



London Breed, Mayor

Department of Human Services
 Department of Aging and Adult Services
 Office of Early Care and Education

Trent Rhorer, Executive Director

MEMORANDUM

TO: AGING & ADULT SERVICES COMMISSION

THROUGH: SHIREEN MCSPADDEN, EXECUTIVE DIRECTOR

FROM: CINDY KAUFFMAN, DEPUTY DIRECTOR
 JOHN TSUTAKAWA, DIRECTOR OF CONTRACTS *291*

DATE: FEBRUARY 15, 2019

SUBJECT: GRANT MODIFICATION: **FELTON INSTITUTE (NON-PROFIT)** FOR THE PROVISION OF THE LONG TERM CARE OMBUDSMAN PROGRAM

GRANT TERM:	<u>Current</u>	<u>Modification</u>	<u>Revised</u>	<u>Contingency</u>	<u>Total</u>
	7/1/18-6/30/19	7/1/18-6/30/19			
GRANT AMOUNT:	\$485,026	\$55,877	\$540,903	\$54,090	\$594,993
ANNUAL AMOUNT:	Current	Modification	Revised		
	FY 18-19	FY 18-19	FY 18-19		
	\$485,026	\$55,877	\$540,903		
MODIFICATION FUNDING:	<u>County</u>	<u>State</u>	<u>Federal</u>	<u>Contingency</u>	<u>Total</u>
PERCENTAGE:		\$55,877		\$5,587	\$61,464
		100%			100%

The Department of Aging and Adult Services (DAAS) requests authorization to modify the grant agreement with the Felton Institute for the period of July 1, 2018 to June 30, 2019, in the amount of \$55,877 plus a 10% contingency for a total amount not to exceed \$594,993. The purpose of this grant is to support the Long-Term Care Ombudsman program to improve the quality of life and quality of care for people living in nursing homes, residential care homes, and assisted living facilities. The additional funds presented for approval today have been allocated by the California Department on Aging to augment the Ombudsman program.

Background

The Long-Term Care Ombudsman Program is established and mandated by the federal Older American’s Act and the Older Californian’s Act to serve as a resource and advocate for residents of long-term care facilities. Long-term care facilities include skilled nursing facilities (SNF) and residential

care facilities for the elderly (RCFE). (RCFEs are also commonly known as ‘board and care’ or assisted living homes.)

The Long-Term Care Ombudsman program in California includes a State Ombudsman program which is part of the California Department of Aging located in Sacramento. Each of the 33 Area Agencies on Aging in the State of California has their own local Long-Term Care Ombudsman program.

Services to be Provided

The Ombudsman programs rely on trained, certified volunteers to liaise with and provide services to residents of long-term care facilities. This budget modification will support recruitment, training and deployment of an additional 6 Ombudsman volunteers in San Francisco for a total of 23 volunteers annually. Ombudsman volunteers go through 36 hours of intensive training as prerequisite to their initial certification and then must complete 12 hours of continuing education each year. Funds through this modification will also help recruit community members to an advisory council. The advisory council will actively represent the voice of long-term care residents and their families in Ombudsman program delivery. The budget modification will also allow for coordination of an independent survey of clients to assess program impacts. Ombudsman volunteers work directly with residents to resolve complaints and it would be difficult to elicit un-biased survey results from their clients.

The Long-Term Care Ombudsman Program offices are located at 6221 Geary, 3rd floor in San Francisco. Offices are open Monday through Friday during regular business hours. Ombudsman staff and certified volunteers are regularly scheduled at long term-care facilities throughout San Francisco to provide services.

Performance

Program Monitoring: FY18-19 program monitoring took place in December of 2018. There were no findings identified during the monitoring process and grantee is deemed in compliance with contract terms.

Fiscal Monitoring: A Citywide Fiscal and Compliance Monitoring self-assessment was conducted on April 13, 2018. There were no findings identified in the monitoring. The grantee is in compliance with performance and monitoring requirements.

