

3.A. STRATEGY REQUEST
 79th Regular Session, Agency Submission, Version 1
 Automated Budget and Evaluation System of Texas (ABEST)

DATE: 10/7/2004
 TIME: 10:25:35AM

Agency code: **539** Agency name: **AGING AND DISABILITY SERVICES**

GOAL: 2 Licensing, Certification, and Outreach
 OBJECTIVE: 1 Long Term Care Facility Regulation and Support
 STRATEGY: 1 Long-Term Care Facility Regulation

Statewide Goal/Benchmark: 3 0
 Service Categories:
 Service: 17 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Output Measures:						
1	Number of Long-term Care Facility Certifications Issued	2,051.00	2,037.00	2,044.00	2,044.00	2,044.00
2	Number of Long-term Care Facility Licenses Issued	2,659.00	2,751.00	2,751.00	2,751.00	2,751.00
3	# of On-site Nursing Facility/ICF-MR Monitoring Visits Completed	202.00	136.00	169.00	169.00	169.00
4	Number of Inspections Completed Per Year	4,232.00	4,274.00	4,274.00	4,274.00	4,274.00
5	Number of First Follow-up Visits Completed Per Year	5,559.00	5,534.00	5,534.00	5,534.00	5,534.00
6	Number of Investigations Completed	14,643.00	15,986.00	15,986.00	15,986.00	15,986.00
7	Total Dollar Amount Imposed from Fines	3,097,018.00	2,193,081.00	2,193,081.00	2,193,081.00	2,193,081.00
8	Total Dollar Amount Assessed from Fines	1,606,617.00	2,058,454.00	2,058,454.00	2,058,454.00	2,058,454.00
9	Total Dollar Amount Collected from Fines	3,846,153.44	3,681,452.48	3,681,452.48	3,681,452.48	3,681,452.48
10	Number of Medicaid Facility and Hospice Service Contracts Issued	214.00	189.00	189.00	189.00	189.00
11	Number of Home and Community Support Services Agency Licenses Issued	2,817.00	3,056.00	3,056.00	3,056.00	3,056.00
12	Number Home & Community Support Services Agency Inspections Conducted	1,592.00	1,684.00	1,635.00	1,635.00	1,635.00
13	Number of Complaint Investigations Conducted: HCSSA	1,053.00	951.00	997.00	997.00	997.00
14	# Substantiated Complaint Allegation Abuse/Neglect: Nursing Facilities	1,952.00	1,965.00	2,069.00	2,069.00	2,069.00
15	# Substantiated Complaint Allegations of Abuse/Neglect: ALF	266.00	256.00	269.00	269.00	269.00
16	# Substantiated Complaint Allegations of Abuse/Neglect: Adult Day Care	46.00	46.00	44.00	44.00	44.00
17	Number of Substantiated Complaint Allegations of Abuse/Neglect: ICF/MR	559.00	539.00	555.00	555.00	555.00
18	# Substantiated Complaint Allegations Physical Plant: NF	276.00	344.00	329.00	329.00	329.00
19	# Substantiated Complaint Allegations Unsafe Physical Plant: ALF	61.00	42.00	58.00	58.00	58.00

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 STRATEGY: 1 Long-Term Care Facility Regulation

