0= _____)
		13F.1400 – Special Care Units for Mental Health Disorders (ACH ONLY)	For each citation of noncompliance with the rules related to special care units for mental health disorders, the facility will receive a demerit of 2 points. (total citations _____ x 2.0= _____)
		13F.1500 – Use of Physical Restraints & Alternatives	For each citation of noncompliance with the rules related to physical restraints and alternatives, the facility will receive a demerit of 2 points. (total citations _____ x 2.0= _____)
		G.S.131D-21 – Residents' Rights	For each citation of noncompliance with the statutes related to residents' rights, the facility will receive a demerit of 2 points. (total citations _____ x 2.0= _____)
		13F.0215 – Type A Violation	For each citation of noncompliance, which results in a Type A violation, the facility will receive a demerit of 10 points. (total citations _____ x 10 = _____)
		13F.0215 –Type B Violation	For each citation of noncompliance, which results in a Type B violation, the facility will receive a demerit of 3.5 points. (total citations _____ x 3.5 = _____)
		13F.0215 – Type B Violation uncorrected	For each Type B violation that is uncorrected, the facility will receive a demerit of 3.5 points. (total Type B violations uncorrected _____ x 3.5 = _____)
		13F.0214 Suspension of Admissions	If the facility's admissions are suspended, the facility will receive a demerit of 10 points.
		13F.0212 Notice of Revocation of License Issued	If a notice of revocation of license is issued, the facility will receive a demerit of 31 points.
		13F.1603 – Citation of noncompliance corrected	For each citation of non-compliance with rules related to 10A NCAC 13F .1603, which is corrected, the facility will receive a merit of 1.25 points (total citations corrected _____ x 1.25 = _____)
		13F.0215 – Type A Violation corrected	For each citation, which is corrected, which previously resulted in a Type A violation, the facility will receive a merit of 2.5 points. (total citations _____ x 2.5 = _____)
		13F.0215 – Uncorrected Type B Violation corrected	For each uncorrected Type B violation that is corrected, the facility will receive a merit of 1.25 points (total Type B violations corrected _____x1.25 = _____)
		Removal of Suspension of Admissions	If the facility has a Suspension of Admissions removed, the facility will receive a merit of 5 points.
		G.S.131D-10(d)(2) – Participation in a Quality Improvement Program	If the facility participates in a quality improvement program approved by DHHS, it will receive a merit of 2.5 points.
		G.S.131E – NC NOVA designation awarded	If the facility has been awarded NC NOVA designation, it will receive a merit of 2.5 points.
		Emergency power back-up	The facility will receive 2 merit points for new (On or after 01/01/2009) emergency power arrangements and 1 point for existing emergency power arrangements.
		Automatic sprinklers	The facility will receive 3 merit points for newly (On or after 01/01/2009) installed sprinklers and 2 points for existing sprinklers.

Total Merit Points	Total Demerit Points	FACILITY RATING SCORE (Facility Score=100 points minus total demerit plus total merit points earned)

STAR RATING SCORE KEY	
Four Stars	= 100 or more points
Three Stars	= 99.9-90.0 points
Two Stars	= 89.9-80.0 points
One Star	= 79.9-70.0 points
Zero Stars	= 69.9 and lower

This facility is rated

Stars.

**Facilities must obtain two consecutive 100 point or greater annual surveys to earn a Four Star Rating.*

Name of Facility: _____

County/License #: _____



**N.C. Department of Health and Human Services
Division of Health Service Regulation
Adult Care Rating Certificate**



Rating Score – 96.5

**Mary's Adult Care Home
License #HAL-000-123
4567 Main Street
Raleigh, NC 27603**

Date of Inspection: February 3, 2009
Issued: April 5, 2009

For more information about the Star Rating Program
and inspection results, please go to the
Division of Health Service Regulation web address:
<http://www.ncdhhs.gov/dhsr>

Dempsey Benton

Secretary, N.C. Department of Health and Human Services

Jeff Horton

Acting Director, Division of Health Service Regulation

Star Rating Key:

Four Stars	100 points or greater
Three Stars	99.9-90.0 points
Two Stars	89.9-80.0 points
One Star	79.9-70.0 points
Zero Stars	69.9 and lower

*Facilities must obtain *two consecutive* 100 point or greater annual survey scores to receive a Four Star Rating.

Rating Summary:

Base Points:	+100.0 points
Total Demerits	-6.0 points
Total Merits:	+2.5 points

Score Calculation:

Base Points +/- merits/demerits = Rating Score

100 base points – 6.0 demerits + 2.5 merits = 96.5

Additional Information

- ★ Follow-up surveys will be done for Type A & B violations only....except for.....
- ★ Facilities with a “0” or “1” star rating with no Type A or B violations after their annual inspections can request a follow-up survey that would occur at least 60 days after their annual survey.
- ★ Points deducted for Type A penalties will affect the star rating for 24 months from the date the penalty is identified, Type B penalties for 12 months from the date it is identified.

- ★ **A rating worksheet and certificate will be sent to the facility 45 days from the date the Report of Survey/SOD is mailed to the facility. A new worksheet and certificate will be completed every time the rating score changes (annual, follow-up, reviewed DSS findings, Administrative actions).**
- ★ **Star Ratings will be posted on the DHSR website.**
- ★ **Facilities must post the worksheet and certificate in a visible location for the public.**
- ★ **No ratings are issued until a facility has had an annual survey...initial licensure surveys do not generate a rating.**
- ★ **Change of Ownership---the rating stays with the facility, even through a CHOW, until the next annual inspection.**



Contesting a Star Rating Certificate

- Facilities may contest the rated certificate. 10A NCAC13F/G .1602(d)
- The rated certificate and any subsequent certificates remain in effect during any contested case hearing process.
- Providers have 60 days from the receipt of the certificate and worksheet to appeal the rating.
- Because certificates are based on inspection results, continue to utilize existing Informal Appeal Process with DHSR Survey Team Leader/Supervisor if you have concerns about inspection results BEFORE certificates are issued.
- Appeals will be heard through the:
Office of Administrative Hearings (OAH)
1711 New Hope Church Road
Raleigh, NC 27609
(919) 431-3000





Resources



DHSR, Adult Care Licensure Section

Contact: Megan Lamphere, Star Rating Administrator

Office: 919-855-3781

E-Mail: Megan.Lamphere@ncmail.net

Website: <http://www.ncdhhs.gov/dhsr/acls/index.html>

North Carolina Assisted Living Association

3392 Six Forks Road, Raleigh, NC 27609

919-467-2486

<http://www.ncala.org>

Website: NC General Statute & Rules for Star Rated Certificates

<http://www.ncleg.net/>

Website: NC NOVA Special Licensure Designation

<http://www.ncnova.org/>

Website: Office of Administrative Hearings

<http://www.oah.state.nc.us/>

Website: Centers for Medicare/Medicaid Services (CMS)

<http://www.cms.hhs.gov/>