Selection

Grantee was selected through Request for Proposals #647, which was competitively bid in April 2015.

Funding

Funding for this modification will be provided through State funds.

ATTACHMENTS

Appendix A-2 – Services to be Provided

Appendix B-2 – Program Budget

APPENDIX A-2 – SERVICES TO BE PROVIDED BY GRANTEE

Effective July 1, 2018 – June 30, 2019

Felton Institute

LONG-TERM CARE OMBUDSMAN PROGRAM

I. Purpose

The purpose of this grant is to improve the quality of life and quality of care of people living in nursing homes, residential care homes, and assisted living facilities. The Ombudsman Program seeks to accomplish this goal by 1) receiving and responding to complaints and issues presented by, or on behalf of residents of long-term care facilities and 2) providing consultation and education on resident rights and good care practices system wide.

II. Definitions

Adult with Disability	Person 18 years of age or older living with a disability.
California State Office of the Long-Term Care Ombudsman	Office established and operated by the California Department of Aging (CDA) to carry out the State Long-Term Care Ombudsman Program, both directly and by contract with the local Area Agencies on Aging (AAAs). As a program of CDA, the Office is responsible for activities that promote the development, coordination, and utilization of Ombudsman services. The Office analyzes local level performance data, monitors government actions, and provides recommendations pertaining to long-term care facilities and services. The Office periodically updates training procedures for local Ombudsman Programs and provides them with administrative and technical assistance.
CARBON	Contracts Administration, Reporting and Billing On Line System
DAAS	Department of Aging and Adult Services
Disability	A condition attributable to mental or physical impairment, or a combination of mental and physical impairments including hearing and visual impairments, that results in substantial functional limitations in one (1) or more of the following areas of major life activity: self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, economic self-sufficiency, cognitive functioning, and emotional adjustment.
Grantee	Felton Institute / Family Service Agency
	Human Services Agency of City and County of San Francisco

Local Ombudsman Program	Usually either a program of the Area Agency on Aging or its subcontractor that is selected to carry out the duties of the State Long-Term Care Ombudsman Program with respect to the planning or service area. The selection is in accordance with policies and procedures established by the State Ombudsman and meet the State Ombudsman's criteria for designation and concurrence. For this grant, Local Ombudsman Program is Grantee, FSA/Felton Institute's Ombudsman Program.
Long-Term Care / Long-Term Care Facility	1) Any nursing or skilled nursing facility, as defined in Section 1250 of the Health and Safety Code, including distinct parts of facilities that are required to comply with licensure requirements for skilled nursing facilities. 2) Any residential care facility for the elderly as defined in Section 1569.2 of the Health and Safety Code.
Low Income	Having income at or below 100% of the federal poverty line defined by the federal Bureau of the Census and published annually by the U.S. Department of Health and Human Services.
LTC	Long-Term Care
Older Adult	Person who is 60 years or older, used interchangeably with Senior
RCFE	Residential Care Facility for the Elderly
Senior	Person who is 60 years or older, used interchangeably with Older Adult
SNF	Skilled Nursing Facility
SOGI	Sexual Orientation and Gender Identity; Ordinance No. 159-16 amended the San Francisco Administrative Code to require City departments and contractors that provide health care and social services to seek to collect and analyze data concerning the sexual orientation and gender identity of the clients they serve (Chapter 104, Sections 104.1 through 104.9.)

III. Eligibility for LTC Ombudsman Services

- 1) Individual living in a long-term care facility (as defined above) in San Francisco
- 2) Legal representative of individual living in a long-term care facility

IV. Location and Time of Services

The LTC Ombudsman Program is based at Grantee's offices located at 6221 Geary, 3rd floor in San Francisco. Offices are open Monday through Friday during regular business

hours. LTC Ombudsman staff is regularly on site at long-term care facilities to provide program services.