Statewide Goal/Benchmark: 3 0
 Service Categories:
 Service: 17 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
20 #	Substantiated Complaint Allegations Unsafe Physical Plant: ADC	12.00	11.00	10.00	10.00	10.00
21 #	Substantiated Complaint Allegations of Unsafe Physical: ICF/MR	22.00	12.00	16.00	16.00	16.00
Efficiency Measures:						
1	Average Cost Per Facility Visit	2,275.00	2,245.00	2,481.00	2,481.00	2,481.00
2	Average Cost Per Medicaid Facility and Hospice Service Contract Issued	449.00	368.00	417.00	417.00	417.00
Explanatory/Input Measures:						
1	Number of Facilities Terminated from Licensure and/or Certification	17.00	8.00	12.00	12.00	12.00
2	Number of Medicaid Facility Contracts Terminated	6.00	0.00	3.00	3.00	3.00
Objects of Expense:						
1001	SALARIES AND WAGES	\$34,429,723	\$33,774,699	\$35,499,044	\$35,499,044	\$35,499,044
1002	OTHER PERSONNEL COSTS	\$1,134,903	\$2,353,145	\$2,353,245	\$2,353,245	\$2,353,245
2001	PROFESSIONAL FEES AND SERVICES	\$1,898,234	\$1,778,561	\$1,862,141	\$1,862,141	\$1,862,141
2002	FUELS AND LUBRICANTS	\$4,512	\$1,965	\$2,057	\$2,057	\$2,057
2003	CONSUMABLE SUPPLIES	\$377,642	\$417,156	\$436,759	\$436,759	\$436,759
2004	UTILITIES	\$821,191	\$620,340	\$749,492	\$749,492	\$749,492
2005	TRAVEL	\$2,110,862	\$2,162,030	\$2,632,440	\$2,632,440	\$2,632,440
2006	RENT - BUILDING	\$1,073,029	\$1,114,937	\$1,267,331	\$1,267,331	\$1,267,331
2007	RENT - MACHINE AND OTHER	\$321,212	\$195,454	\$522,703	\$522,703	\$522,703
2009	OTHER OPERATING EXPENSE	\$5,044,676	\$5,153,628	\$5,395,813	\$5,395,813	\$5,395,813
TOTAL, OBJECT OF EXPENSE		\$47,215,984	\$47,571,915	\$50,721,025	\$50,721,025	\$50,721,025

Method of Financing:

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 OBJECTIVE: 1 Long Term Care Facility Regulation and Support
 STRATEGY: 1 Long-Term Care Facility Regulation

Statewide Goal/Benchmark: 3 0
 Service Categories:
 Service: 17 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
1	GENERAL REVENUE FUND	\$4,785,149	\$5,185,492	\$5,964,939	\$6,086,962	\$6,086,962
758	GR MATCH FOR MEDICAID	\$7,047,912	\$5,945,326	\$7,149,143	\$7,149,143	\$7,149,143
SUBTOTAL, MOF (GENERAL REVENUE FUNDS)		\$11,833,061	\$11,130,818	\$13,114,082	\$13,236,105	\$13,236,105
Method of Financing:						
5018	HOME HEALTH SERVICES ACCT	\$2,331,169	\$2,438,721	\$2,440,968	\$2,318,433	\$2,318,434
SUBTOTAL, MOF (GENERAL REVENUE FUNDS - DEDICATED)		\$2,331,169	\$2,438,721	\$2,440,968	\$2,318,433	\$2,318,434
Method of Financing:						
555	FEDERAL FUNDS					
93.777.000	State Survey and Certific	\$16,957,912	\$17,469,284	\$17,409,816	\$17,410,328	\$17,410,327
93.777.001	SURVEY & CERT @ 50%	\$321,841	\$780,724	\$872,428	\$872,428	\$872,428
93.777.002	SURVEY & CERT @ 75%	\$15,722,911	\$15,752,368	\$16,883,731	\$16,883,731	\$16,883,731
CFDA Subtotal, Fund	555	\$33,002,664	\$34,002,376	\$35,165,975	\$35,166,487	\$35,166,486
SUBTOTAL, MOF (FEDERAL FUNDS)		\$33,002,664	\$34,002,376	\$35,165,975	\$35,166,487	\$35,166,486
Method of Financing:						
666	APPROPRIATED RECEIPTS	\$49,090	\$0	\$0	\$0	\$0
SUBTOTAL, MOF (OTHER FUNDS)		\$49,090	\$0	\$0	\$0	\$0
TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)					\$50,721,025	\$50,721,025
TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)		\$47,215,984	\$47,571,915	\$50,721,025	\$50,721,025	\$50,721,025
FULL TIME EQUIVALENT POSITIONS:		869.6	859.7	900.1	900.1	900.1

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GOAL: 2 Licensing, Certification, and Outreach

Statewide Goal/Benchmark: 3 0

OBJECTIVE: 1 Long Term Care Facility Regulation and Support

Service Categories:

STRATEGY: 1 Long-Term Care Facility Regulation

Service: 17 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
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STRATEGY DESCRIPTION AND JUSTIFICATION:

The Health and Safety Code and the Texas Human Resource Code, authorize the state agency to regulate long-term care facilities through inspection and surveys, follow-up visits, complaint investigations, investigations of abuse or neglect, and other contact visits from time to time as they deem appropriate or as required for carrying out the responsibilities of licensing. Staff inspects new facilities prior to licensure and certification and conducts annual inspections in all facilities. Statutory Authority: Human Resources Code, Chapters 48 and 103; Health and Safety Code, Chapters 142, 242, and 247.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:

External factors impacting the implementation of the facility certification program include the federal enforcement regulation changes and revised survey protocols to further protect facility residents. Additional impact is felt from the increased number of federally required monitoring visits to nursing facilities that are financially unstable. These changes have increased the certification workload. Enhanced state licensing regulations and remedy options have significantly increased the licensing workload. Additional effort is spent in the thorough research of all applicants' history as a long term care provider prior to issuing a license. Likewise, increases in the number and variety of licensing remedy actions for facility non-compliance uses more resources and results in increased appeal and legal processes. Actions against detected unlicensed facilities have been pursued through appropriate district/county attorneys. Indications are that the number of unlicensed facilities operating underground continues to grow and requires more resources to actively pursue. Increased licensing and certification workload will very likely exceed the staffing resources available for FY 2004 and FY 2005, thereby reducing the quality of each regulatory activity and negatively effecting the evaluation of resident care and services. Licensures of Nursing Home Administrators are based on a two-year cycle.

0000150

3.D. Sub-Strategy Request Strategy Code: 02-01-01-01

Agency Code	539	Texas Department of Aging and Disability Services
Goal:	02	Long Term Care Regulation
Objective:	01	Long Term Care Regulation
Strategy:	01	LTC Facility Regulation
Substrategy:	01	Nursing Facilities

Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Output Measures:						
1.	Number of long-term care facility certifications issued	2,051	2,037	2,044	2,044	2,044
2.	Number of long-term care facility licenses issued	2,659	2,751	2,751	2,751	2,751
3.	Number of on-site Nursing Facility / ICF-MR monitoring visits completed	185	136	161	161	161
4.	Number of inspections completed per year	1,449	1,434	1,434	1,434	1,434
5.	Number of first follow-up visits completed per year	2,820	2,975	2,975	2,975	2,975
6.	Number of complaint & incident investigations completed	10,851	12,033	12,033	12,033	12,033
7.	Total dollar amount imposed from fines	\$3,097,018	\$2,193,081	\$2,193,081	\$2,193,081	\$2,193,081
8.	Total dollar amount assessed from fines	\$1,606,617	\$2,058,454	\$2,058,454	\$2,058,454	\$2,058,454
9.	Total dollar amount collected from fines	\$3,846,153	\$3,681,452	\$3,681,452	\$3,681,452	\$3,681,452
10.	Number of Medicaid facility & Hospice service contracts issued	214	189	189	189	189
14.	Number of substantiated complaint allegations of abuse / neglect: Nursing Facilities	1,952	1,965	2,069	2,069	2,069
Efficiency Measures:						
1.	Average cost per facility visit	\$2,275.00	\$2,245.00	\$2,481.00	\$2,481.00	\$2,481.00
2.	Average cost per Medicaid facility & Hospice service contract issued	\$449.00	\$368.00	\$417.00	\$417.00	\$417.00
Explanatory Measures:						
1.	Number of facilities terminated from licensure and / or certification programs	17	8	12	12	12
2.	Number of Medicaid facility contracts terminated	6	0	3	3	3

Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Objects of Expense:						
1001	Salaries	17,469,464	17,122,185	17,086,648	17,086,648	17,086,648
1002	Other Personnel Cost	505,784	1,102,404	1,100,015	1,100,015	1,100,015
2001	Professional Fees and Services	806,579	812,464	827,448	827,448	827,448
2002	Fuels and Lubricants	2,884	896	975	975	975
2003	Consumable Supplies	167,750	190,561	194,076	194,076	194,076
2004	Utilities	282,354	283,376	333,039	333,039	333,039
2005	Travel	904,100	1,082,814	1,269,428	1,269,428	1,269,428
2006	Rent - Building	235,401	220,154	561,694	561,694	561,694
2007	Rent - Machine and Other	173,539	50,667	49,285	49,285	49,285
2009	Other Operating Expense	2,292,801	2,632,910	2,630,090	2,630,090	2,630,090
Total, Objects of Expense		22,840,656	23,498,431	24,052,698	24,052,698	24,052,698
Method of Finance:						
0001	General Revenue	1,201,589	1,565,549	2,341,469	2,341,469	2,341,469
0758	GR Match for Medicaid	2,776,073	3,317,430	3,982,386	3,982,386	3,982,386
Subtotal, General Revenue Funds		3,977,662	4,882,979	6,323,855	6,323,855	6,323,855
555	Federal Funds					
93.777.000	Title XVIII - State Survey & Certification	10,346,137	9,781,051	8,603,967	8,603,967	8,603,967
93.777.002	Survey & Certification @ 75%	8,516,857	8,834,401	9,124,876	9,124,876	9,124,876
Subtotal, Federal Funds		18,862,994	18,615,452	17,728,843	17,728,843	17,728,843
Total, Method of Financing		22,840,656	23,498,431	24,052,698	24,052,698	24,052,698

Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Full-Time Equivalent Positions:						
	State/Federal	449.2	446.9	447.9	447.9	447.9
Total, Full-Time Equivalent Positions		449.2	446.9	447.9	447.9	447.9

Sub-strategy Description and Justification:

The Social Security Act, Section 1864, provides for the use of the State Survey Agency as the surveying and certifying agency for providers wishing to contract as Medicare and / or Medicaid providers of institutional care services. The Health and Safety Code, Chapter 242, authorizes the agency to license nursing facilities which care for four or more persons unrelated to the proprietor and provide minor treatment under the direction of a physician which meet some need beyond that of basic food, shelter, and laundry. LTC Facility Regulatory staff members inspect new facilities prior to licensure and certification and conduct periodic (within 12-15 month cycle) inspections in all facilities. Additionally, complaints are received and investigations conducted for all allegations of abuse, neglect, exploitation or other violations of state or federal standards, which might compromise the health and well being of facility residents. Inspection teams are interdisciplinary in structure consisting of professional disciplines appropriate for the type and size of the facility for the annual inspection and/or the problems reported regarding complaint investigations. Inspection teams may include such disciplines as registered nurses, sanitarians, social workers, nutritionists, pharmacists, engineers/architects and life safety specialists. Authority: Social Security Act, Title XVIII, Section 1864; and Health and Safety Code, Chapter 242.

External/Internal Factors Impacting Sub-strategy:

External factors impacting the implementation of the facility certification program include the federal enforcement regulation changes and revised survey protocols to further protect facility residents. Additional impact is felt from the increased number of federally required monitoring visits to nursing facilities that are financially unstable. These changes have increased the certification workload. Enhanced state licensing regulations and remedy options have significantly increased the licensing workload. Additional effort is spent in the thorough research of all applicants' history as a long term care provider prior to issuing a license. Likewise, increases in the number and variety of licensing remedy actions for facility non-compliance uses more resources and results in increased appeal and legal processes. Actions against detected unlicensed facilities have been pursued through appropriate district/county attorneys. Increased licensing and certification workload will very likely exceed the staffing resources available for FY 2004 and FY 2005, thereby reducing the quality of each regulatory activity and negatively effecting the evaluation of resident care and services.

3.D. Sub-Strategy Request Strategy Code: 02-01-01-02

Agency Code	539	Texas Department of Aging and Disability Services
Goal:	02	Long Term Care Regulation
Objective:	01	Long Term Care Regulation
Strategy:	01	LTC Facility Regulation
Substrategy:	02	Assisted Living Facilities

Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Output Measures:						
4.	Number of inspections completed per year	1,505	1,541	1,541	1,541	1,541
5.	Number of first follow-up visits completed per year	1,177	1,123	1,123	1,123	1,123
6.	Number of complaint & incident investigations completed	1,752	1,926	1,926	1,926	1,926
15.	Number of substantiated complaint allegations of abuse / neglect: Assisted Living Facilities					
		266	256	269	269	269
19.	Number of substantiated complaint allegations of unsafe physical plant and/or	61	42	58	58	58
Efficiency Measures:						
1.	Average cost per facility visit	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
2.	Average cost per Medicaid facility & Hospice service contract issued	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Objects of Expense:						
1001	Salaries	1,628,961	1,600,515	1,742,932	1,742,932	1,742,932
1002	Other Personnel Cost	46,357	102,927	99,109	99,109	99,109
2001	Professional Fees and Services	75,901	76,293	79,716	79,716	79,716
2002	Fuels and Lubricants	270	84	94	94	94
2003	Consumable Supplies	12,022	17,894	18,697	18,697	18,697
2004	Utilities	29,439	26,610	32,085	32,085	32,085
2005	Travel	86,952	105,120	120,029	120,029	120,029
2006	Rent - Building	73,157	80,673	23,451	23,451	23,451
2007	Rent - Machine and Other	4,831	4,758	4,748	4,748	4,748
2009	Other Operating Expense	177,147	187,397	280,678	280,678	280,678
Total, Objects of Expense		2,135,037	2,202,271	2,401,539	2,401,539	2,401,539
Method of Finance:						
0001	General Revenue	2,135,037	2,202,271	2,401,539	2,401,539	2,401,539
Subtotal, General Revenue Funds		2,135,037	2,202,271	2,401,539	2,401,539	2,401,539
Total, Method of Financing		2,135,037	2,202,271	2,401,539	2,401,539	2,401,539
Full-Time Equivalent Positions:						
	State/Federal	42.3	42.3	45.3	45.3	45.3
Total, Full-Time Equivalent Positions		42.3	42.3	45.3	45.3	45.3

