



Department of Health

KATHY HOCHUL
Governor

JAMES V. McDONALD, MD, MPH
Commissioner

JOHANNE E. MORNE, MS
Executive Deputy Commissioner

November 18, 2024

DAL: DHCBS 24-08
Subject: 2023 LHCSA Statistical Report
and 2023 ALP LHCSA Statistical Report

Dear Administrator:

The 2023 Licensed Home Care Services Agency (LHCSA) Statistical Report and the 2023 Assisted Living Program (ALP) LHCSA Statistical Report will be made available for completion on November 15, 2024. Reports must be submitted by **December 31, 2024**.

LHCSA Registration Process

Section 3605-b, of the Public Health Law (PHL) requires annual registration of all licensed home care services agencies with the Department of Health ("Department"). As such, all LHCSAs, including those that are affiliated with an ALP, are required to be registered with the Department beginning January 1, 2019, and annually thereafter. The registration status of each LHCSA is then publicly posted on the Department's Health Data NY website at <https://data.ny.gov/browse?q=Licensed%20Home%20Care%20Services%20Agency%20Registration%20Status>.

LHCSAs must register for 2025 by successfully submitting a **complete** 2023 LHCSA Statistical Report and/or 2023 ALP LHCSA Statistical Report. Failure to complete and submit the statistical report by the stipulated deadline will result in the following penalties:

- A \$500 fine will be assessed for each month, or part of a month, that the LHCSA is not registered.
- LHCSAs that are not registered will not be allowed to operate until they become registered.
- The Department may revoke the license of any LHCSA that fails to register timely for two years, not necessarily consecutive.

Please note that LHCSAs that were licensed during the current calendar year (2024) will be automatically registered for and may provide and bill for services rendered during 2025.

ALP LHCSAs

All ALP LHCSAs must submit the 2023 ALP LHCSA Statistical Report. An ALP LHCSA serving patients in the community must also complete and submit all sections of the 2023 LHCSA Statistical Report to report data for these community patients; however, an ALP LHCSA that does not serve patients in the community must only complete and submit the 2023 ALP LHCSA Statistical Report. For those ALP LHCSAs submitting both reports, the submission date of the first successfully submitted report will be considered the submission date for the agency for registration purposes.

Report Platform

The 2023 LHCSA Statistical Report and the 2023 ALP LHCSA Statistical Report will use the Department-developed Universal Data Collection System (UDCS) platform.

- Please review and follow the directions for the 2023 Statistical Reports.
- Only those assigned the Health Commerce System (HCS) Administrator Role will be allowed to submit the report. It is imperative that your agency's HCS Administrator Role assignments be accurate and up to date. The LHCSA Administrators from past submissions of the Statistical Report are currently loaded on the Healthcare Financial Data Gateway. New Administrators will be added manually. If you are unable to access the report on the Healthcare Financial Data Gateway, please email HCStatRpts@health.ny.gov to ensure that requisite permissions to access the UDCS platform are in place.
- The UDCS application and the LHCSA Statistical Report form(s) must be downloaded from the HCS and installed on a user's computer. There have not been changes to the software therefore users who submitted the 2022 report will not need to redownload the software to complete the 2023 report. However, the 2023 report form(s) will need to be downloaded. Users designated by the agency can then enter the required data.

Please continually monitor the HCS. Information will be provided through the HCS including directions for downloading and installing the UDCS application and the LHCSA Statistical Report forms, suggestions for using the application in different technical environments and organizational structures, entering data into the forms, and submitting the completed report. **Please read these documents carefully. The 2023 LHCSA Statistical Report is extensive and the successful registration of your LHCSA depends upon your submission of an acceptable LHCSA Statistical Report.**

Thank you in advance for the timely submission of your 2023 LHCSA Statistical report. Please send any questions, comments, and concerns to HCStatRpts@health.ny.gov.

Sincerely,



Mildred P. Ferriter, MBA
Director, Division of Home & Community
Based Services Surveillance

Attachment

cc: V. Deetz
M. Chittenden

INTRODUCTION

Welcome to the documentation for LHCSA (Licensed Home Care Services Agency) and ALP (Assisted Living Program) LHCSA Statistical Report using the Universal Data Collection System (UDCS), a data collection tool that enables you to enter data for submission to the Department of Health in a spreadsheet-like environment. In the past, the Statistical Report information was collected through the Health Electronic Response Data System (HERDS). This has been upgraded to UDCS because it offers a more familiar, Excel-like interface and more powerful editing capabilities.

A UDCS data collection application has two parts – the UDCS Report Manager and Shell, which manage the reports on your computer and is like the Microsoft Excel executable, and the reports or formats that correspond to spreadsheets. This document will guide you through the process of downloading and installing the UDCS Report Manager and Shell and the reports.

NOTES:

- A Health Commerce System (HCS) account is required to download the UDCS Report Manager, Shell, and the reports.
- The Report Manager requires Windows 7 or later operating system. The software WILL NOT operate correctly with previous operating systems such as Windows Vista or Windows XP and CANNOT be run on an Apple computer.
- The software, executables, and reports must be installed on the computer of the user who will be entering and submitting the data. The user installing the software must have Windows Administrator privileges on the computer on which it is being installed. The Windows Administrator must not use the “Administrator Shortcut” – where the user is signed on to the computer, but the Administrator right clicks and chooses “Run as Administrator”. The Administrator must sign on to the computer.
- Only users who were assigned the HCS Administrator role **when the application was released** will be able to submit data. Other users can be added afterward but a request must be sent to HCSStatRpts@health.ny.gov after the user has been assigned the HCS Administrator role.
- A single data file (this file has an extension of .pnp) should be created for each licensed site that your organization operates.
- A single copy of the data file can be stored in a location where multiple people can access it. This will enable people to enter the data that is appropriate for their organizational function – e.g. business office personnel entering the cost and revenue data and human resources personnel entering staffing and wages data. **HOWEVER, ONLY ONE PERSON SHOULD ENTER DATA AT A TIME.** If multiple people are entering data at the same time, only the data from the last person who saved will be retained.
- **This documentation has been updated from previous versions. Images may be from previous report years. Dates in the text have been updated for the current report year (2023).**

User Account Control ×

Do you want to allow this app from an unknown publisher to make changes to your device?

C:\WINDOWS\Installer\b61361a.msi

Publisher: Unknown
File origin: Hard drive on this computer

[Show more details](#)

To continue, enter an admin user name and password.