V. Grantee Responsibilities

The Grantee, in accordance with policies and procedures established by the California Department of Aging and California State LTC Ombudsman, will at minimum:

1. Identify, investigate, and resolve complaints that are made by, or on behalf of, residents of long-term care facilities that relate to actions, inactions, or decisions of providers or representatives of providers of long-term care services, public agencies, or health and social services agencies that may adversely affect the health, safety, welfare, or rights of residents.
2. Inform residents about the means of obtaining services delivered by the providers or agencies described in item 1.
3. Provide witnessing services for Advanced Health Care Directives.
4. Ensure that residents have regular and timely access to the services provided through the LTC Ombudsman program and that the residents or other complainants receive timely responses from representatives of the LTC Ombudsman program. Abuse reports get 48 hours to one week response time, based on severity of complaint.
5. Represent the interests of the residents before governmental agencies and seek administrative, legal, and other remedies to protect the health, safety, welfare, and rights of the residents.
6. Recommend changes to relevant laws, regulations, policies, or actions as needed. This may include providing information that the office determines to be necessary to public and private agencies, legislators, and other persons, regarding the problems and concerns of residents of long-term care facilities and recommendations relating to resolving these problems and concerns.
7. Develop internal policies and procedures for recruitment, training, and retention of LTC Ombudsman certified volunteers.
8. Ensure that all LTC Ombudsman program services are free and confidential.
9. Meet all requirements as established and requested by the California Department of Aging and State of California LTC Ombudsman program for the operation of a local LTC Ombudsman program.
10. Development and recruitment of a Long-Term Care Ombudsman Advisory Council.

VI. Units of Service and Definitions

During the term of the grant, the Grantee will record program performance in the following areas for the purpose of determining the extent and impact of services delivered:

1) Unduplicated Consumer

An individual who is eligible for and receives Ombudsman services.

UNIT: One Unduplicated Consumer

2) Complaint/Abuse Investigation and Facility Monitoring

Activities related to receiving, verifying, investigating, and resolving a complaint. Time related to the delivery of this service includes all hours spent in facilities by staff or volunteers, traveling to and from facilities and completing required records.

UNIT: One Hour

3) Work with Resident Councils

LTC Ombudsman program staff or volunteer participation in Resident Council meetings at LTC facilities. LTC Ombudsman program will provide information or instruction to Resident Council about the LTC Ombudsman program or LTC issues.

UNIT: One Resident Council Meeting Attended

4) Work with Family Councils

LTC Ombudsman program staff or volunteer participation in Family Council meetings at LTC facilities. LTC Ombudsman program will provide information or instruction to Family Council about the LTC Ombudsman program or LTC issues.

UNIT: One Family Council Meeting Attended

5) Consultation to Facilities

Count of instances of LTC Ombudsman staff or volunteer interactions with facility staff for the purpose of providing general information and assistance unrelated to a complaint. May be accomplished by telephone, letter, email, fax, or in person.

UNIT: One Consultation

6) Information and Consultation to Individuals

Count of instances of LTC Ombudsman staff or volunteer interactions with residents, family members, friends, and others in the community for the purpose of providing general information and assistance unrelated to a complaint. Consultation may be accomplished by telephone, letter, email, fax, or in person.

UNIT: One Consultation

7) Community Education:

LTC Ombudsman Program staff or volunteer participation in public events planned to provide information or instruction to community members about the LTC Ombudsman Program or LTC issues. The number of sessions refers to the number of events, not the number of participants.

UNIT: One Session

8) Facility Coverage – Nursing Facilities (other than in response to a complaint)

Percentage of nursing facilities within the service area (San Francisco) that were visited by LTC Ombudsman staff or volunteer at least once each quarter not in response to a complaint. The percentage is determined by dividing the number of nursing facilities in the service area that were visited at least once each quarter not in response to a complaint by the total number of nursing facilities in the service area (currently 22 nursing facilities). This is not a count of visits, but a count of facilities. In determining the number of facilities visited for this measure, no nursing facility can be counted more than once.

UNIT: Percentage, as calculated based on formula above.

