



Department of Health

KATHY HOCHUL
Governor

MARY T. BASSETT, M.D., M.P.H.
Commissioner

KRISTIN M. PROUD
Acting Executive Deputy Commissioner

March 14, 2022

DAL: DAL # 22-21
Subject: Changes to the Preadmission
Process for Transitional Adult Homes

Dear Transitional Adult Home Operator/Administrator:

On October 4, 2019, as explained in Dear Administrator Letter (“DAL”) 19-28 dated October 24, 2019, the New York State Department of Health (“Department”) promulgated emergency regulations, which amended Title 18 of the New York Codes, Rules, and Regulations (“18 NYCRR”) §§487.4, 487.5, and 487.10. These amendments, adopted on March 25, 2020, prohibit Transitional Adult Home (“TAH”) operators from admitting a prospective resident without first requesting a screening by the Department to determine if the individual may be a person with serious mental illness (“SMI”) and, depending on the screening results, obtaining a mental health evaluation. As indicated in [DAL #20-09](#), such mental health evaluations must be documented on the Adult Care Facility Mental Health Evaluation Form (DOH-5075).

DAL #22-21 alerts TAH operators that the Department is implementing changes to the preadmission screening process. Specifically, beginning on **April 1, 2022**, the preadmission screening and mental health evaluation processes will be conducted by a Department-retained entity, CSRA State and Local Solutions LLC, a subsidiary of General Dynamics Information Technology and its subcontractor, Keystone Peer Review Organization Inc. (“Kepro”). The changes to the process are described below.

Preadmission Screening

Per 18 NYCRR §487.4(e), before admitting any prospective resident, TAH operators must obtain a preadmission screening from the Department by submitting the following information to the Department:

- full name,
- date of birth,
- guardianship information (if applicable), and
- Medicaid identification number or, if the prospective resident is not enrolled in Medicaid, the operator must indicate whether the preadmission interview and/or medical evaluation suggest a need for a mental health evaluation.

Information provided by the operator is screened against Health and Recovery Plan (HARP) eligibility criteria, and the results are communicated to the operator within three (3) business days of receipt of a complete request.

TAH operators must continue to request preadmission screening before admitting prospective residents. However, **beginning on April 1, 2022**, the following process changes are effective:

1. TAHs must submit preadmission screening requests directly to Kepro.
2. The preadmission screening request must be accompanied by the enclosed PSYCKES Consent Form signed by the prospective resident, which reflects the individual's consent to Kepro accessing their Medicaid data through the Office of Mental Health's Psychiatric Services and Clinical Knowledge Enhancement System ("PSYCKES"). TAHs must give a copy of the completed consent to the prospective resident.
3. When a prospective resident lacks sufficient Medicaid data for the HARP screen, the TAH will be asked to submit to Kepro the written summary of the resident interview (reference: 18 NYCRR §487.4(g)(2)) and the medical evaluation (reference: 18 NYCRR §487.4(g)(1)). Kepro will determine whether the individual appears to be a person with SMI and as such would need a mental health evaluation before an admission decision can be finalized.

Kepro will return results within three (3) business days of receipt of a complete screening request.

If the screening does not indicate that the prospective resident may be a person with SMI, Kepro will advise the TAH that the resident may be admitted within thirty (30) days of receipt of the results, providing that all other admission criteria are met. If the operator does not admit the individual in the 30-day timeframe but still wishes to admit the prospective resident, the operator must recommence the process. If Kepro advises that the screening indicated the prospective resident may be a person with SMI, the TAH may request a mental health evaluation or decline the prospective resident's admission.

Mental Health Evaluations

Per 18 NYCRR §487.4(e)(3)(ii), a prospective resident who flags under the preadmission screening may be admitted only if:

- The prospective resident does not have SMI as confirmed via the mental health evaluation; or
- The prospective resident has SMI but is a former resident of a TAH and the operator successfully obtains a waiver from the Department pursuant to the Department's existing waiver authority.

This requirement remains unchanged. Beginning on **April 1, 2022**, the following changes will be implemented to the mental health evaluation process:

- Kepro will conduct all TAH preadmission mental health evaluations. If a prospective resident is identified by Kepro as suspected of having a SMI, the TAH may request a mental health evaluation.

- When requesting an evaluation, the TAH must provide Kepro with the written summary of the resident interview, the medical evaluation (if those were not provided with the initial screen request).
- TAHs may provide additional information they believe will help Kepro in conducting the evaluation (e.g., information from a treating provider or a referral source such as a nursing home).
- When requesting an evaluation, the TAH must submit an [Authorization for Release of Health Information \(DOH-5032\)](#). The form must be signed by the prospective resident and the TAH must give a copy of the completed form to the prospective resident. For ease, a pre-filled DOH-5032 is enclosed.
- Evaluations will be face-to-face in a location convenient to the prospective resident, but the TAH may need to assist with scheduling and/or providing such space.
- Once complete, Kepro will provide a copy of the mental health evaluation to the TAH. The TAH would include the completed evaluation if applying for a waiver for a former TAH resident.
- A TAH may use the evaluation to help identify and meet the needs of those individuals who are appropriately admitted.

Waivers

A TAH may not admit a prospective resident with SMI absent an approved waiver. Waiver applications may be submitted for prospective residents if they were previously residents of a facility that was a Transitional Adult Home at any time between October 24, 2019 and the present. Waiver applications must be completed on the appropriate Department form and be accompanied by a Kepro-completed mental health evaluation. Waiver applications must be approved by the Department before the prospective resident's admission or readmission.

Resources

The Department hosted webinars on January 31, 2022 and February 1, 2022 to review with TAHS these updates to the preadmission process and has availed the recorded webinar at: <https://meetny.webex.com/recording/service/sites/meetny/recording/6991f5fd65bf103ab36f0050568c0617/playback>. The slides presented during the webinars can be viewed at the link above recording and a separate copy is enclosed for ease of reference.

The webinar included information for TAHs on how to make requests to Kepro for screening and mental health evaluations. As discussed during the webinar, requests and supporting documentation can be submitted by:

- Through Kepro's web-based system, for which TAHs may register at <https://NYAssessments.kepro.com>; or
- Encrypted email to TAH_Assessments@kepro.com, or
- Fax to (718) 816-3560.

Additional support is available at <https://portal.kepro.com> or via telephone at (888) 612-1851.

Questions

If you have any questions, please write to transitionalah@health.ny.gov or commtran@health.ny.gov. Thank you for your cooperation.

Sincerely,



Heidi L. Hayes, Acting Director
Division of Adult Care Facility
and Assisted Living Surveillance

Enclosures

cc: J. Treacy
M. Hennessey
V. Deetz
L. Ullman
K. Pergolino
M. Gasbarro