

PACAH 2018

Department of Health Update

Presented by:

Susan Williamson, Director
Division of Nursing Care Facilities

Facility and Survey Data 2017

Facilities

- ▀ 699 Facilities
- ▀ 88,003 Beds

Surveys Completed

- ▀ 5,262 Total surveys
- ▀ 761 Re-licensure/recertification surveys (Full Health Surveys)
- ▀ 1,679 Revisits (to all types of surveys)
- ▀ 4,245 On-site visits (includes complaint visits)

Facility and Survey Data 2016

Facilities

- ▀ 704 Facilities
- ▀ 88,184 Beds

Surveys Completed

- ▀ 5,320 Total surveys
- ▀ 712 Re-licensure/recertification surveys (Full Health Surveys)
- ▀ 1,706 Revisits (to all types of surveys)
- ▀ 4,239 On-site visits (includes complaint visits)

Facility and Survey Data 2015

Facilities

- ▀ 702 Facilities
- ▀ 88,233 Beds

Surveys Completed

- ▀ 4,277 Total surveys
- ▀ 711 Re-licensure/recertification surveys (Full Health Surveys)
- ▀ 1,316 Revisits (to all types of surveys)
- ▀ 3,327 On-site visits (includes complaint visits)

Statewide Deficiency Free Surveys

2017: 43 Full Health Surveys were deficiency free

2016: 38 Full Health Surveys were deficiency free

2016: 38 Full Health Surveys were deficiency free

2015: 53 Full Health Surveys were deficiency free

2014: 68 Full Health Surveys were deficiency free

Surveys with Scope & Severity D & Above

	<u>2017</u>	<u>2016</u>	<u>2015</u>	<u>2014</u>
Standard Surveys	706	665	650	629
Complaint Surveys	984	996	703	455
Substandard Quality of Care	1	6	3	1
Immediate Jeopardy Tags	30	39	12	11

▶ Frequency of DNCF Visits 2017

Number of Visits	% of PA facilities
20 +	1.72%
10 to 19	17.74%
6 to 9	25.04%
<i>2 to 5</i>	<i>46.78%</i>
1	8.30%
0	0.43%

▶ Frequency of DNCF Visits 2016

Number of Visits

% of PA facilities

20 +

0.85%

10 to 19

17.90%

6 to 9

25.43%

2 to 5

45.31%

1

9.80%

0

0.71%

▶ Frequency of DNCF Visits 2015

Number of Visits

% of PA facilities

20 +

1.00%

10 to 19

8.83%

6 to 9

21.51%

2 to 5

53.85%

1

14.10%

Provisional Licenses Issued

2017 – 35

2016 – 39

2015 – 19

2014 – 9

2013 – 2

2012 – 2

2011 – 18

2010 – 10

2009 – 29

State Actions

Total state actions for 2017	Total state actions for 2016	Total state actions for 2015	Total state actions for 2014
PI/CMP= 2	PI/CMP= 3	PI/CMP= 6	PI/CMP= 1
PII/CMP= 3	PII/CMP= 0	PII/CMP= 2	PII/CMP= 2
PIII/CMP= 1	PIII/CMP= 0	PIII/CMP= 0	PIII/CMP= 0
PIV/CMP = 0	PIV/CMP = 0	PIV/CMP = 0	PIV/CMP = 0
PI only= 14	PI only= 32	PI only= 7	PI only= 4
PII only= 11	PII only= 4	PII only= 2	PII only= 2
PIII only = 4	PIII only = 0	PIII only = 1	PIII only = 0
PIV only= 0	PIV only= 0	PIV only= 1	PIV only= 0
CMP only= 95	CMP only= 53	CMP only= 24	CMP only= 8
Total = 130	Total = 92	Total = 43	Total = 17

PI=Provisional I license
 PII=Provisional II license
 PIII=Provisional III license

PIV = Provisional IV license
 CMP=Civil Monetary Penalty

2017 Complaint Data

Complaint Data

- Total received= 3,887
- Total substantiated= 1,425 (36.61%)
- Onsite investigations conducted= 2,889 (94.53%)
- Substantiated complaints with citations issued at "G" or above= 128 (3.29%)

Most Frequently Filed

- Care or Services 65.66%
- Resident Rights 15.61%
- Environment 11.08%

Complaint Tags

- Total tags cited related to complaints = 1,352
- Highest S/S cited during complaint surveys = L

2016 Complaint Data

Complaint Data

- Total received = 3,485
- Total substantiated = 1,208 (34.66%)
- Onsite investigations conducted = 3,174 (91.08%)
- Substantiated complaints with citations issued at "G" or above = 139 (3.99%)