Domain: SVC

[More choices](#)

Installing the Software, Reports and Documentation

1. Login to the HCS.
2. Click on **Healthcare Financial Data Gateway** in **My Applications**.
3. If it is not there:
 - a. Click on the **My Content** tab at the top of the HCS home page.
 - b. Click on **All Applications**.
 - c. Click on **H** in the **Browse by** alphabet list.
 - d. Click on the **green sphere** marked with a plus sign (+) on the row for the **Healthcare Financial Data Gateway**.
 - e. Go back to **My Content**.
 - f. Click on **Healthcare Financial Data Gateway** in **My Applications**.

This will take you to the **Healthcare Financial Data Gateway** main page.

Healthcare Financial Data Gateway
New York State Department of Health

Welcome John P Huffaker
Home | Contact | Help

Home Software Submissions Publications Reports Administration

Welcome to the Healthcare Financial Data Gateway

The navigation bar above contains selectable tabs for each functional area of the application and is used to navigate throughout the application. Please read the descriptions of these areas below:

Software: The "Software" tab is used to download the Cost Report software and supporting documentation. Items selected for download will be saved as a zip file.

Submissions: The "Submissions" tab can be used to do any of the following.

- Submit your completed and finalized Cost Report
- View the details of past submissions
- Certify a previously submitted Cost Report

Publications: The "Publications" tab is used to download additional information distributed by the Department of Health that is not directly related to the distribution of the Cost Report software.

Reports: The "Reports" tab is used to access a downloadable history of submission and certification details for the Cost Reports.

Administration: The "Administration" tab can be used to do any of the following.

- Grant permissions to the applications
- Manage Roles
- Set Submission CutOff
- Upload Software, Reports, and Supporting Documentation
- Upload Certifications

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Installing the Software

Send questions to hcstatrpts@health.ny.gov

1. Go to the **Healthcare Financial Data Gateway** main page.
2. Click on the **Software** tab – the **Software, Reports and Documentation** page will display.

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EVAL EVAL EVAL

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SOFTWARE, REPORTS AND DOCUMENTATION

Choose Download		
	Last Updated	Instructions
Software	05/04/2018 10:00:47	The SOFTWARE section contains the new Report Manager Software that will be used to run the individual cost report XML files. Download the HCS_SOFTWARE*.zip file presented ONLY IF YOU HAVE NEVER INSTALLED THE SOFTWARE OR IT HAS BEEN UPDATED SINCE YOUR LAST INSTALL (see the Last Update date). The Installation Instructions included in the zip file fully explain the new process. NOTE: The SOFTWARE download is only needed once regardless of the number of reports you complete.
Reports	05/29/2018 11:33:42	The REPORTS section contains the individual cost report XML files. Please choose only the files which your plan is responsible for completing. A zip file will be downloaded to your computer. Once the software from the SOFTWARE section is installed, you can open the Report Manager Software and point to that downloaded zip file on your PC. NOTE: Since the REPORTS to be completed will vary each quarter, they must be downloaded each quarter or when an updated report is posted.
Documentation	01/27/2017 09:35:53	The DOCUMENTATION section contains all supplemental items to help aid in the completion of the cost reports. This includes instructions, category of service documents and quarterly letters.

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3. Click the **Software** button– the **Download Software** page will display.

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New York State Department of Health

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Home Software Submissions Publications Reports Administration

DOWNLOAD SOFTWARE

Software

Note: Download and installation only necessary if software was never previously installed or updated since last install, regardless of reports.

	Version Number	Last Updated
For 2017-Annual matrix reports and earlier ONLY.		
<input type="radio"/> Report Manager and Shell Version 4 (Installation Instructions Included)	4.0.6	02/22/2018 10:04:34
<input checked="" type="radio"/> Report Manager and Shell Version 5 (Installation Instructions Included)	5.1.1	05/04/2018 10:00:47

[Download](#)

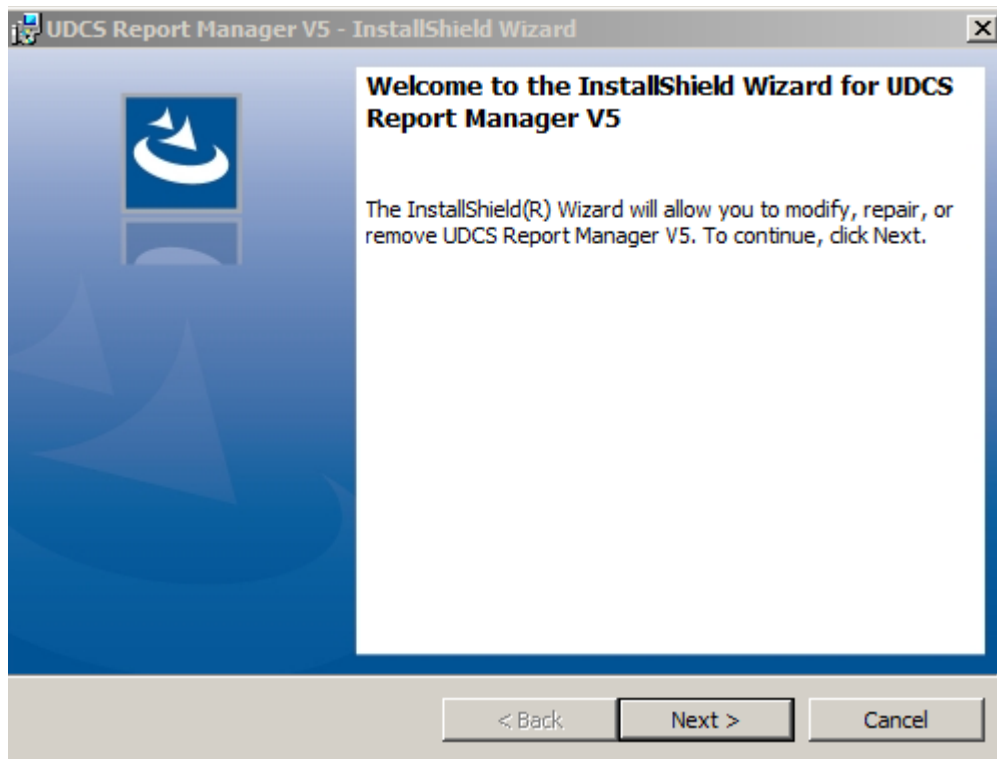
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4. Select **Report Manager and Shell Version 5 (Installation Instructions Included)**.
5. Click on the **Download** button at the bottom of the page.
6. Save the .zip file to the location of your choice.
7. Open the .zip file and extract the Report Manager and Shell software and the installation documentation (this documentation is more extensive than is required to install the software for the Statistical Report and contains some information not applicable to LHCSAs).

