

State of Alaska FY2020 Governor's Operating Budget

Department of Health and Social Services Health Facilities Licensing and Certification Component Budget Summary

Component: Health Facilities Licensing and Certification

Contribution to Department's Mission

Health Facilities Licensing and Certification works to protect the health and safety of Alaska's most vulnerable citizens and reduce their risk of exploitation ensures basic levels of quality and safety for all patients receiving care from Medicare and Medicaid certified and/or licensed providers. Health Facilities Licensing and Certification (provides onsite objective outcome-based verification to ensure basic standards of quality are being met through regulatory enforcement and educational activities, including quality assurance, provider training, and compliance coordination. The unit works with other state agencies and health care providers to help tribally-owned health care providers to implement safe health care services.

Core Services

- Health Facilities Licensing and Certification surveyors inspect health care facilities in the state to determine if state and federal regulatory standards are being met and investigate complaints made against health care facility providers.
- Monitor assessments that nursing homes and home health agencies are required to complete for every nursing home resident and for every adult Medicare or Medicaid home health client receiving skilled nursing services.
- Serve as the health provider's contact for interpreting state and federal regulations, guidelines and protocols.
- Collaborate with other Alaska state agencies, as well as, other agencies, organizations; and, associations in an effort to promote quality of care for Alaskans.

Major Component Accomplishments in 2018

- The Health Facilities Licensing and Certification survey team is comprised of registered nurses and a clinical social worker responsible for the state licensing and federal certification of health care facilities in the State of Alaska. These facilities include: general acute care hospitals, long-term acute care hospitals, critical access hospitals, skilled nursing facilities, volunteer and full service hospice programs, home health agencies, rural health clinics, frontier extended stay clinics, birthing centers, ambulatory surgical centers, end-stage renal disease dialysis centers and outpatient physical therapy, speech pathology services. The team completed a total of 155 surveys in FY2018, which included health and life safety code surveys for state licensure and federal recertification as well as complaint investigations, assigned validation surveys for Centers for Medicare and Medicaid Services (CMS), and all required revisit surveys.
- The Health Facilities Licensing and Certification survey team continued collaboration with other state agencies within the Centers for Medicare and Medicaid Services Region X to ensure residents of Alaska received safe, and quality care.
- The survey team completed all federally mandated health survey and complaint investigation survey requirements for FY2018.

Key Component Challenges

- The new federal regulations require long-term care (nursing homes) be completed using Centers for Medicare and Medicaid Services (CMS) designed software products. The survey team has faced multiple challenges including hardware issues related to tablets functionality, and software problems with constant updates required. Surveyors experienced an increased need for IT resources and training from CMS in FY2018.
- FY2018 brought the addition of one (1) new ambulatory surgery center, one (1) new home health, and two (2) new birthing centers. The initial surveys added to the survey workload, travel, and survey costs.
- The unit received an increased number of complaints, and significant facility reported incidents over this past year, creating a corresponding increase in surveyor workload and survey costs.
- Health Facilities Licensing and Certification are projecting an increase in the number of providers requiring new or renewed licensure or certification surveys in FY2019.

- Recruitment and retention of staff remain a challenge due to the pay scale that is out of alignment with private sector compensation for registered nurses as well as the rigorous training and travel schedule required for the position. Surveyors' work long hours and are in travel status approximately six months of the year. The department has not received any eligible applicants for the Surveyor I position posted within the past seven (7) months.
- Health Facilities Licensing and Certification has a change in the Manager and Supervisory positions, which have affected the workload in the division.

Significant Changes in Results to be Delivered in FY2020

No significant changes to results delivered.

Statutory and Regulatory Authority

Alaska Statutes:

AS 18.05 Administration of Public Health and Related Laws

AS 18.20 Hospitals and Nursing Facilities

AS 18.23 Health Care Services Information and Review Organizations

AS 47.05 Criminal History and Registry

AS 47.32 Centralized Licensing and Related Administrative Procedures

AS 08.80 Pharmacy

AS 08.64 Medical Professions

Social Security Act:

Title XVIII Medicare

Title XIX Medicaid

Administrative Code:

7 AAC 10 Licensing, Certification and Approvals

7 AAC 12 Facilities and Local Units

Contact Information
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Health Facilities Licensing and Certification Personal Services Information				
Authorized Positions			Personal Services Costs	
	<u>FY2019</u> <u>Management</u> <u>Plan</u>	<u>FY2020</u> <u>Governor</u>		
Full-time	13	13	Annual Salaries	991,864
Part-time	0	0	COLA	32,283
Nonpermanent	0	0	Premium Pay	0
			Annual Benefits	595,347
			<i>Less 1.93% Vacancy Factor</i>	<i>(31,194)</i>
			Lump Sum Premium Pay	0
Totals	13	13	Total Personal Services	1,588,300