Most Frequently Filed

- Care or Services 64.45%
- Resident Rights 17.18%
- Environment 11.31%

Complaint Tags

- Total tags cited related to complaints = 685
- Highest S/S cited during complaint surveys = L

2015 Complaint Data

Complaint Data

- Total received = 2,591
- Total substantiated = 863 (33.31%)
- Onsite investigations conducted = 2,330 (89.93%)
- Substantiated complaints with citations issued at "G" or above = 73 (2.82%)

Most Frequently Filed

- Care or Services 66.77%
- Resident Rights 14.73%
- Environment 9.32%

Complaint Tags

- Total tags cited related to complaints = 642
- Highest S/S cited during complaint surveys = L

Frequently Cited Tags

Listed below are the top 5 most frequently cited tags in order from most cited.

<u>2017</u>	<u>2016</u>	<u>2015</u>	<u>2014</u>	<u>2013</u>
F309	F309	F309	F309	F309
F323	F323	F441	F441	F441
F441	F441	F514	F514	F323
F514	F514	F323	F323	F514
F371	F371	F371	F371	F371

0309 =PROVIDE CARE/SERVICES FOR HIGHEST WELL BEING

0441 =INFECTION CONTROL, PREVENT SPREAD, LINENS

0514 =RES RECORDS-COMPLETE/ACCURATE/ACCESSIBLE

0323 =FREE OF ACCIDENT HAZARDS/SUPERVISION/DEVICES

0371 =FOOD PROCURE, STORE/PREPARE/SERVE - SANITARY

2017 Incidents

- Total number of incident reports received:
26,279
- Most Frequently reported events
 - ▣ Transfer to Hospital – **10,781**
 - ▣ Abuse – **4,303**
 - ▣ Other – **4,208**

2016 Incidents

- Total number of incident reports received:
23,398
- Most Frequently reported events
 - ▣ Transfer to Hospital – **10,489**
 - ▣ Abuse – **3,647**
 - ▣ Other – **3,154**

2015 Incidents

- Total number of incident reports received:
21,788
- Most Frequently reported events
 - ▣ Transfer to Hospital – **10,432**
 - ▣ Abuse – **2,941**
 - ▣ Other – **2,547**

2013

69 Tags disputed

19% deleted (13)

7% revised (5)

72% upheld (50)

0% withdrawn (0)

2014

60 Tags disputed

15% deleted (9)

20% revised (12)

63% upheld (38)

2% withdrawn (1)

2015

131 Tags disputed

25% deleted (33)

11% revised (15)

63% upheld (82)

1% withdrawn (1)

2016 (1/1/16-10/31/16)

172 Tags disputed

27% deleted (47)

11% revised (18)

60% upheld (104)

2% withdrawn (3)

State IIDR

2013

14 tags disputed

0% deleted (0)

7% revised (1)

86% upheld (12)

7% withdrawn (1)

2014

24 tags disputed

25% deleted (6)

0% revised (0)

75% upheld (18)

0% withdrawn (0)

2015

30 tags disputed

20% deleted (6)

10% revised (3)

70% upheld (21)

0% withdrawn (0)

2016

42 tags disputed

17% deleted (7)

7% revised (3)

69% upheld (29)

7% withdrawn (3)

Federal IIDR

2013

10 tags disputed

100% upheld (4)

2014

1 tags disputed

100% upheld (1)

2015

2 tags disputed

100% upheld (2)

2016

0 tags disputed

▶ Additional Updates

Resources

- DNCF 717-787-1816
- DSI 717-787-1911
- Message Board
 - ▣ www.health.state.pa.us
- CMS Website
 - ▣ www.cms.hhs.gov
- State Operations Manual
 - ▣ http://cms.hhs.gov/manuals/Downloads/som107ap_pp_guidelines_ltcf.pdf

PACAH Spring Conference 2018

LSC Updates



Presented by:
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PA Department of Health



Overview

- CMS Emergency Preparedness Update
- CMS Rule Change – Resident Rooms
- Fire Door Maintenance
- NFPA 99 Risk Assessment
- Electronic Plan Review
- Online Occupancy Request Form

CMS Emergency Preparedness Rule



**Emergency
Preparedness**



CMS Emergency Preparedness

- CMS Survey & Certification Letter 17-05-All Information on the Implementation Plans for the Emergency Preparedness Regulation
 - Provides resources and a link to answers of Frequently Asked Questions
- CMS Survey & Certification Letter 17-21-All Information to Assist Providers and Suppliers in Meeting the Testing and Training Requirements of the Emergency Preparedness Requirements
 - Clarification that facilities are to conduct community-based exercises and not wait for CMS to provide interpretive guidelines