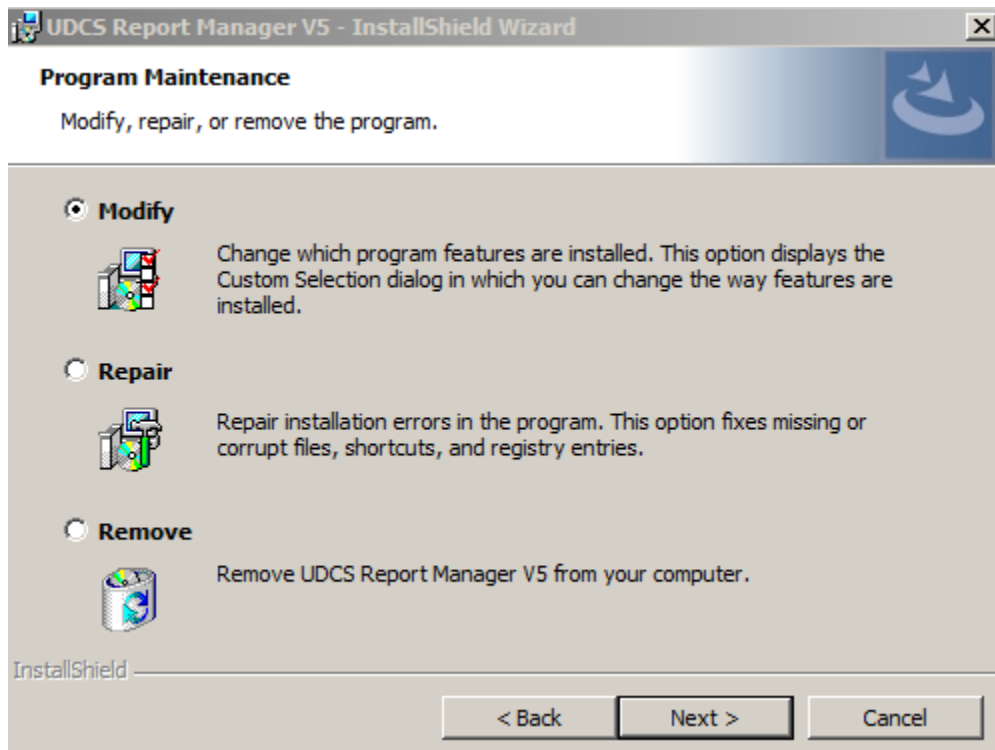
Installing the Software continued...

Send questions to hcstatrpts@health.ny.gov

8. Run the **UDCS_REPORT_MANAGER_SETUP_<version>.exe** program. The InstallShield Wizard splash screen will display after some initializations are performed. Click **Next**.