Position Classification Summary					
Job Class Title	Anchorage	Fairbanks	Juneau	Others	Total
Administrative Assistant II	1	0	0	0	1
Health Facilities Survey Mgr	1	0	0	0	1
Hlth Facil Surv I	9	0	0	0	9
Hlth Facil Surv II	2	0	0	0	2
Totals	13	0	0	0	13

Component Detail All Funds
Department of Health and Social Services

Component: Health Facilities Licensing and Certification (2944)
RDU: Health Care Services (485)

Non-Formula Component

	FY2018 Actuals	FY2019 Conference Committee	FY2019 Authorized	FY2019 Management Plan	FY2020 Governor	FY2019 Management Plan vs FY2020 Governor	
71000 Personal Services	1,301.3	1,539.0	1,539.0	1,539.0	1,588.3	49.3	3.2%
72000 Travel	126.4	125.3	125.3	145.3	145.3	0.0	0.0%
73000 Services	272.2	509.6	509.6	489.6	489.6	0.0	0.0%
74000 Commodities	24.3	10.0	10.0	10.0	10.0	0.0	0.0%
75000 Capital Outlay	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
77000 Grants, Benefits	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
78000 Miscellaneous	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Totals	1,724.2	2,183.9	2,183.9	2,183.9	2,233.2	49.3	2.3%
Fund Sources:							
1002 Fed Rcpts (Fed)	1,142.4	1,363.1	1,363.1	1,363.1	1,398.8	35.7	2.6%
1003 G/F Match (UGF)	419.0	450.0	450.0	450.0	459.0	9.0	2.0%
1004 Gen Fund (UGF)	141.5	81.5	81.5	81.5	81.8	0.3	0.4%
1005 GF/Prgm (DGF)	21.3	189.3	189.3	189.3	193.6	4.3	2.3%
1108 Stat Desig (Other)	0.0	100.0	100.0	100.0	100.0	0.0	0.0%
Unrestricted General (UGF)	560.5	531.5	531.5	531.5	540.8	9.3	1.7%
Designated General (DGF)	21.3	189.3	189.3	189.3	193.6	4.3	2.3%
Other Funds	0.0	100.0	100.0	100.0	100.0	0.0	0.0%
Federal Funds	1,142.4	1,363.1	1,363.1	1,363.1	1,398.8	35.7	2.6%
Positions:							
Permanent Full Time	13	13	13	13	13	0	0.0%
Permanent Part Time	0	0	0	0	0	0	0.0%
Non Permanent	0	0	0	0	0	0	0.0%

Change Record Detail - Multiple Scenarios with Descriptions
Department of Health and Social Services

Component: Health Facilities Licensing and Certification (2944)
RDU: Health Care Services (485)

Scenario/Change Record Title	Trans Type	Totals	Personal Services	Travel	Services	Commodities	Capital Outlay	Grants, Benefits	Miscellaneous	Positions		NP
										PFT	PPT	
***** Changes From FY2019 Conference Committee To FY2019 Authorized *****												
FY2019 Conference Committee												
ConfCom		2,183.9	1,539.0	125.3	509.6	10.0	0.0	0.0	0.0	13	0	0
1002 Fed Rcpts		1,363.1										
1003 G/F Match		450.0										
1004 Gen Fund		81.5										
1005 GF/Prgm		189.3										
1108 Stat Desig		100.0										
Subtotal		2,183.9	1,539.0	125.3	509.6	10.0	0.0	0.0	0.0	13	0	0
***** Changes From FY2019 Authorized To FY2019 Management Plan *****												
Align Authority for On-Site Visits to Facilitate Certification												
LIT		0.0	0.0	20.0	-20.0	0.0	0.0	0.0	0.0	0	0	0
Align authority for increased need for on-site visits to facilitate certification. Savings in services were realized from reduced costs of contracts and efficiencies.												
Subtotal		2,183.9	1,539.0	145.3	489.6	10.0	0.0	0.0	0.0	13	0	0
***** Changes From FY2019 Management Plan To FY2020 Governor *****												
Reverse SU 15 Hour Furlough Reduction												
SalAdj		0.8	0.8	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
1002 Fed Rcpts		0.6										
1003 G/F Match		0.2										
FY2020 Salary Adjustments - GGU, CEA, TEAME												
SalAdj		45.5	45.5	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
1002 Fed Rcpts		33.0										
1003 G/F Match		8.2										
1005 GF/Prgm		4.3										
FY2020 Salary Adjustments - GGU, CEA, TEAME: \$45.5												
FY2020 GGU HI from \$1432 to \$1530: \$12.9												
FY2020 GGU 3% COLA: \$32.6												
Reverse Alaska State Employees Association (GGU) 15 Hour Furlough												
SalAdj		3.0	3.0	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
1002 Fed Rcpts		2.1										
1003 G/F Match		0.6										