CMS Emergency Preparedness

- CMS S&C Letter 17-21-All
 - ▣ Released 3/24/2017
 - ▣ Information to assist in meeting the new training and testing requirements of the CMS emergency preparedness Final Rule
 - ▣ Clarifies that all affected facilities must meet all the requirements of the rule by 11/15/2017

CMS Emergency Preparedness

- CMS S&C Letter 17-21-All
- Because the Final Rule has an implementation date of 11/15/2017, one year following the effective date, facilities are expected to meet the requirements of the training and testing program by the implementation date – 11/15/2017

CMS Emergency Preparedness

- CMS S&C Letter 17-21-All
- CMS realizes that some facilities are waiting for the interpretive guidance to begin planning the required testing exercises, CMS considers this tact not necessary nor advised
- Facilities found to have not completed these exercises or other requirements of the Final Rule by 11/15/2017 will be cited for non-compliance

CMS Emergency Preparedness

- CMS S&C Letter 17-21-All
- In order to meet the requirements, CMS strongly encourages facilities to seek out and to participate in a full-scale, community-based exercise and to have completed a tabletop exercise by the implementation date

CMS Emergency Preparedness

- CMS S&C Letter 17-21-All
- CMS understands that a full-scale, community-based exercise may not always be possible for some facilities due to local and state emergency resources
- In those cases, a facility must complete an individual facility-based exercise and document the circumstances
 - What emergency agencies or health coalitions were contacted?
 - Specific reason(s) that a community exercise could not be completed

CMS Emergency Preparedness

- CMS S&C Letter 17-21-All
- CMS has created a resource website to assist facilities in complying with the Final Rule
- <https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/Emergency-Prep-Rule.html>

CMS Emergency Preparedness

- Website Resource
 - Names of State Health Care Coalitions
 - CMS Provider and Supplier Types Impacted
 - Table Breakdown of the Requirements by Provider Type
 - Definitions
 - Frequently Asked Questions

CMS Emergency Preparedness

- Survey results from November 15, 2017 to March 13, 2018
- How many EP deficiencies?
 - ▀ Note that DSI only surveys hospitals, nursing homes, surgery centers and ICF/IID's for EP requirements
- 661
- How many facilities were cited for not having any plan at all?
- 19

CMS Emergency Preparedness

- Top 5 EP deficiency tags from November 15, 2017 – March 13, 2018
 - ▣ E0039 – EP Testing Requirements
 - ▣ E0024 – Policies/Procedures – Volunteers and Staffing
 - ▣ E0026 – Roles Under a Waiver Declared by Secretary
 - ▣ E0015 – Subsistence Needs for Staff and Patients
 - ▣ E0037 – EP Training Program

CMS Emergency Preparedness

- E0039 – EP Testing Requirements
- (2) Testing. The [facility, except for LTC facilities] must conduct exercises to test the emergency plan at least annually. The [facility] must do all of the following:
- *[For LTC Facilities at §483.73(d):] (2) Testing. The LTC facility must conduct exercises to test the emergency plan at least annually, including unannounced staff drills using the emergency procedures. The LTC facility must do all of the following:]
- (i) Participate in a full-scale exercise that is community-based or when a community-based exercise is not accessible, an individual, facility-based. If the [facility] experiences an actual natural or man-made emergency that requires activation of the emergency plan, the [facility] is exempt from engaging in a community-based or individual, facility-based full-scale exercise for 1 year following the onset of the actual event.

CMS Emergency Preparedness

- E0039 – EP Testing Requirements Continued
- (ii) Conduct an additional exercise that may include, but is not limited to the following:
 - (A) A second full-scale exercise that is community-based or individual, facility-based.
 - (B) A tabletop exercise that includes a group discussion led by a facilitator, using a narrated, clinically-relevant emergency scenario, and a set of problem statements, directed messages, or prepared questions designed to challenge an emergency plan.
- (iii) Analyze the [facility's] response to and maintain documentation of all drills, tabletop exercises, and emergency events, and revise the [facility's] emergency plan, as needed.

CMS Emergency Preparedness

- E0024 – Policies/Procedures – Volunteers and Staffing
- [(b) Policies and procedures. The [facilities] must develop and implement emergency preparedness policies and procedures, based on the emergency plan set forth in paragraph (a) of this section, risk assessment at paragraph (a)(1) of this section, and the communication plan at paragraph (c) of this section. The policies and procedures must be reviewed and updated at least annually. At a minimum, the policies and procedures must address the following:]
- (6) [or (4), (5), or (7) as noted above] The use of volunteers in an emergency or other emergency staffing strategies, including the process and role for integration of State and Federally designated health care professionals to address surge needs during an emergency.