9) Facility Coverage – Residential Care Facilities for the Elderly (other than in response to a complaint)

Percentage of Residential Care Facilities for the Elderly (RCFE) within the service area (San Francisco) that were visited by LTC Ombudsman staff or volunteer at least once each quarter not in response to a complaint. The percentage is determined by dividing the number of RCFEs in the service area that were visited at least once each quarter not in response to a complaint by the total number of RCFEs in the service area (currently 74 RCFEs). This is not a count of visits, but a count of facilities. In determining the number of facilities visited for this measure, no RCFE can be counted more than once.

UNIT: Percentage, as calculated based on formula above.

10) Number of Full-Time (FTE) Equivalent Staff

This number may only include staff time legitimately charged to the LTC Ombudsman program. Time spent working for or in other programs may not be included in this number. For example, in a local LTC Ombudsman Program that considers full-time employment to be 40 hours per week, the FTE for a staff member who works in the LTC Ombudsman Program 20 hours a week should be a 0.5 FTE, even if the staff member works an additional 20 hours in another program.

UNIT: Full Time Equivalent (FTE)

11) Number of Certified LTC Ombudsman Volunteers:

The utilization of LTC Ombudsman Volunteers is essential to completing the program mission. Grantee will recruit and train volunteers to assist with program function. Volunteers will meet the initial and ongoing training requirements as established by the California State LTC Ombudsman program for certified volunteer status.

UNIT: One Certified LTC Ombudsman Volunteer

VII. Service Objectives

On an annual basis:

- Grantee will attend at least 50 Resident Council meetings
- Grantee will attend at least 13 Family Council meetings
- Grantee will provide at least 139 Consultations to Facilities
- Grantee will provide at least 450 Consultations to Individuals
- Grantee will participate in at least 7 Community Education Events
- Grantee will meet a minimum 86% for Nursing Facility Coverage.
- Grantee will meet a minimum 70% for RCFE Facility Coverage
- Grantee will maintain a minimum 6.0 FTE equivalent for the LTC Ombudsman program
- Grantee will recruit, train, and maintain at least 23 certified LTC Ombudsman volunteers
- Grantee will convene 2 Advisory Council meetings.
- Grantee will coordinate an independent survey to assess program impacts on a sample of 300 consumers.

In addition, on an annual basis, Grantee will report:

- Total number of unduplicated consumers receiving LTC Ombudsman services
- Total hours of Complaint/Abuse Investigation and Facility Monitoring

VIII. Outcome Objectives

- On an annual basis, LTC Ombudsman Program will demonstrate a Complaint Resolution Rate of 70% or above. (Complaint Resolution Rate is calculated as follows: Number of complaints resolved plus Number of complaints partially resolved divided by Total Number of Complaints Received.)

IX. Reporting Requirements

Grantee will provide various reports during the term of the grant agreement:

- A. Grantee shall input all required data into the State Ombudsman Data Integration Network (ODIN) and National Ombudsman Reporting System (NORS) databases as required for Local Ombudsman Program.
- B. Grantee is also responsible for providing reports as scheduled and requested by the California Department of Aging, ensuring that copies are shared with Office on the Aging program analyst.
- C. Grantee shall issue a Fiscal Closeout Report at the end of the fiscal year. The report is due to HSA no later than July 31st.

- D. Monthly, quarterly, and annual reports must be entered into the Contracts Administration, Reporting, and Billing Online (CARBON) system as required by DAAS/OOA and Contracts Department staff.
- E. Grantee program staff will complete the California Department of Aging (CDA) Security Awareness Training on an annual basis; Grantee will maintain evidence of staff completion of this training.
- F. Grantee shall develop and deliver an annual summary report of SOGI data collected in the year as required by state and local law. The due date for submitting the annual summary report is July 10th, 2019.
- G. Grantee shall be compliant with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) privacy and security rules to the extent applicable.
- H. Grantee shall develop and deliver ad hoc reports as requested by HSA/DAAS/OOA staff.
- I. For assistance with reporting requirements or submission of reports, please contact:

Linda Murley
Director, Office on the Aging
DAAS
P.O. Box 7988
San Francisco, CA 94120-7988
linda.murley@sfgov.org

and

Rocio Duenas
Senior Contracts Manager
Human Services Agency
PO Box 7988
San Francisco, CA 94120-7988
rocio.duenas@sfgov.org

X. Monitoring Activities

- A. Program Monitoring: Program monitoring will include review of compliance to specific program standards or requirements; client eligibility and targeted mandates, back up documentation for the units of service and all reporting, and progress of service and outcome objectives; how participant records are collected and maintained; reporting performance including monthly service unit reports on CA Getcare, maintenance of service unit logs; agency and organization standards, which include current organizational chart, evidence of provision of training to staff regarding the Elder Abuse Reporting, evidence that program staff have completed the California Department of Aging (CDA) Security Awareness Training; program operation, which includes a review of a written policies and procedures manual of all OOA funded programs, written

project income policies if applicable, grievance procedure posted in the center/office, and also given to the consumers who are homebound, hours of operation are current according to the site chart; a board of director list and whether services are provided appropriately according to Sections VI and VII.

- B. Fiscal Compliance and Contract Monitoring:** Fiscal monitoring will include review of the Grantee's organizational budget, the general ledger, quarterly balance sheet, cost allocation procedures and plan, State and Federal tax forms, audited financial statement, fiscal policy manual, supporting documentation for selected invoices, cash receipts and disbursement journals. The compliance monitoring will include review of Personnel Manual, Emergency Operations Plan, Compliance with the Americans with Disabilities Act, subcontracts, and MOUs, and the current board roster and selected board minutes for compliance with the Sunshine Ordinance, and HIPAA compliance.

	A	B	C	D	G
1	Appendix B-2, Page 1				
2					
3	HUMAN SERVICES AGENCY BUDGET SUMMARY				
4	BY PROGRAM				
5	Name				Term
6	FAMILY SERVICE AGENCY OF SAN FRANCISCO, dba FELTON INSTITUTE				7/1/18-6/30/19
7	(Check One) New <input type="checkbox"/> Renewal <input type="checkbox"/> Modification <input checked="" type="checkbox"/>				
8	If modification, Effective Date of Mod. 1/1/19 No. of Mod. 1				
9	Program: Ombudsman				
10	Budget Reference Page No.(s)	Original	Modification	Revised	Total
11	Program Term	7/1/18-6/30/19	7/1/18-6/30/19	7/1/18-6/30/19	7/1/18-6/30/19
12	Expenditures				
13	Salaries & Benefits	\$310,559	\$6,069	\$316,628	\$316,628
14	Operating Expenses	\$60,710	\$8,861	\$69,571	\$69,571
15	Subtotal	\$371,269	\$14,930	\$386,199	\$386,199
16	Indirect Percentage (%)	15%	15%	15%	15.00%
17	Indirect Cost (Line 16 X Line 15)	\$55,690	\$2,240	\$57,930	\$57,930
18	Capital/Subcontractor Expenditures	\$58,067	\$38,707	\$96,774	\$96,774
19	Total Expenditures	\$485,026	\$55,877	\$540,903	\$540,903
20	HSA Revenues				
21	General Fund	\$339,745		\$339,745	\$339,745
22	State Funding	\$89,122	\$55,877	\$144,999	\$144,999
23	Federal Funding	\$56,159		\$56,159	\$56,159
24					
25					
26					
27					
28					
29	TOTAL HSA REVENUES	\$485,026	\$55,877	\$540,903	\$540,903
30	Other Revenues				
31					
32					
33					
34					
35					
36	Total Revenues	\$485,026	\$55,877	\$540,903	\$540,903
37	Full Time Equivalent (FTE)				
39	Prepared by: Ray Mallett	Telephone No.:			Date: 1/16/19
40	HSA-CO Review Signature:	_____			
41	HSA #1	1/7/2019			