Change Record Detail - Multiple Scenarios with Descriptions
Department of Health and Social Services

Component: Health Facilities Licensing and Certification (2944)
RDU: Health Care Services (485)

Scenario/Change Record Title	Trans Type	Totals	Personal Services	Travel	Services	Commodities	Capital Outlay	Grants, Benefits	Miscellaneous	Positions			
										PFT	PPT	NP	
1004 Gen Fund		0.3											
<p>The Alaska State Employees Association (representing the general government unit) contractually required 15 hours of furlough for each permanent full-time employee in each year from July 1, 2016, to June 30, 2019. The furlough requirement was removed from the contract in FY2020.</p>													
Totals		2,233.2	1,588.3	145.3	489.6	10.0	0.0	0.0	0.0	13	0	0	

Personal Services Expenditure Detail
Department of Health and Social Services

Scenario: FY2020 Governor (15610)
Component: Health Facilities Licensing and Certification (2944)
RDU: Health Care Services (485)

PCN	Job Class Title	Time Status	Retire Code	Barg Unit	Location	Salary Sched	Range / Step	Comp Months	Split / Count	Annual Salaries	COLA	Premium Pay	Annual Benefits	Total Costs	UGF Amount
06-2035	Hlth Facil Surv II	FT	A	SS	Anchorage	200	21E / F	12.0		90,923	0	0	51,308	142,231	25,602
06-2036	Hlth Facil Surv I	FT	A	GP	Anchorage	200	20B / C	12.0		69,944	2,848	0	43,474	116,266	20,928
06-4021	Hlth Facil Surv I	FT	A	GP	Anchorage	200	20J	12.0		83,544	3,402	0	48,332	135,278	24,350
06-4022	Health Facilities Survey Mgr	FT	A	SS	Anchorage	200	22K / L	12.0		108,068	0	0	57,432	165,500	29,790
06-4028	Hlth Facil Surv I	FT	A	GP	Anchorage	200	20B / C	12.0		68,601	2,793	0	42,995	114,389	20,590
06-4033	Hlth Facil Surv II	FT	A	GP	Anchorage	200	21F / G	12.0		83,317	3,392	0	48,251	134,960	24,293
06-4038	Hlth Facil Surv I	FT	A	GP	Anchorage	200	20A / B	12.0		67,044	2,730	0	42,438	112,212	20,198
06-4044	Hlth Facil Surv I	FT	A	GP	Anchorage	200	20A / B	12.0		67,758	2,759	0	42,693	113,210	20,378
06-4045	Hlth Facil Surv I	FT	A	GP	Anchorage	200	20C / D	12.0		70,851	2,885	0	43,798	117,534	21,156
06-4046	Hlth Facil Surv I	FT	A	GP	Anchorage	200	20D / E	12.0		74,618	3,038	0	45,144	122,800	22,104
06-4088	Hlth Facil Surv I	FT	A	GP	Anchorage	200	20B / C	12.0		70,033	2,851	0	43,506	116,390	20,950
06-7024	Administrative Assistant II	FT	A	GP	Anchorage	200	14F / G	12.0		52,602	2,142	0	37,280	92,024	16,564
06-7025	Hlth Facil Surv I	FT	A	GP	Anchorage	200	20J / K	12.0		84,561	3,443	0	48,696	136,700	24,606

	Total Positions	New	Deleted	Total Salary Costs:	991,864
				Total COLA:	32,283
Full Time Positions:	13	0	0	Total Premium Pay::	0
Part Time Positions:	0	0	0	Total Benefits:	595,347
Non Permanent Positions:	0	0	0		
Positions in Component:	13	0	0	Total Pre-Vacancy:	1,619,494
				Minus Vacancy Adjustment of 1.93%:	(31,194)
				Total Post-Vacancy:	1,588,300
				Plus Lump Sum Premium Pay:	0
				Personal Services Line 100:	1,588,300

PCN Funding Sources:	Pre-Vacancy	Post-Vacancy	Percent
1002 Federal Receipts	1,174,133	1,151,518	72.50%
1003 General Fund Match	291,509	285,894	18.00%
1005 General Fund/Program Receipts	153,852	150,889	9.50%
Total PCN Funding:	1,619,494	1,588,300	100.00%

Note: If a position is split, an asterisk (*) will appear in the Split/Count column. If the split position is also counted in the component, two asterisks (**) will appear in this column. [No valid job title] appearing in the Job Class Title indicates that the PCN has an invalid class code or invalid range for the class code effective date of this scenario.