CMS Emergency Preparedness

- E0026 – Roles Under a Waiver Declared by Secretary
- [(b) Policies and procedures. The [facilities] must develop and implement emergency preparedness policies and procedures, based on the emergency plan set forth in paragraph (a) of this section, risk assessment at paragraph (a)(1) of this section, and the communication plan at paragraph (c) of this section. The policies and procedures must be reviewed and updated at least annually. At a minimum, the policies and procedures must address the following:]
- (8) [(6), (6)(C)(iv), (7), or (9)] The role of the [facility] under a waiver declared by the Secretary, in accordance with section 1135 of the Act, in the provision of care and treatment at an alternate care site identified by emergency management officials.

CMS Emergency Preparedness

- E0015 – Subsistence Needs for Staff and Patients
- [(b) Policies and procedures. [Facilities] must develop and implement emergency preparedness policies and procedures, based on the emergency plan set forth in paragraph (a) of this section, risk assessment at paragraph (a)(1) of this section, and the communication plan at paragraph (c) of this section. The policies and procedures must be reviewed and updated at least annually.] At a minimum, the policies and procedures must address the following:
 - (1) The provision of subsistence needs for staff and patients whether they evacuate or shelter in place, include, but are not limited to the following:

CMS Emergency Preparedness

- E0015 – Subsistence Needs for Staff and Patients Continued
- (i) Food, water, medical and pharmaceutical supplies
- (ii) Alternate sources of energy to maintain the following:
 - (A) Temperatures to protect patient health and safety and for the safe and sanitary storage of provisions.
 - (B) Emergency lighting.
 - (C) Fire detection, extinguishing, and alarm systems.
 - (D) Sewage and waste disposal.

CMS Emergency Preparedness

- E0037 – EP Training Program
- (1) Training program. The [facility] must do all of the following:
 - (i) Initial training in emergency preparedness policies and procedures to all new and existing staff, individuals providing services under arrangement, and volunteers, consistent with their expected role.
 - (ii) Provide emergency preparedness training at least annually.
 - (iii) Maintain documentation of the training.
 - (iv) Demonstrate staff knowledge of emergency procedures.

CMS Emergency Preparedness

- 1135 Waiver process guidance being created by HAP
- The guidance mirrors the information provided by CMS at the following link:

<https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/1135-Waivers.html>

CMS Emergency Preparedness

- When the President declares a disaster or emergency, and the HHS Secretary declares a public health emergency, there are options to waive or modify certain requirements.
- Examples:
 - ▣ Conditions of participation
 - ▣ EMTALA
 - ▣ Stark self-referral sanctions
 - ▣ Additional examples can be found on the CMS website

Long Term Care Update

- CMS Survey and Certification Letter 17-07-NH, November 9, 2016
- First comprehensive review and update of the CMS long term care regulations since 1991, despite substantial changes in service delivery

Long Term Care Update

- This update contained massive changes to the health survey requirements, to include new deficiency tags and a new survey process
- Many have missed the changes in Physical Environment to resident rooms

Long Term Care Update

- F462
- §483.90(e) Bathroom Facilities Each resident room must be equipped with or located near toilet and bathing facilities. For facilities that receive approval of construction from State and local authorities or are newly certified after November 28, 2016, each residential room must have its own bathroom equipped with at least a commode and sink.