Sub-strategy Description and Justification:

The Health and Safety Code, Chapter 247, provides for the use of the State Licensing Agency as the inspecting and licensing agency for providers wishing to furnish food, shelter, and personal care services to four or more persons unrelated to the proprietor of the facility. LTC Facility Regulatory staff members inspect new facilities prior to licensure and conduct annual inspections in facilities. Additionally, complaints are received and investigations conducted for all allegations of abuse, neglect, exploitation or other violations of state standards which might compromise the well-being and/or safety of facility residents. Inspection teams may be interdisciplinary in structure consisting of professional disciplines appropriate for the type and size of the facility for the annual inspections and/or the problems reported regarding complaint investigations. Inspection staff may include such disciplines as sanitarians, registered nurses, social workers, nutritionists, pharmacists, architects/engineers and life safety specialists. Authority: Health and Safety Code, Chapter 247.

0000153

External/Internal Factors Impacting Sub-strategy:

Actions against detected unlicensed facilities have been pursued through appropriate district/county attorneys. Indications are that the number of unlicensed facilities operating underground continues to grow and require more resources to actively pursue. Increased licensing and certification workload will very likely exceed the staffing resources available for FY 2004 and FY 2005, thereby reducing the quality of each regulatory activity and negatively effecting the evaluation of resident care and services.

3.D. Sub-Strategy Request Strategy Code: 02-01-01-03

Agency Code	539	Texas Department of Aging and Disability Services
Goal:	02	Long Term Care Regulation
Objective:	01	Long Term Care Regulation
Strategy:	01	LTC Facility Regulation
Substrategy:	03	Adult Day Care

Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Output Measures:						
4.	Number of inspections completed per year	387	366	366	366	366
5.	Number of first follow-up visits completed per year	200	168	168	168	168
6.	Number of complaint & incident investigations completed	330	402	402	402	402
16.	Number of substantiated complaint allegations of abuse / neglect: Adult Day Care					
		46	46	44	44	44
20.	Number of substantiated complaint allegations of unsafe physical plant and/or	12	11	10	10	10
Efficiency Measures:						
1.	Average cost per facility visit	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
2.	Average cost per Medicaid facility & Hospice service contract issued	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Objects of Expense:						
1001	Salaries	569,879	559,478	609,270	609,270	609,270
1002	Other Personnel Cost	16,127	35,984	34,637	34,637	34,637
2001	Professional Fees and Services	26,657	26,670	27,865	27,865	27,865
2002	Fuels and Lubricants	96	30	32	32	32
2003	Consumable Supplies	6,223	6,256	6,535	6,535	6,535
2004	Utilities	9,362	9,302	11,215	11,215	11,215
2005	Travel	30,413	36,746	41,956	41,956	41,956
2006	Rent - Building	31,687	35,228	8,198	8,198	8,198
2007	Rent - Machine and Other	1,734	1,663	1,660	1,660	1,660
2009	Other Operating Expense	55,168	58,484	98,115	98,115	98,115
Total, Objects of Expense		747,346	769,841	839,483	839,483	839,483
Method of Finance:						
0001	General Revenue	747,346	769,841	839,483	839,483	839,483
Subtotal, General Revenue Funds		747,346	769,841	839,483	839,483	839,483
Total, Method of Financing		747,346	769,841	839,483	839,483	839,483
Full-Time Equivalent Positions:						
	State/Federal	14.8	14.8	15.8	15.8	15.8
Total, Full-Time Equivalent Positions		14.8	14.8	15.8	15.8	15.8

Sub-strategy Description and Justification:

Human Resource Code, Chapter 103, provides for the use of the State Licensing Agency as the inspecting and licensing agency for providers which care for four or more persons, unrelated to the owner, in a structured, comprehensive day care program for adults with functional impairments through an individual plan of care by providing health, social, and related support services in a protective setting. LTC Facility Regulatory staff members inspect facilities prior to licensure and annually conduct licensing inspections. Additionally, complaints are received and investigations done for all allegations of violations of state standards which might compromise the residents well-being and/or safety. Inspections are conducted by various professional disciplines appropriate to the type and size of facility. Inspection staff may include such disciplines as sanitarians, architects/engineers, life safety specialists, social workers, nutritionists, registered nurses, and pharmacists. Authority: Human Resource Code, Chapter 103.