Line Item Detail (1676)
Department of Health and Social Services
Travel

Component: Health Facilities Licensing and Certification (2944)

Line Number	Line Name		FY2018 Actuals	FY2019 Management Plan
2000	Travel		126.4	145.3
Object Class	Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan
2000 Travel Detail Totals			126.4	145.3
2000	In-State Employee Travel	In State Employee Travel.	101.6	124.8
2001	In-State Non-Employee Travel		-0.3	0.0
2002	Out of State Employee Travel	Out of State Employee Travel.	22.0	20.0
2006	Other Travel Costs	ATM Cash Advance Fee.	3.1	0.5

Line Item Detail (1676)
Department of Health and Social Services
Services

Component: Health Facilities Licensing and Certification (2944)

Line Number	Line Name		FY2018 Actuals	FY2019 Management Plan
3000	Services		272.2	489.6
Object Class	Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan
3000 Services Detail Totals			272.2	489.6
3000	Education Services	Training, conferences and memberships for Health Facilities Surveyors.	2.1	5.0
3003	Information Technology	Information technology resources for Health Facility Surveyors.	3.9	5.0
3004	Telecommunications	Telecommunications services - long distance, local/equipment, and cellular service.	3.6	5.0
3005	Health Services	Potential RSA for health related activities.	0.0	189.9
3006	Delivery Services	Postage, courier, freight services.	0.3	1.0
3009	Structure/Infrastructure/Land	Building lease costs.	-1.6	55.0
3010	Equipment/Machinery	Fees for repair and maintenance of equipment.	4.8	5.0
3011	Other Services	Professional services.	3.1	2.0
3017	Inter-Agency Information Technology Non-Telecommunications	Admin - Department-wide	8.5	20.0
3017	Inter-Agency Information Technology Non-Telecommunications	H&SS - Information Technology Services (2754)	11.8	0.0
3018	Inter-Agency Information Technology Telecommunications	Admin - Department-wide	20.9	30.0
3022	Inter-Agency Human Resources	Admin - Department-wide	8.5	10.0
3023	Inter-Agency Building Leases	Admin - Department-wide	45.0	0.0

Line Item Detail (1676)
Department of Health and Social Services
Services

Component: Health Facilities Licensing and Certification (2944)

Object Class		Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan
3000 Services Detail Totals				272.2	489.6
3024	Inter-Agency Legal	Law - Department-wide		0.1	0.0
3026	Inter-Agency Insurance	Admin - Department-wide	RSA with Dept. of Administration, Division of Risk Management, for insurance.	0.9	1.0
3027	Inter-Agency Financial	Admin - Department-wide		1.4	0.0
3028	Inter-Agency Americans with Disabilities Act Compliance		RSA with Dept. of Administration, Division of Rick Management, for insurance.	0.0	0.1
3029	Inter-Agency Education/Training	Commerce - Department-wide	RSA with Dept. of Commerce, Community & Economic Development for Nurse Aid Training & Competency Evaluation Program.	135.9	145.0
3030	Inter-Agency Hearing/Mediation	Admin - Department-wide	RSA with Dept. of Administration, Office of Administrative Hearings.	3.4	5.0
3038	Inter-Agency Management/Consulting	H&SS - Administrative Support Svcs (320)	RSA with Dept. of Health & Social Services for Administrative Support from Finance & Management Services.	3.3	5.0
3038	Inter-Agency Management/Consulting	H&SS - Commissioner's Office (317)	RSA with Dept. of Health & Social Services, Commissioner's Office.	1.1	2.0
3038	Inter-Agency Management/Consulting	H&SS - Health Facilities Licensing & Ce (2944)		0.9	0.0
3038	Inter-Agency Management/Consulting	H&SS - Information Technology Services (2754)	RSA with Dept. of Health & Social Services, Admin. Support, for Finance & Management Services information technology support.	12.8	2.0
3038	Inter-Agency Management/Consulting	H&SS - Public Affairs (2874)	RSA with Dept. of Health & Social Services, Public Affairs for support services.	1.4	1.5
3038	Inter-Agency Management/Consulting	Labor - Department-wide	RSA with Dept. of Labor & Workforce Development for labor population demographics.	0.1	0.1

Line Item Detail (1676)
Department of Health and Social Services
Commodities

Component: Health Facilities Licensing and Certification (2944)