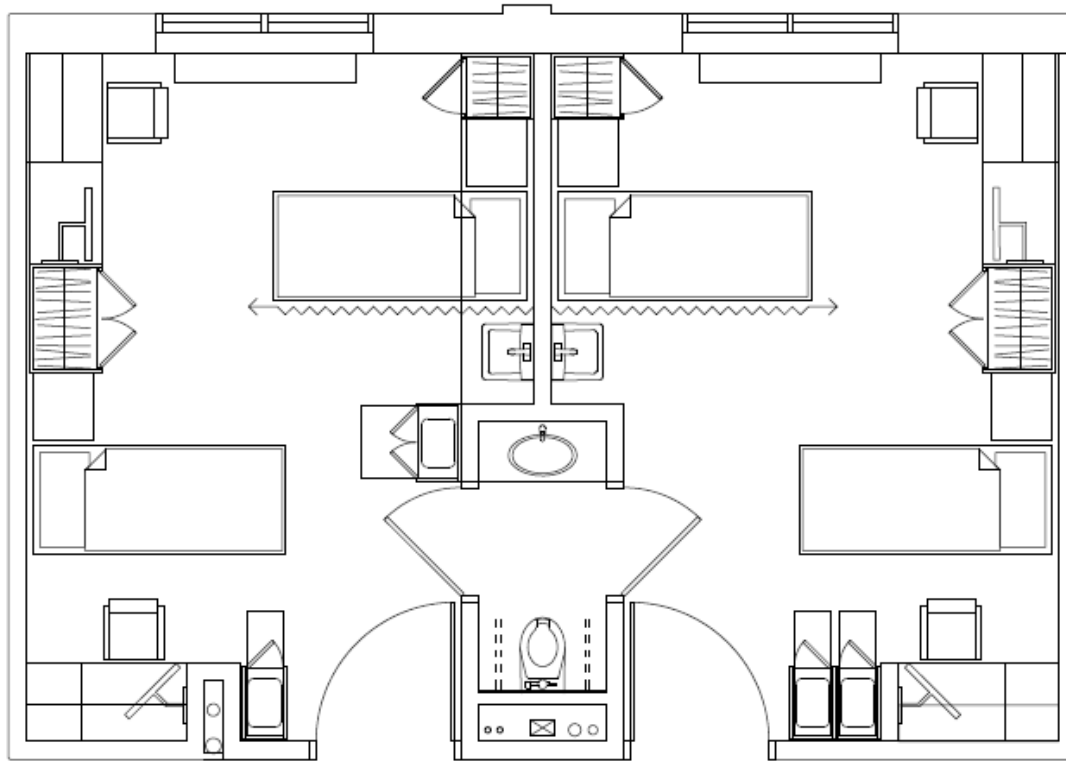
Long Term Care Update

- F457
- §483.90 (d)(1) Bedrooms must-
- §483.90(d)(1)(i) Accommodate no more than four residents;. For facilities that receive approval of construction or reconstruction plans by State and local authorities or are newly certified after November 28, 2016, bedrooms must accommodate no more than two residents.

Long Term Care Update

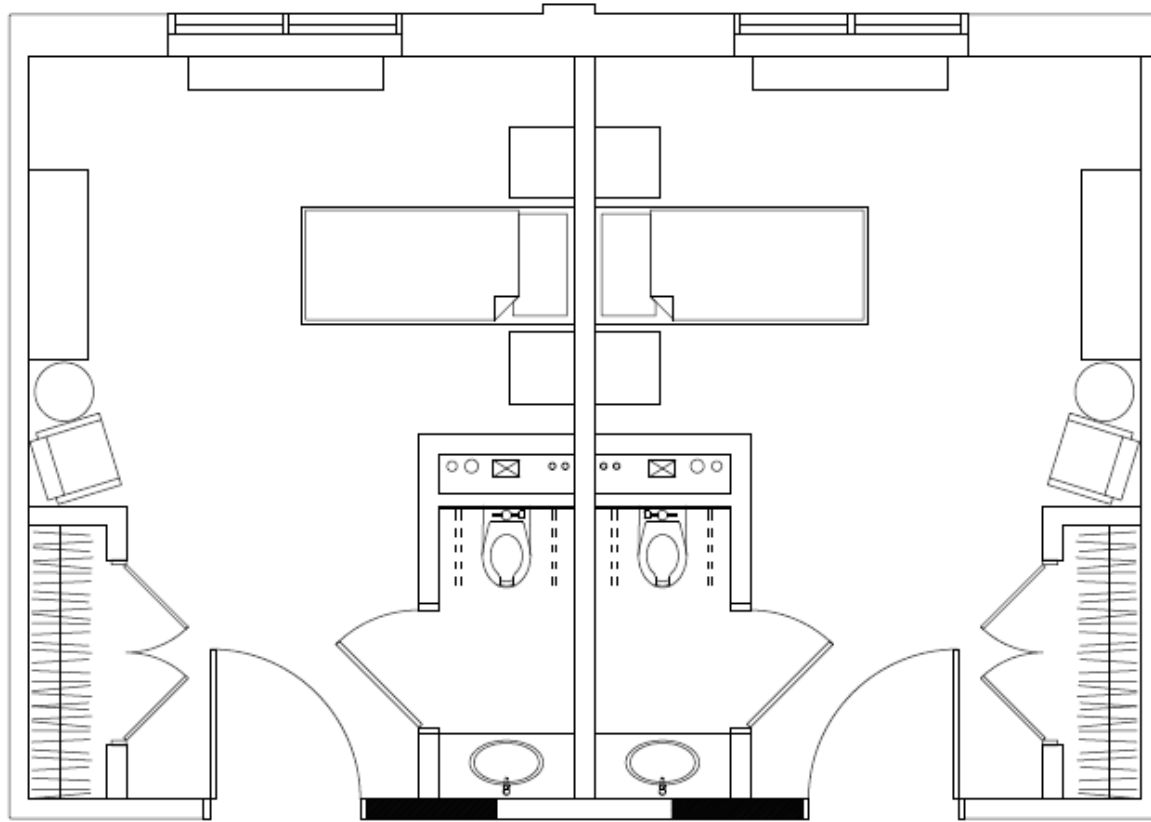
- 2012 Life Safety Code definition of Reconstruction
 - ▀ Section 43.2.2.1.4: The reconfiguration of a space that affects an exit or a corridor shared by more than one occupant space; or the reconfiguration of a space such that the rehabilitation work area is not permitted to be occupied because existing means of egress and fire protection systems, or their equivalent, are not in place or continuously maintained.