0000155

External/Internal Factors Impacting Sub-strategy:

Due to the minimal licensing fees and regulations, this program is experiencing rapid expansion. This expansion is increasing the workload for licensing and survey personnel.

3.D. Sub-Strategy Request Strategy Code: 02-01-01-04

Agency Code	539	Texas Department of Aging and Disability Services
Goal:	02	Long Term Care Regulation
Objective:	01	Long Term Care Regulation
Strategy:	01	LTC Facility Regulation
Substrategy:	04	ICF-MR Facilities

Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Output Measures:						
3.	Number of on-site Nursing Facility / ICF-MR monitoring visits completed	17	0	9	9	9
4.	Number of inspections completed per year	891	933	933	933	933
5.	Number of first follow-up visits completed per year	1,362	1,268	1,268	1,268	1,268
6.	Number of complaint & incident investigations completed	1,710	1,625	1,625	1,625	1,625
17.	Number of substantiated complaint allegations of abuse / neglect: ICF/MR	559	539	555	555	555
21.	Number of substantiated complaint allegations of unsafe physical plant and/or	22	12	16	16	16

Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Objects of Expense:						
1001	Salaries	3,043,201	3,037,528	3,191,116	3,191,116	3,191,116
1002	Other Personnel Cost	97,192	187,301	329,238	329,238	329,238
2001	Professional Fees and Services	127,871	123,034	135,804	135,804	135,804
2002	Fuels and Lubricants	159	136	160	160	160
2003	Consumable Supplies	28,217	28,857	31,853	31,853	31,853
2004	Utilities	46,433	42,913	54,660	54,660	54,660
2005	Travel	251,864	258,637	307,066	307,066	307,066
2006	Rent - Building	148,573	153,338	176,353	176,353	176,353
2007	Rent - Machine and Other	7,530	7,673	8,088	8,088	8,088
2009	Other Operating Expense	268,937	273,283	399,180	399,180	399,180
Total, Objects of Expense		4,019,977	4,112,700	4,633,518	4,633,518	4,633,518

Method of Finance:						
0758	GR Match for Medicaid	1,004,993	1,028,175	1,158,379	1,158,379	1,158,379
Subtotal, General Revenue Funds		1,004,993	1,028,175	1,158,379	1,158,379	1,158,379

555	Federal Funds					
	93.777.002 Survey & Certification @ 75%	3,014,984	3,084,525	3,475,139	3,475,139	3,475,139
Subtotal, Federal Funds		3,014,984	3,084,525	3,475,139	3,475,139	3,475,139

Total, Method of Financing		4,019,977	4,112,700	4,633,518	4,633,518	4,633,518
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Full-Time Equivalent Positions:						
	State/Federal	77.7	78.8	81.4	81.4	81.4
Total, Full-Time Equivalent Positions		77.7	78.8	81.4	81.4	81.4

Sub-strategy Description and Justification:

The Social Security Act, Section 1864, provides for the State Survey Agency to survey and certify providers wishing to contract as an Intermediate Care Facilities/Mental Retardation (ICF/MR) facility - a Medicaid provider of institutional care and treatment services for individuals with mental retardation or related conditions. Additionally, the Health and Safety Code, Chapter 252, provides for the Licensing Agency, which inspects ICF/MR providers who furnish, to four or more residents unrelated to the owner, food, shelter, and treatment or services for the diagnosis, treatment or rehabilitation of persons with mental retardation or related conditions. LTC Facility Regulatory staff members inspect new facilities prior to licensure and certification and conduct annual inspections in all facilities. Additionally, complaints are received and investigations conducted for all allegations of abuse, neglect, exploitation or other violations of state and federal standards that might compromise the health and/or well-being of residents. Inspection teams are interdisciplinary in structure consisting of professional disciplines appropriate for the type and size of the facility for the annual inspections and/or the problems reported regarding complaint investigations. Inspection teams may include such disciplines as registered nurses, social workers, pharmacists, nutritionists, engineers/architects, life safety specialists, and qualified mental retardation professionals. Authority: Social Security Act, Title XVIII, Section 1864; and Health and Safety Code, Chapter 252.