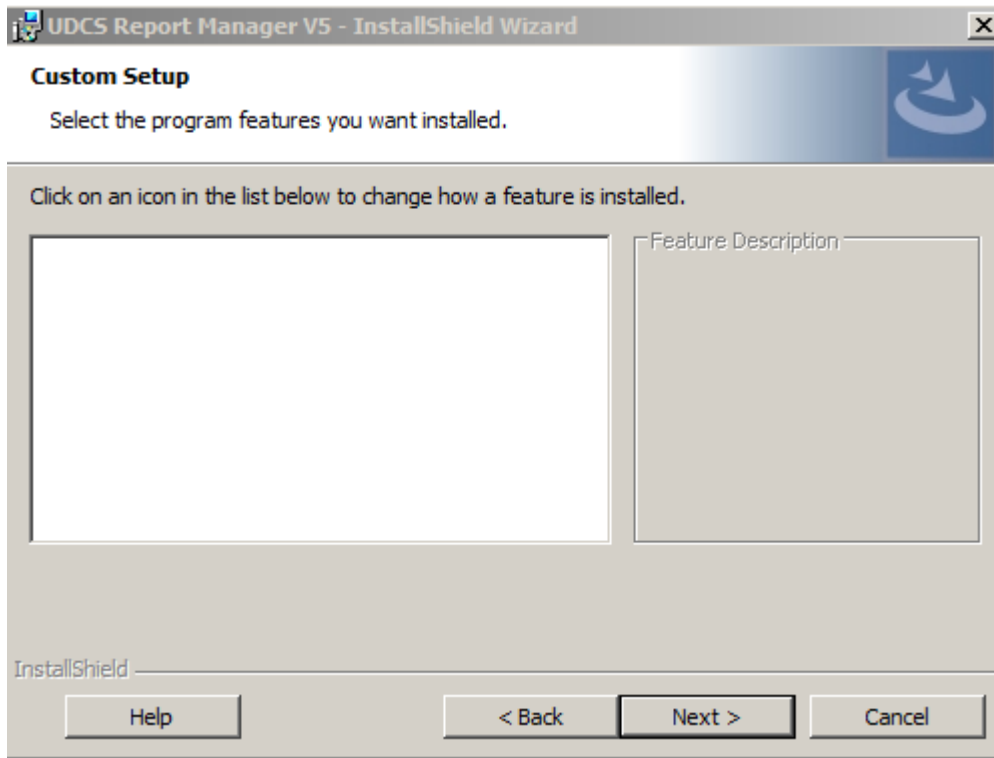


9. The **Program Maintenance** dialog will display. Select **Modify** and click **Next**.

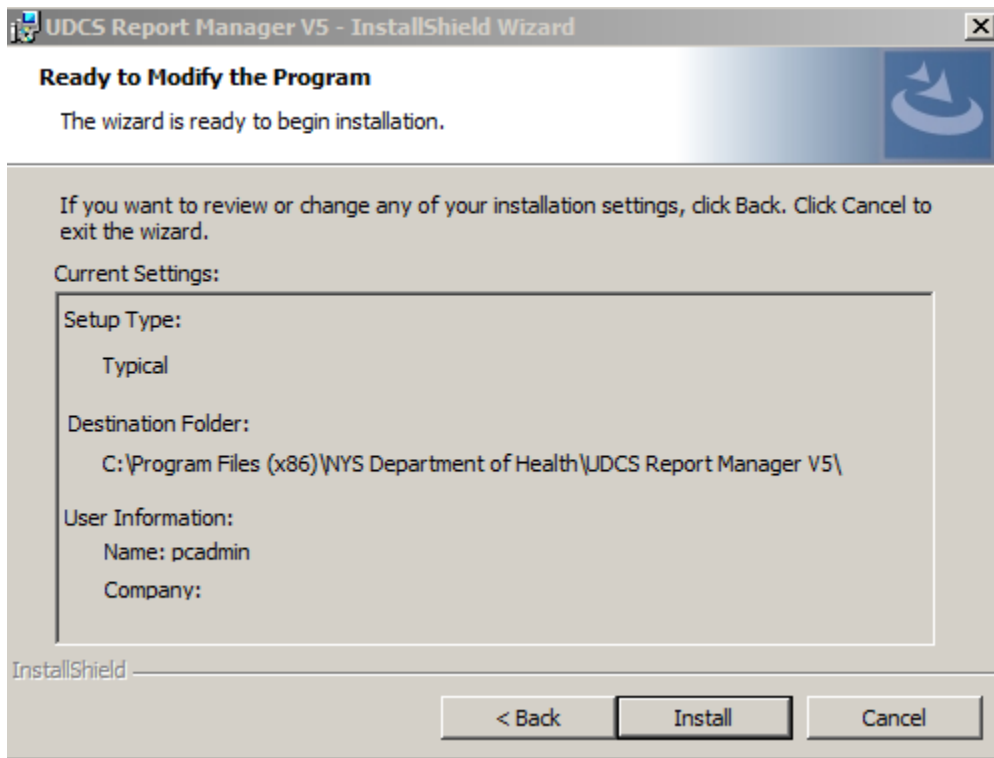


Installing the Software Continued...

10. The **Custom Setup** dialog screen will display. Click **Next**.



11. The **Ready to Modify the Program** dialog will display. Click **Install**.



12. A Desktop icon will be created named **Launch Report Manager V5**. Use this to launch the application.

Installing the Reports Downloading the Reports

1. Go to the **Healthcare Financial Data Gateway** main page.
2. Click on the **Software** tab – the **Software, Reports and Documentation** page will display.

The screenshot shows the 'SOFTWARE, REPORTS AND DOCUMENTATION' page. At the top, there is a navigation bar with 'Home', 'Software', 'Submissions', 'Publications', 'Reports', and 'Administration'. Below this is a table titled 'Choose Download' with three rows: 'Software', 'Reports', and 'Documentation'. Each row has a 'Last Updated' date and 'Instructions'.

	Last Updated	Instructions
Software	09/03/2021 10:16:51	The SOFTWARE section contains the new Report Manager Software that will be used to run the individual cost report XML files. Download the HCS_SOFTWARE*.zip file presented ONLY IF YOU HAVE NEVER INSTALLED THE SOFTWARE OR IT HAS BEEN UPDATED SINCE YOUR LAST INSTALL (see the Last Update date). The Installation Instructions included in the zip file fully explain the new process. NOTE: The SOFTWARE download is only needed once regardless of the number of reports you complete.
Reports	11/30/2021 21:45:49	The REPORTS section contains the individual cost report XML files. Please choose only the files which your plan is responsible for completing. A zip file will be downloaded to your computer. Once the software from the SOFTWARE section is installed, you can open the Report Manager Software and point to that downloaded zip file on your PC. NOTE: Since the REPORTS to be completed will vary each quarter, they must be downloaded each quarter or when an updated report is posted.
Documentation		The DOCUMENTATION section contains all supplemental items to help aid in the completion of the cost reports. This includes instructions, category of service documents and quarterly letters.

3. Click on the **Reports** button – the **Download Matrix Reports** page will display.
 - a. Organization Type is **Home and Community Based Services**
 - b. Submission Schedule can be **Annual LHCSA** or **Annual ALP_LHCSA**
 - c. Select the Submission Year.
 - d. Submission Period is **Annual**
4. Click on the **Search** button.

The screenshot shows the 'DOWNLOAD MATRIX REPORTS' page. It features a form with the following fields: 'Organization Type' (set to 'Home and Community Based Services'), 'Submission Schedule' (set to '--- Select ---'), 'Submission Year' (set to '--Select--'), and 'Submission Period' (set to 'Annual(LHCSA only)'). A dropdown menu is open for 'Submission Period', showing options: '--- Select ---', 'Annual(ALP_LHCSA only)', 'Annual(LHCSA only)', 'CY Annual', and 'CY Quarterly'. A 'Search' button is located to the right of the form.

Downloading the reports continued...

Send questions to hcstatrpts@health.ny.gov

- Unselect all reports except for the current year's **LHCSA Annual** report and click the **Download** button.

The screenshot shows the 'Healthcare Financial Data Gateway' interface. At the top, there is a logo and the text 'New York State Department of Health'. A navigation menu includes 'Home', 'Software', 'Submissions', 'Publications', 'Reports', and 'Administration'. The main content area is titled 'DOWNLOAD MATRIX REPORTS'. Below this, there is a 'Matrix Reports' section with several filters: 'Organization Type' set to 'Home and Community Based Services', 'Submission Schedule' set to 'Annual(LHCSA only)', 'Submission Year' set to '2021', and 'Submission Period' set to 'Annual'. A 'Search' button is located to the right of these filters. Below the filters, a table titled 'Matrix Reports for 2021 Annual' is displayed. The table has columns for 'Select All', 'Build#', 'Publish Date', and 'Publish By'. The first row shows a checked checkbox for 'Select All' and a checked checkbox for 'LHCSA 2021 -Annual'. A 'Download' button is located at the bottom left of the table area.

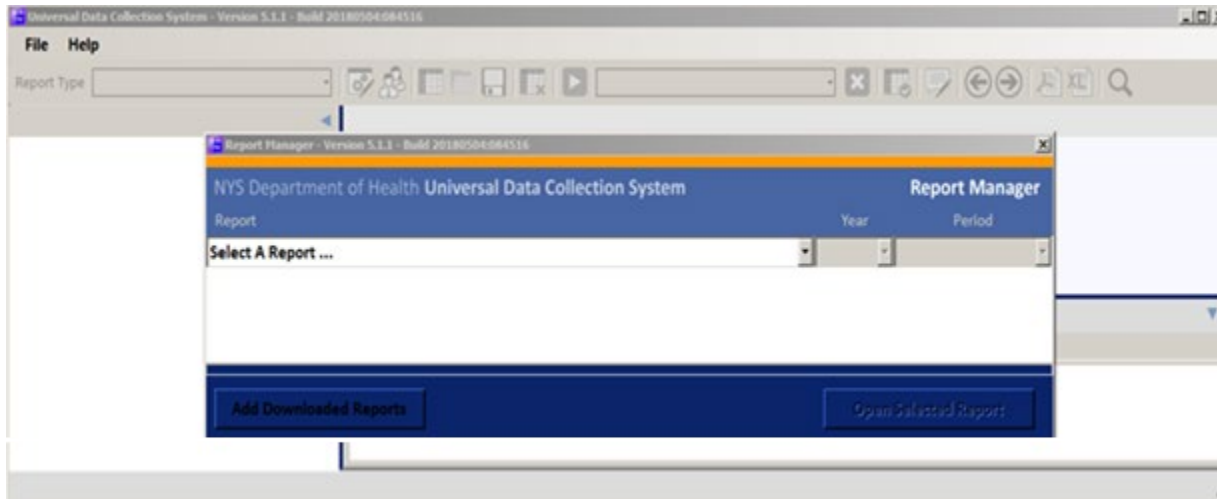
- DO NOT OPEN THE .zip FILE.** Save the .zip file to the location of your choice. Some computers automatically save the downloaded .zip file into the computer's Download folder. If your computer does not ask where you would like to save the file, it has most likely automatically saved the file in the Downloads folder. Do not modify this .zip file – it contains an encrypted file and can only be used by the UDCS Shell. Instructions for managing this file with the UDCS Report Manager and using it with the UDCS Shell are contained later in this documentation.