Long Term Care Update



EXISTING UNIT

Long Term Care Update



PROPOSED SINGLE OCCUPANCY UNITS

CMS 2012 LSC Adoption

- CMS adopted the 2012 LSC and HCFC with an effective date of July 5, 2016
- The 2012 LSC replaced the 2000 edition, which has been in use since September 2003
- PADOH state licensure requirements also adopted the regulations to follow CMS for survey consistency

CMS 2012 LSC Adoption

- What is the importance of the July 5, 2016 effective date:
 - ▀ The date determines whether the building component is surveyed as new or existing
 - ▀ Those with a plan approval date on or before the effective date are considered existing
 - ▀ Those with a plan approval date after the effective date are considered new

CMS 2012 LSC Adoption

- Separate from the effective date, the implementation date was November 1, 2016
- The implementation date is the date that the state agencies and CMS Regional Offices began completing surveys of health care facilities to the 2012 code requirements

CMS 2012 LSC Adoption

- CMS made modifications to the adoption of the 2012 LSC and HCFC
 - ▣ CMS has excluded Chapters 7, 8, 12 and 13
- These can be found in the final rule:
 - ▣ <https://www.federalregister.gov/articles/2016/05/04/2016-10043/medicare-and-medicaid-programs-fire-safety-requirements-for-certain-health-care-facilities>

CMS 2012 LSC Adoption

- A major change to the survey process is the organization of LSC deficiency tags
- All K-tags will be three digits and are organized by LSC section, LSC sub-section and then numerical order in that sub-section
- For example:
 - ▣ K18 ... K363
 - ▣ K29 ... K321

CMS 2012 LSC Adoption

▣ K363

throughout by an approved, supervised automatic system in accordance with 19.3.5.7.

19.3.6.3* Corridor Doors.

19.3.6.3.1* Doors protecting corridor openings in required enclosures of vertical openings, exits, or lobbies shall be doors constructed to resist the passage of fire and shall be constructed of materials such as the following:

The diagram consists of three red labels with blue arrows pointing to the corresponding parts of the section number 19.3.6.3.1*:
- 'Section' points to '19.3.6.'
- 'Subsection' points to '3.'
- 'Numerical Order' points to '1*'.
The text is overlaid on a light blue background.

CMS 2012 LSC Adoption

▣ K321

Section
Subsection
Numerical Order

held open under the conditions specified by 19.2.2.2.8.

19.3.2 Protection from Hazards.

19.3.2.1 Hazardous Areas. Any hazardous area shall be guarded by a fire barrier having a 1-hour fire rating or shall be provided with an automatic extinguisher in accordance with 8.7.1.

Fire Door Maintenance



Fire Door Maintenance

- Fire-rated door assemblies
 - ▣ Applies to new and existing installations
 - ▣ Inspected and tested not less than annually
 - ▣ Written record shall be signed and kept for inspection by the AHJ – This is a comprehensive document
 - ▣ Functional testing by knowledgeable individuals
 - ▣ Repairs shall be made “without delay”

Fire Door Maintenance

- Fire-rated door assemblies – Swinging doors
 - ▣ Prior to testing, a visual inspection of both sides must be performed, to include the following:
 - ▣ No holes or breaks in surfaces of door or frame
 - ▣ Glazing, vision light frames and glazing beads
 - ▣ No visible signs of damage to the door, frame, hinges, and hardware
 - ▣ No parts are missing or broken
 - ▣ Door clearances are appropriate
 - ▣ Self-closing device operating properly

Fire Door Maintenance

- Fire-rated door assemblies – Swinging doors
 - ▣ Visual inspection continued:
 - ▣ If installed, the coordinator is working
 - ▣ Latching hardware operates
 - ▣ No auxiliary hardware installed that would interfere with proper door operation
 - ▣ No field modifications that would void the label
 - ▣ Gasketing and edge seals, if required, are inspected