External/Internal Factors Impacting Sub-strategy:

External factors impacting the implementation of the facility certification program include the federal enforcement regulation changes and revised survey protocols to further protect facility residents. Enhanced state licensing regulations and remedy options have significantly increased the licensing workload. Additional effort is spent in the thorough research of all applicants' history as a long term care provider prior to issuing a license. Likewise, increases in the number and variety of licensing remedy actions for facility non-compliance uses more resources and results in increased appeal and legal processes.

3.D. Sub-Strategy Request

Strategy Code: 02-01-01-05

Agency Code	539	Texas Department of Aging and Disability Services
Goal:	02	Long Term Care Regulation
Objective:	01	Long Term Care Regulation
Strategy:	01	LTC Facility Regulation
Substrategy:	05	Home & Community Support Services Licensing

Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Output Measures:						
11.	Number of Home & Community Support Services Agency (HCSSA) licenses issued	2,817	3,056	3,056	3,056	3,056
12.	Number of Home & Community Support Services Agency inspections conducted	1,592	1,684	1,635	1,635	1,635
13.	Number of complaint investigations conducted on-site: HCSSA	1,053	951	997	997	997
Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Objects of Expense:						
1001	Salaries	4,063,544	3,788,204	4,211,749	4,211,749	4,211,749
1002	Other Personnel Cost	158,311	319,166	181,198	181,198	181,198
2001	Professional Fees and Services	263,644	317,219	364,397	364,397	364,397
2002	Fuels and Lubricants	118	351	431	431	431
2003	Consumable Supplies	67,510	74,402	85,468	85,468	85,468
2004	Utilities	69,490	110,642	146,664	146,664	146,664
2005	Travel	335,959	346,065	404,538	404,538	404,538
2006	Rent - Building	20,048	85,956	146,985	146,985	146,985
2007	Rent - Machine and Other	7,482	19,782	21,703	21,703	21,703
2009	Other Operating Expense	1,074,239	1,132,549	1,168,327	1,168,327	1,168,327
Total, Objects of Expense		6,060,345	6,194,336	6,731,460	6,731,460	6,731,460
Method of Finance:						
0001	General Revenue	119,023	108,115	0	122,023	122,023
Subtotal, General Revenue Funds		119,023	108,115	0	122,023	122,023
5018	GR Dedicated - Home Health Services	2,331,169	2,438,721	2,440,968	2,318,433	2,318,434
Subtotal, General Revenue Funds - Dedicated		2,331,169	2,438,721	2,440,968	2,318,433	2,318,434
555	Federal Funds					
93.777.000	Title XVIII - State Survey & Certification	3,610,153	3,647,500	4,290,492	4,291,004	4,291,003
Subtotal, Federal Funds		3,610,153	3,647,500	4,290,492	4,291,004	4,291,003
Total, Method of Financing		6,060,345	6,194,336	6,731,460	6,731,460	6,731,460
Full-Time Equivalent Positions:						
State/Federal		101.1	95.8	107.9	107.9	107.9
Total, Full-Time Equivalent Positions		101.1	95.8	107.9	107.9	107.9

Sub-strategy Description and Justification:

The Social Security Act, Section 1864, provides for use of the State Survey Agency as the surveying and certifying agency for providers wishing to furnish home health, hospice and personal assistance services to individuals in their home or independent living environment.

The Health and Safety Code Chapter 142, authorizes the agency to license home and community support services agencies which provide home health, hospice, or personal assistance services.

Staff conduct licensing and certification inspections at least every 18 and 36 months following the initial license inspection. Additionally, complaints are received and unannounced investigations conducted for allegations regarding the provision of home health, hospice, or personal assistance services.

Staff provide executive leadership; administrative support, rulemaking and policy guidance, staff training; and evaluation of program performance. Additional support functions include sponsoring joint training for staff, providers and advocate groups; processing license and certification; and participating in appeal and legal process/actions against poor performing and unlicensed providers and caregivers.

Authority: Social Security Act, Title XVIII, Section 1864; and Health and Safety Code Chapter 142.