Running the Application

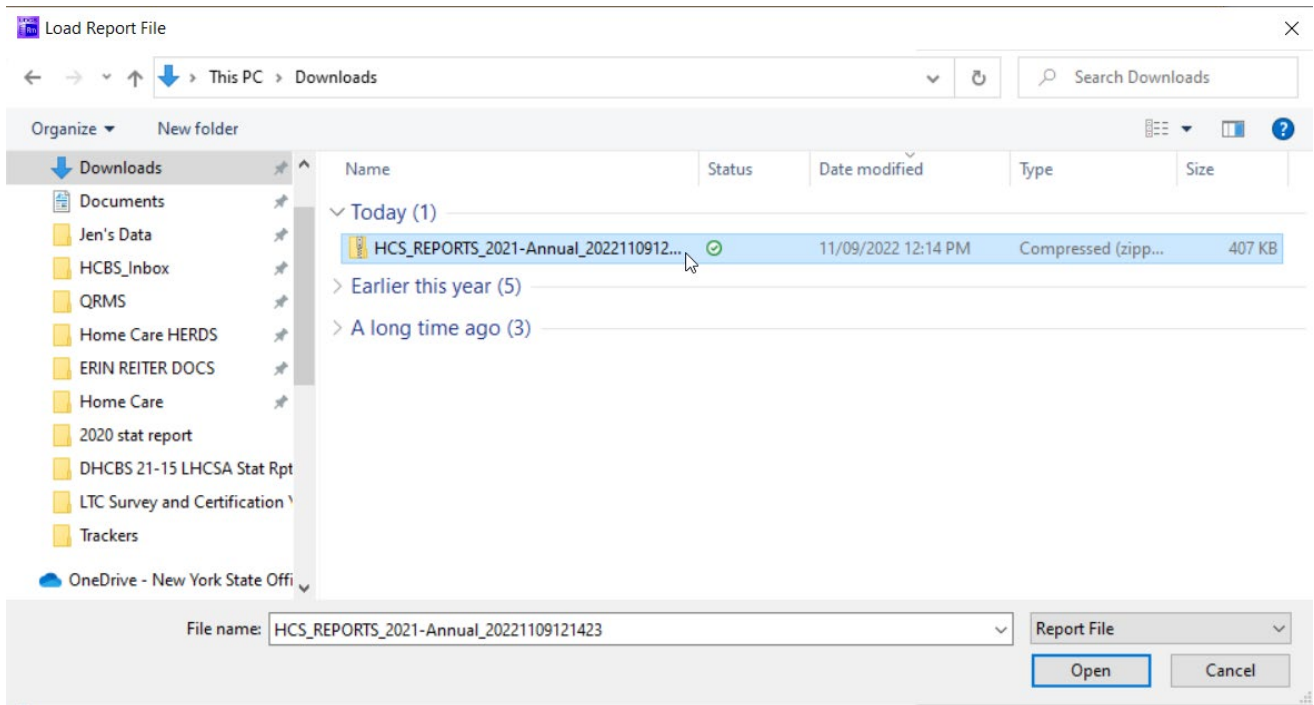
Send questions to hcstatrpts@health.ny.gov

Running the application for the first time

1. Click the **Launch Report Manager** desktop icon.
2. The **UDCS Select a Report** dialog will display. Click the **Add Downloaded Report** button.

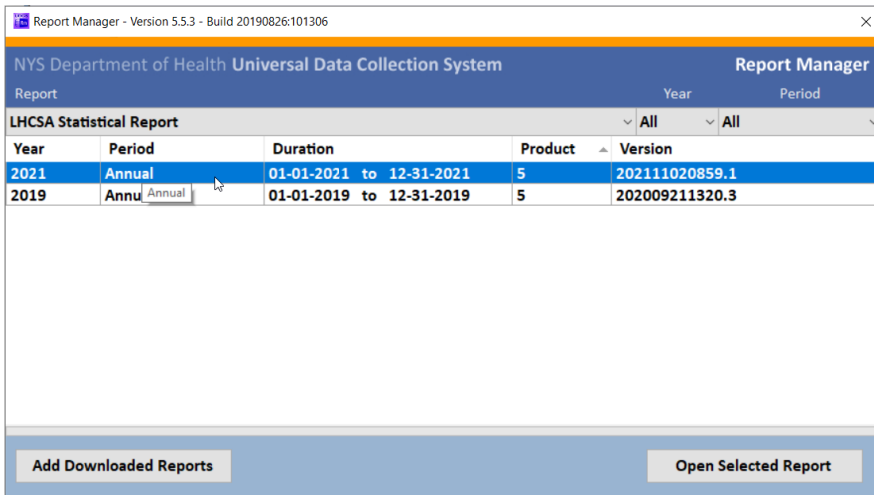
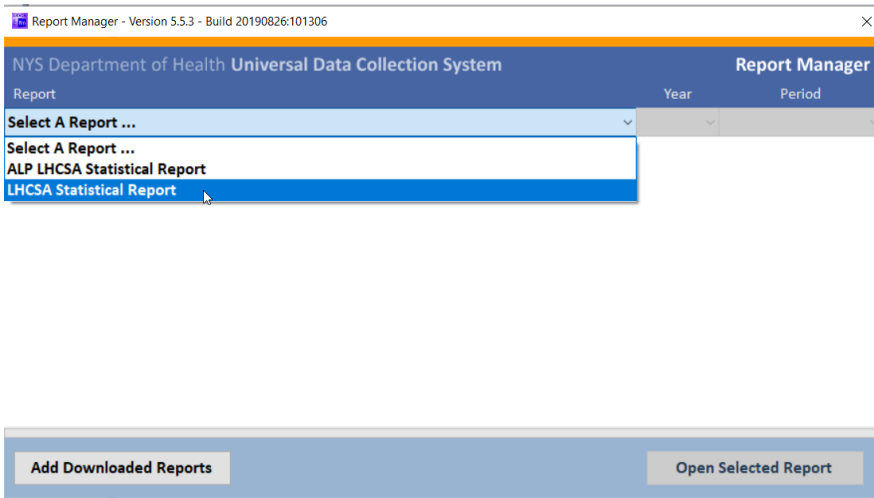