Fire Door Maintenance

- Similar requirements for horizontal sliding, vertically sliding and rolling doors
- Recommend that facilities begin preparing for the door testing and inspection requirements – do not wait to get cited first

Fire Door Maintenance

- NFPA's Health Care Interpretations Task Force (HITF)
- *MISSION: To provide consistent interpretations on national codes and standards referenced by CMS, JCAHO and state and territorial authorities having jurisdiction. This will be accomplished through the evaluation of field conditions, surveyor/inspector/fire marshal interpretations, and questions by consumers of these services generated through a member of the task force.*
- July 15, 2016 HITF meeting discussed fire doors that no longer were required to be fire-rated

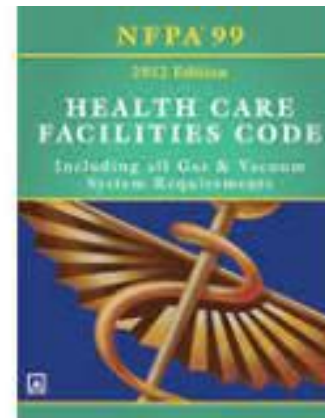
Fire Door Maintenance



Fire Door Maintenance

- **QUESTION.** Is it permissible to remove the label on a fire protection rated door that is installed in a location where a fire protection rated door is not required?
- **RESPONSE.** YES. Removing the label can be considered the same as rendering the door as other than a fire protection rated door. Covering the label is not an option. It should also be noted that the provisions of NFPA 80 do not apply.

NFPA 99 Risk Assessment



NFPA 99 Risk Assessment

NFPA 99-2012 Risk Assessment Tool



Instructions for Using the ASHE NFPA 99 Risk Assessment Tool

Prior to implementing this risk assessment tool, the following steps should be taken:

1. Establish a multidisciplinary team with knowledge of the facility's space use, patient care services, clinical practices, and other areas as appropriate.
2. Familiarize the team with the risk category definitions found in chapters 4 (Fundamentals) and 12 (Emergency Management) of NFPA 99-2012: *Health Care Facilities Code*. These definitions are included in the category legends on each worksheet; mouse over the "Category Legends" box to see them.
3. Familiarize the team with the ways in which system and equipment operability can affect patient safety.

This risk assessment tool contains three worksheets (Systems, Equipment, and Emergency Management) as indicated on the worksheet tabs below.

Notes: This risk assessment tool has been developed to help health care facility staff comply with the risk-based, patient-focused approach required by NFPA 99: Health Care Facilities Code beginning with the 2012 edition. Rather than using the former occupancy-based approach, NFPA 99 now has the same requirements for a procedure no matter where it takes place, focusing on risks to patients and caregivers and on patient outcomes.

This completed risk assessment should be used to determine the steps needed to respond to the identified risks as outlined in NFPA 99. It should be kept as a record of the decisions made and updated annually.

NFPA 99 Risk Assessment

- CMS Deficiency Tag - K 901
- Fundamentals - Building System Categories
- Building systems are designed to meet Category 1 through 4 requirements as detailed in NFPA 99. Categories are determined by a formal and documented risk assessment procedure performed by qualified personnel.
Chapter 4 (NFPA 99)

NFPA 99 Risk Assessment

- CMS Central Office has stated that SA surveyors are to review the facility's risk assessment, which was completed by qualified personnel, **for new systems only**
- Per NFPA 99, the risk assessment should follow procedures outlined in ISO/IEC 31010, NFPA 551, SEMI S10-0307E, or other formal processes

NFPA 99 Risk Assessment

- Category 1 – Failure of facility systems is likely to cause major injury or death to patients or caregivers
- Category 2 – Failure of facility systems is likely to cause minor injury to patients or caregivers
- Category 3 – Failure of facility systems is not likely to cause injury, but can cause patient discomfort
- Category 4 – Failure of facility systems would not have any impact on patient care

NFPA 99 Risk Assessment

- Note that this is for facility systems
- This includes more than the medical gas and electrical systems commonly thought of in the previous editions of NFPA 99
- The category definitions of Chapter 4 are then applied to the requirements in Chapters 5 – 11 (Note that CMS did not adopt Chapters 7 and 8)