External/Internal Factors Impacting Sub-strategy:

An increase in the number of agencies requesting licensure has significantly increased the licensing workload. This increase in agencies has also increased the workload of the regional survey staff resulting in providers having to wait much longer for initial inspections than is desired by the provider community.

3.D. Sub-Strategy Request

Strategy Code: 02-01-01-06

Agency Code	539	Texas Department of Aging and Disability Services
Goal:	02	Long Term Care Regulation
Objective:	01	Long Term Care Regulation
Strategy:	01	LTC Facility Regulation
Substrategy:	06	Program Administration

Code	Description	Exp 2003	Est 2004	Bud 2005	BL 2006	BL 2007
Objects of Expense:						
1001	Salaries	7,654,674	7,666,789	8,657,329	8,657,329	8,657,329
1002	Other Personnel Cost	311,132	605,363	609,048	609,048	609,048
2001	Professional Fees and Services	597,582	422,881	426,911	426,911	426,911
2002	Fuels and Lubricants	985	468	365	365	365
2003	Consumable Supplies	95,920	99,186	100,130	100,130	100,130
2004	Utilities	384,113	147,497	171,829	171,829	171,829
2005	Travel	501,574	332,648	489,423	489,423	489,423
2006	Rent - Building	564,163	539,588	350,650	350,650	350,650
2007	Rent - Machine and Other	126,096	110,911	437,219	437,219	437,219
2009	Other Operating Expense	1,176,384	869,005	819,423	819,423	819,423
Total, Objects of Expense		11,412,623	10,794,336	12,062,327	12,062,327	12,062,327
Method of Finance:						
0001	General Revenue	582,154	539,716	382,448	382,448	382,448
0758	GR Match for Medicaid	3,266,846	1,599,721	2,008,378	2,008,378	2,008,378
Subtotal, General Revenue Funds		3,849,000	2,139,437	2,390,826	2,390,826	2,390,826
Subtotal, Federal Funds						
555	Federal Funds					
93.777.000	Title XVIII - State Survey & Certification	3,001,622	4,040,733	4,515,357	4,515,357	4,515,357
93.777.001	Survey & Certification @ 50%	321,841	780,724	872,428	872,428	872,428
93.777.002	Survey & Certification @ 75%	4,191,070	3,833,442	4,283,716	4,283,716	4,283,716
Subtotal, Federal Funds		7,514,533	8,654,899	9,671,501	9,671,501	9,671,501
Subtotal, Other Funds						
0666	Appropriated Receipts	49,090	0	0	0	0
Subtotal, Other Funds		49,090	0	0	0	0
Total, Method of Financing		11,412,623	10,794,336	12,062,327	12,062,327	12,062,327
Full-Time Equivalent Positions:						
State/Federal		184.5	181.1	201.8	201.8	201.8
Total, Full-Time Equivalent Positions		184.5	181.1	201.8	201.8	201.8

Sub-strategy Description and Justification:

The Social Security Act, Section 1864, Health and Safety Code, Chapters 242, 247 & 252; and the Human Resource Code, Chapter 103, provides for the use of the State Licensing and Survey Agency as the inspecting/surveying and licensing/certifying agency for various long-term care facilities as providers of institutional care and services and/or as Medicare and/or Medicaid providers. LTC Facility Regulation Program Administration Staff provide executive leadership; administrative support; rulemaking and policy guidance; staff training; and evaluation of program performance. Additional support functions include sponsoring joint training for staff, providers and advocate groups; processing licenses and certifications; processing provider contracts; and participating in appeals and legal processes/actions against poor performing and unlicensed providers and caregivers. Authority: Social Security Act, Title XVIII, Section 1864; Health and Safety Code, Chapters 242, 247 & 252; Human Resource Code, Chapter 103.

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External/Internal Factors Impacting Sub-strategy:

All the factors affecting sub-strategies also affect the program administration.

External factors impacting the implementation of the facility certification program include the federal enforcement regulation changes and revised survey protocols to further protect facility residents. Additional impact is felt from the increased number of federally required monitoring visits to nursing facilities that are financially unstable. These changes have increased the certification workload. Enhanced state licensing regulations and remedy options have significantly increased the licensing workload. Additional effort is spent in the thorough research of all applicants' history as a long-term care provider prior to issuing a license. Likewise, increases in the number and variety of licensing remedy actions for facility non-compliance uses more resources and results in increased appeal and legal processes. Staff recruitment and retention continue to be a challenge in meeting these requirements.