Line Number	Line Name		FY2018 Actuals	FY2019 Management Plan
4000	Commodities		24.3	10.0
Object Class	Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan
4000 Commodities Detail Totals			24.3	10.0
4000	Business	Purchases of supplies and equipment.	24.3	9.0
4000	Business	Books and educational supplies.	0.0	1.0

Revenue Detail (1681)
Department of Health and Social Services

Component: Health Facilities Licensing and Certification (2944)

Revenue Type (OMB Fund Code) Revenue Source	Component	Comment	FY2018 Actuals	FY2019 Management Plan
5002 Fed Rcpts (1002 Fed Rcpts)			1,142.4	1,363.1
5019 Federal - Miscellaneous Grants		Medicaid Administration funding for Health Facility Licensing & Certification administrative support.	1,142.4	77.3
5019 Federal - Miscellaneous Grants		Title XVIII Medicare funding for Health Facility Licensing & Certification.	0.0	863.8
5019 Federal - Miscellaneous Grants		Title XIX funding for Health Facilities Licensing & Certification.	0.0	422.0
5005 GF/Prgm (1005 GF/Prgm)			21.3	189.3
5101 Program Receipts Public Protection - Licenses and Permits			21.3	0.0
5108 Program Receipts General Government - Charges for Services		Fees to support the cost of Health Facilities Licensing & Certification facility licensing activities.	0.0	189.3
5108 Stat Desig (1108 Stat Desig)			0.0	100.0
5206 Statutory Designated Program Receipts - Contracts		Civil Money Penalties collected when nursing homes are not in compliance with Federal participation requirements in accordance with section 6111 of the Affordable Care Act of 2010.	0.0	100.0

Inter-Agency Services (1682)
Department of Health and Social Services

Component: Health Facilities Licensing and Certification (2944)

	FY2018 Actuals	FY2019 Management Plan
Component Totals	256.0	221.6
With Department of Administration	88.6	66.0
With Department of Health and Social Services	31.3	10.5
With Department of Law	0.1	0.0
With Department of Commerce, Community, and Economic Development	135.9	145.0
With Department of Labor and Workforce Development	0.1	0.1

Object Class	Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan
3017	Inter-Agency Information Technology Non-Telecommunications	Admin - Department-wide	8.5	20.0
3017	Inter-Agency Information Technology Non-Telecommunications	H&SS - Information Technology Services (2754)	11.8	0.0
3018	Inter-Agency Information Technology Telecommunications	Admin - Department-wide	20.9	30.0
		RSA with Dept. of Administration, Enterprise Technology Services, for telecommunication services.		
3022	Inter-Agency Human Resources	Admin - Department-wide	8.5	10.0
		RSA with Dept. of Administration for Human Resources.		
3023	Inter-Agency Building Leases	Admin - Department-wide	45.0	0.0
3024	Inter-Agency Legal	Law - Department-wide	0.1	0.0
3026	Inter-Agency Insurance	Admin - Department-wide	0.9	1.0
		RSA with Dept. of Administration, Division of Risk Management, for insurance.		
3027	Inter-Agency Financial	Admin - Department-wide	1.4	0.0
3029	Inter-Agency Education/Training	Commerce - Department-wide	135.9	145.0
		RSA with Dept. of Commerce, Community & Economic Development for Nurse Aid Training & Competency Evaluation Program.		
3030	Inter-Agency Hearing/Mediation	Admin - Department-wide	3.4	5.0
		RSA with Dept. of Administration, Office of Administrative Hearings.		

Inter-Agency Services (1682)
Department of Health and Social Services

Component: Health Facilities Licensing and Certification (2944)

Object Class		Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan
3038	Inter-Agency Management/Consulting	H&SS - Administrative Support Svcs (320)	RSA with Dept. of Health & Social Services for Administrative Support from Finance & Management Services.	3.3	5.0
3038	Inter-Agency Management/Consulting	H&SS - Commissioner's Office (317)	RSA with Dept. of Health & Social Services, Commissioner's Office.	1.1	2.0
3038	Inter-Agency Management/Consulting	H&SS - Health Facilities Licensing & Ce (2944)		0.9	0.0
3038	Inter-Agency Management/Consulting	H&SS - Information Technology Services (2754)	RSA with Dept. of Health & Social Services, Admin. Support, for Finance & Management Services information technology support.	12.8	2.0
3038	Inter-Agency Management/Consulting	H&SS - Public Affairs (2874)	RSA with Dept. of Health & Social Services, Public Affairs for support services.	1.4	1.5
3038	Inter-Agency Management/Consulting	Labor - Department-wide	RSA with Dept. of Labor & Workforce Development for labor population demographics.	0.1	0.1