3. Locate and select this year's annual report that you downloaded earlier.

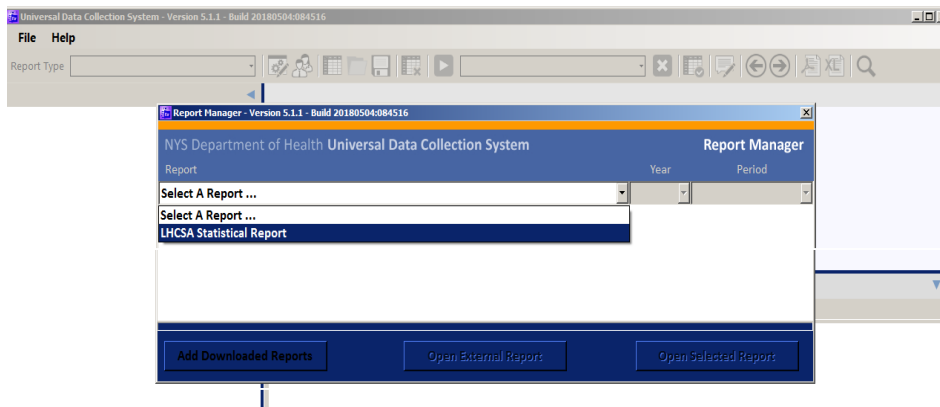


Running the Application for the First Time, continued...

- Click the down arrow at the end of the **Select a Report...** drop down menu and click on either the **LHCSA Statistical Report** menu item, or the ALP LHCSA Statistical Report item. Then select the correct year for the report. This will load the report into the UDCS Report manager.

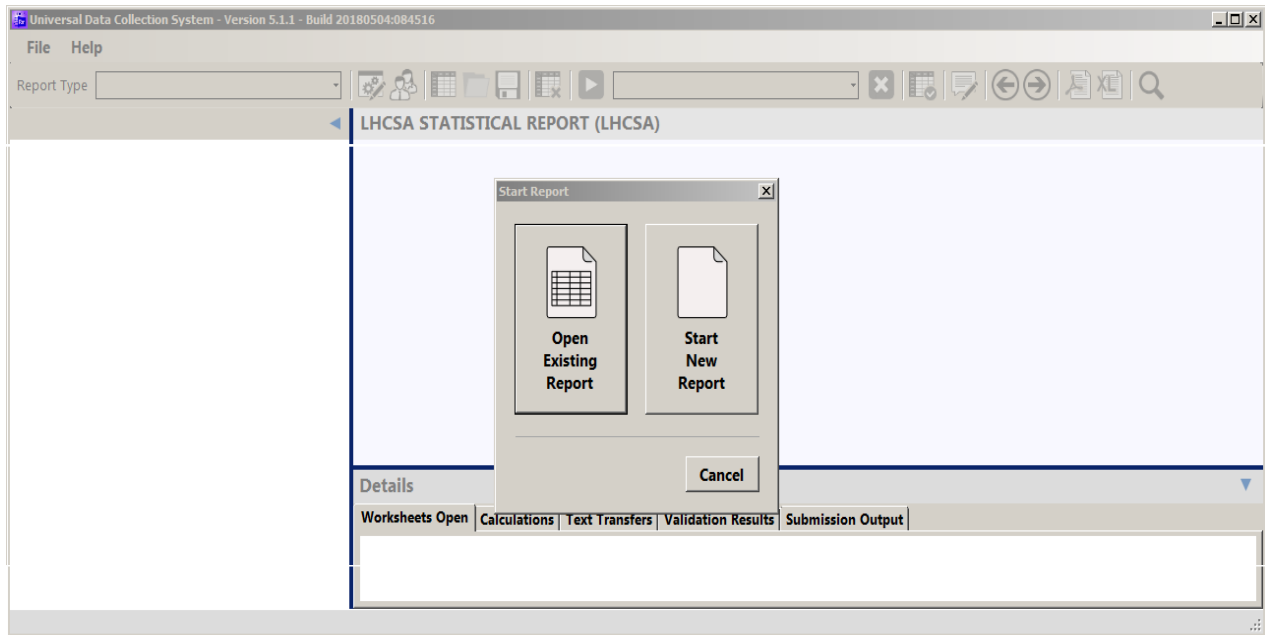


- Make sure that the correct report is selected and click the **Open Selected Report** button – the Start Report dialog will display.



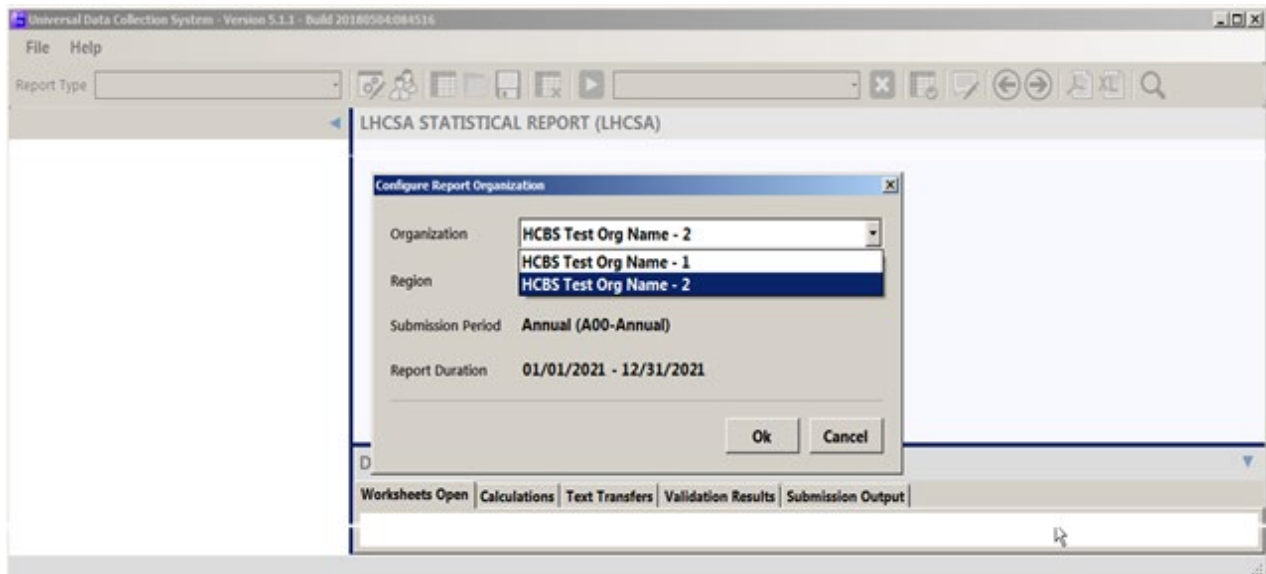
Running the Application for the First Time, continued...