Electronic Plan Review

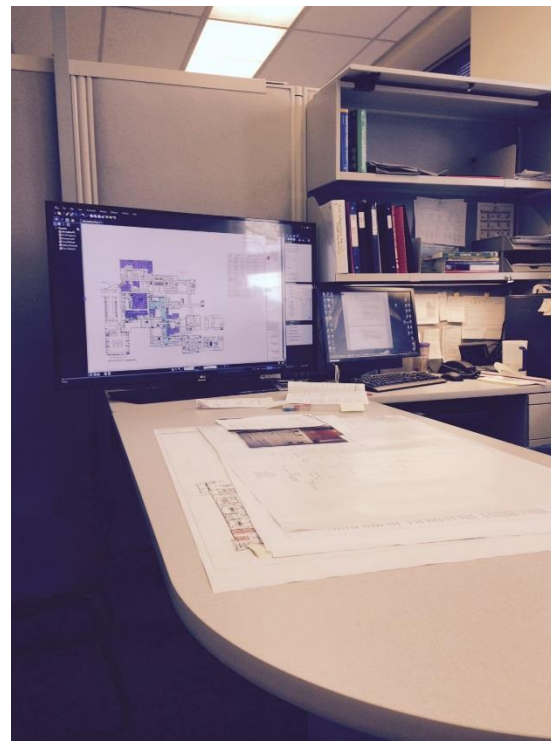
- Starting October 1, 2016, the process for plan review changed from paper submittal to electronic submittal
- Plan submitters must set up a library with DSI to submit and retrieve reviewed plans
 - One library per architectural office, engineer office, health care facility or other submitter
 - The library account can be a resource account
 - Any questions can be directed to Pamela Brown at 717 787-1911

Electronic Plan Review

▼ This...



To



Electronic Plan Review

- ▼ **One printed set of approved plans must continue to be onsite at all times**
 - ▼ No final occupancy approval will be granted if approved plans are not onsite
 - ▼ If this issue is found during the construction project, construction will be stopped until such time that DOH approved plans are onsite
 - ▼ This includes any approved revisions
- ▼ If a facility wishes to propose an alternate source of supplying onsite approved plans that are readily accessible to LSC surveyors, they are to contact their field office for prior approval

Electronic Plan Review

- ▀ Required documentation for plan review remains the same
- ▀ Functional program narrative per FGI Guidelines
- ▀ Any DAAC exceptions for a final plan review are received before final plan submittal
 - ▀ Submit as a preliminary review
- ▀ Safety Risk Assessment (SRA) – not just an Infection Control Risk Assessment
- ▀ New Plan Review Checklist requires that the submitter check the box stating that an SRA was completed and available onsite to the survey team

Occupancy Surveys

- ▼ Requests for occupancy surveys are electronic
- ▼ All requests will be submitted electronically through the DOH website – **no exceptions**
 - ▼ Provides consistency
 - ▼ Eliminates confusion on requests
 - ▼ Better tracking of occupancies
 - ▼ Goal is to streamline the process
- ▼ [http://www.health.pa.gov/facilities/Licenses/Building%20Safety/Pages/default.aspx#.WAUxsqPD- 5](http://www.health.pa.gov/facilities/Licenses/Building%20Safety/Pages/default.aspx#.WAUxsqPD-5)

Occupancy Surveys

Home - Internet Explorer
http://www.health.pa.gov/facilities/Licensees/Building%20Safe
HealthHUB Welcome Home

File Edit View Favorites Tools Help
Page Safety Tools

[Pennsylvania Department of Health](#) > [Healthcare Facilities](#) > [Licensees](#) > Building Safety

DIVISION OF SAFETY INSPECTION

The Department of Health, Division of Safety Inspection, has the responsibility of surveying health care facilities to determine compliance with the Life Safety Code, NFPA 101, 2012 Edition for federal certification and state licensure. In addition to the survey process, the Division also has the responsibility of reviewing and approving construction drawings for all health care facilities in the Commonwealth.

The Division's central office controls and coordinates the activities of five regional offices. These offices are located in Harrisburg, Jackson Center, Norristown, Pittsburgh and Williamsport. [Click here for a list of the division's central office and five regional offices.](#) The division surveys more than 1,350 facilities, with over 3,000 individual buildings.

The division provides sophisticated building analysis in accordance with the federal and state mandated Life Safety Code. This analysis constitutes a review of the structural design and fireproofing. Within that framework, the electrical systems, plumbing, heating, ventilation, fire alarm, sprinkler system and smoke-detection systems must be evaluated. The division's plan review staff meet daily with architects and engineers in the Harrisburg central office to determine the acceptability of designs for health care facilities.

Miscellaneous additional information for facilities:

- [National Fire Protection Association](#)
- [Facility Guidelines Institute](#)

QUICK LINKS

- [Approved Healthcare Facility Construction Plans](#)
- [Contact Us](#)
- [DSI Occupancy Checklist](#)
- [Plan Review Requirements](#)
- [Occupancy Request Form](#)
- [Register for Electronic Plan Review](#)
- [Instructions for Uploading/Downloading Plans](#)

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Questions?



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