	A	D	E	F	G	H	I	J	O
1	Appendix B-2, Page 3								
2									
3									
4	Program: Ombudsman								
5	(Same as Line 9 on HSA #1)								
6									
7	Operating Expense Detail								
8									
9									
10									
11									
12	<u>Expenditure Category</u>	<u>TERM</u>	<u>Original 7/1/18-6/30/19</u>	<u>Modification 7/1/18-6/30/19</u>	<u>Revised 7/1/18-6/30/19</u>	<u>TOTAL 7/1/18-6/30/19</u>			
13	Rental of Property		\$31,690	\$0	\$31,690	\$ 31,690			
14	Utilities(Elec, Water, Gas, Phone, Garbage)		\$6,672	\$0	\$6,672	\$ 6,672			
15	Office Supplies, Postage		\$3,414	\$261	\$3,675	\$ 3,675			
16	Program Related Expenses (advertising, recruitment, social media development)		\$5,057	\$5,000	\$10,057	\$ 10,057			
17	Building Maintenance Supplies and Repair		\$800	\$0	\$800	\$ 800			
18	Printing and Reproduction		\$1,676	\$1,000	\$2,676	\$ 2,676			
19	Insurance		\$2,500	\$0	\$2,500	\$ 2,500			
20	Staff Training		\$1,669	(\$669)	\$1,000	\$ 1,000			
21	Staff Travel-(Local & Out of Town)		\$3,770	\$0	\$3,770	\$ 3,770			
22	Rental of Equipment		\$612	\$600	\$1,212	\$ 1,212			
23	Training Expenses		\$650	(\$650)		\$ -			
24	OTHER								
25	Volunteer Recognition		\$1,200	\$3,319	\$4,519	\$ 4,519			
26	Organizational Dues		\$1,000	\$0	\$1,000	\$ 1,000			
27									
28	TOTAL OPERATING EXPENSE		\$ 60,710	\$ 8,861	\$ 69,571	\$ 69,571			
29									
30	HSA #3						1/7/2019		

	A	B	C	D	E	H
1	Appendix B-2, Page 4					
2						
3						
4	Program: Ombudsman					
5	(Same as Line 9 on HSA #1)					
6	Program Expenditure Detail					
7	SUBCONTRACTORS		Original 7/1/18-6/30/19	Modification 7/1/18-6/30/19	Revised 7/1/18-6/30/19	Total 7/1/18-6/30/19
8		Consultant (RCF-Abuse Investigator)	\$10,427	\$0	\$10,427	\$10,427
9		Consultant (RCF-Abuse Investigator)	\$5,200	\$0	\$5,200	\$5,200
10		Consultant (Cantonese-Lead Specialist Ombudsman)	\$14,897	\$0	\$14,897	\$14,897
11		Consultant (Cantonese Specialist Ombudsman)	\$7,400	\$0	\$7,400	\$7,400
12		Consultant (Cantonese Specialist/Data Entry)	\$10,005	\$21,707	\$31,712	\$31,712
13		Consultant (Spanish Speaking Specialist Ombudsman)	\$10,138	\$0	\$10,138	\$10,138
14		Consultant (Marketing)	\$0	\$15,000	\$15,000	\$15,000
15						
16	TOTAL SUBCONTRACTOR COST		\$58,067	\$36,707	\$94,774	\$94,774
17						
18	EQUIPMENT		Original 7/1/18-6/30/19	Modification 7/1/18-6/30/19	Revised 7/1/18-6/30/19	7/1/18-6/30/19
19	No.	ITEM/DESCRIPTION				
20		Equipment - workstation	\$0	\$2,000	\$2,000	\$2,000
21						
22						
23						
24						
25	TOTAL EQUIPMENT COST			\$2,000	\$2,000	\$2,000
26						
27	REMODELING					
28	Description:					7/1/18-6/30/19
29	Remodel A					
30						
31						
32	TOTAL REMODELING COST				\$0	\$0
33						
34	TOTAL CAPITAL/SUBCONTRACTOR EXPENDITURE		\$58,067	\$38,707	\$96,774	\$96,774
35						
36	HSA #4					1/7/2019