- Click the **Start New Report** button.

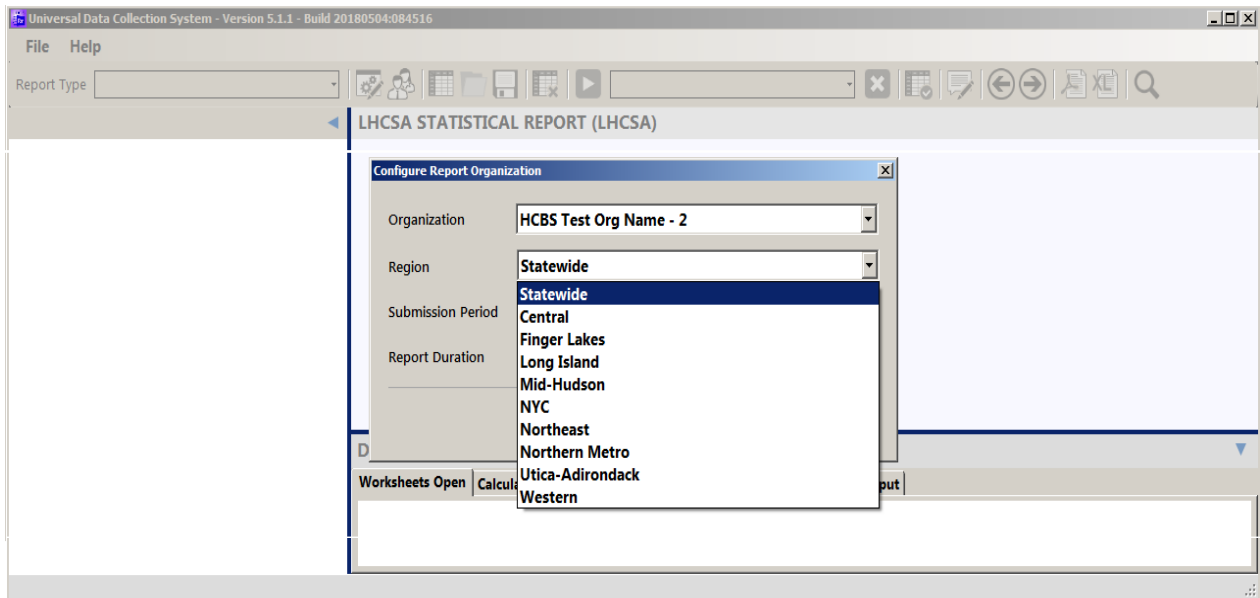


Running the Application for the First Time, continued...

7. Click the **OK** button on the **Select Report Type** dialog – the **Configure Report Organization** dialog will display. Select your LHCSA from the **Organization** dropdown menu.

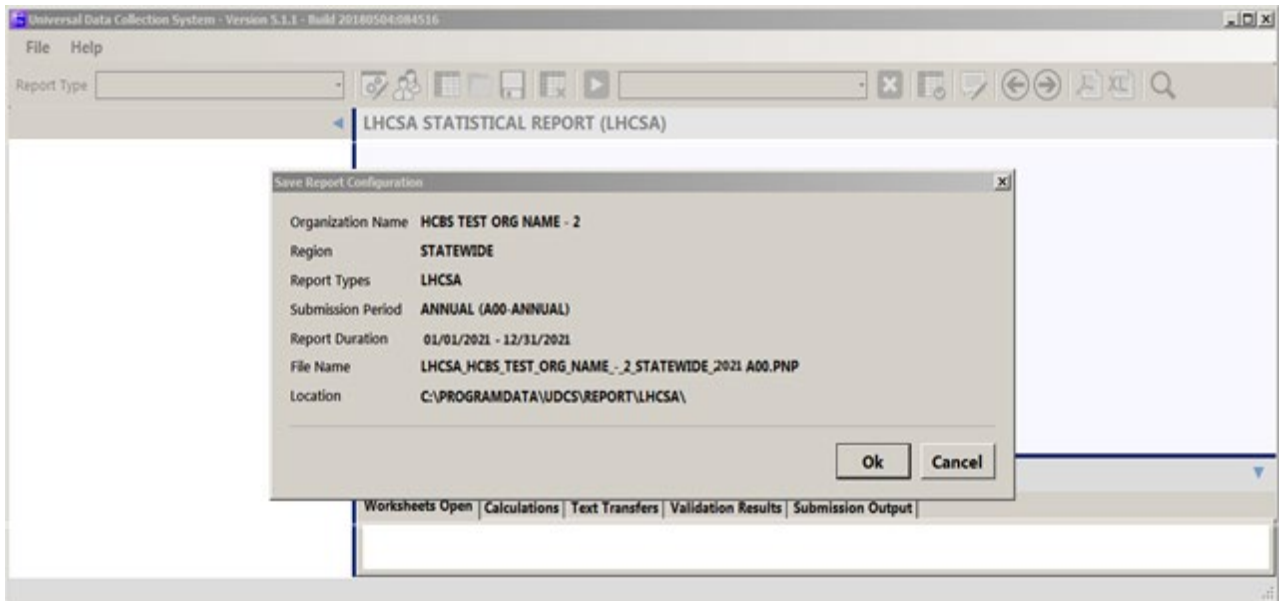


8. Select **Statewide** from the **Region** dropdown menu click the **OK** button.

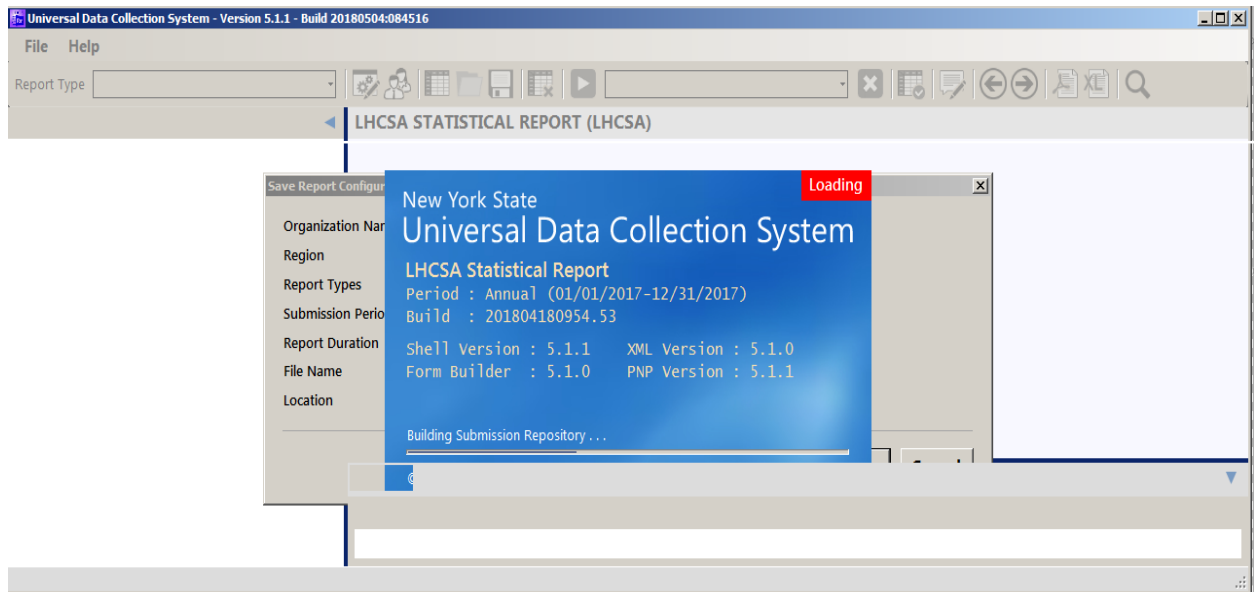


Running the Application for the First Time, continued...

9. Click the **OK** button on the **Save Report Configuration** dialog.

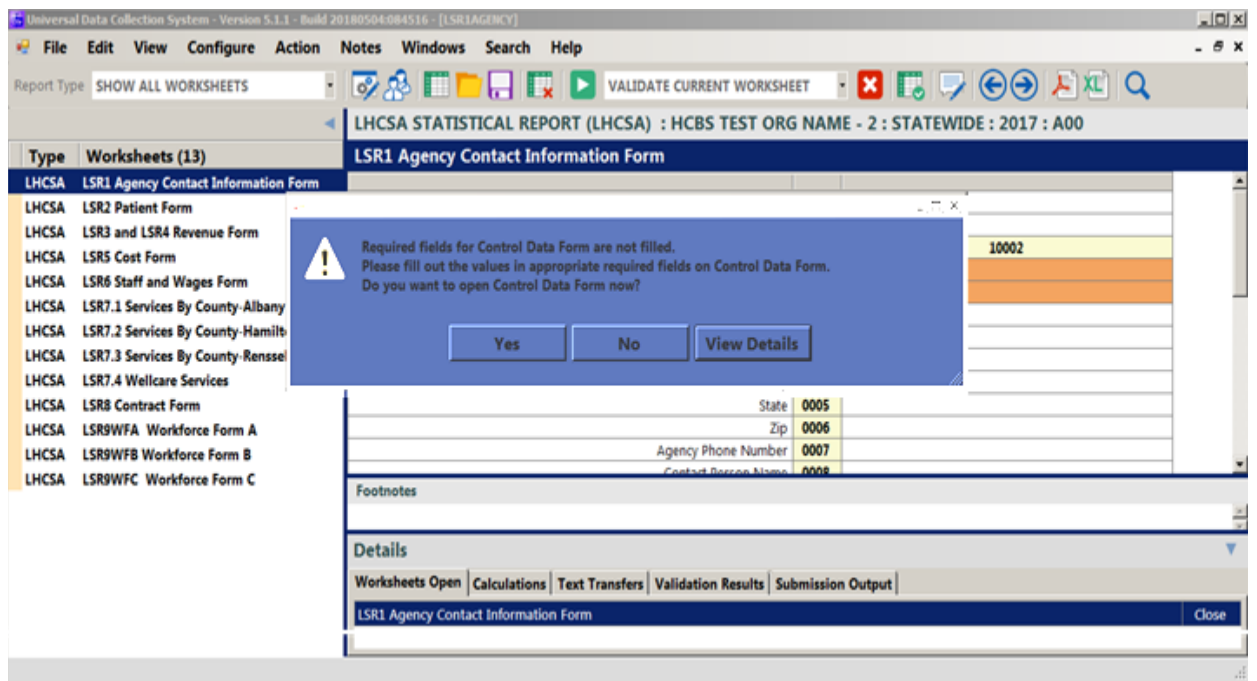


10. The Universal Data Collection System Shell will start loading the selected report.



Running the Application for the First Time, continued...

11. The **Control Data Validation Message** dialog will display; click the **Yes** button.



12. Fill out the **General Information** data and Click the **Validate** button.

Universal Data Collection System - Version 5.1.1 - Build 20180504:084516 - [LSR1AGENCY]

File Edit View Configure Action Notes Windows Search Help

Report Control Data Form

Report Type SHC

Report Control Data Form

Configuration Information

Class Code	Line Number	
01005		Submission Type : ANNUAL
01010		Submission Year : 2017
01011		Submission Period : A00
01004		DCN :
01000		Submitter ID : 120021234
01003		Region ID : 1
01002		Region Name : STATEWIDE
010		Name of Organization : HCBS TEST ORG NAME - 2
034		Begin Date : 01/01/2017
035		End Date : 12/31/2017

Contacts

Validate Save Cancel

13. If the data validates, click the **Save** button.
14. Start entering data into the LHCSA Statistical Report or the ALP_LHCSA Statistical Report.

Running the application after the first time

1. Click on the **Launch Report** manager desktop icon.
2. The **UDCS Select a Report** dialog will display.
3. Click on the down arrow at the end of the **Select A Report...** drop down menu.
4. Select the **LJHCSA Statistical Report** menu item.
5. Click on the **Open Selected Report** button – The **Start Report** dialog will display.
6. Click on the **Open Existing Report** button.
7. When **File Explorer** opens, select the report created when the application was initially started and open it.
8. The **Universal Data Collection System Shell** will start loading the selected report.
9. If you have not yet entered the **Configuration Information** data
 - a. the **Control Data Validation Message** dialog will display; click on the **Yes** button
 - b. File out the **Configuration Information** data
 - c. Click on the **Validate** button.
 - d. If the data validates, click on the **Save** button.
10. Continue entering data into the LHCSA Annual Statistical Report

Submitting the Finalized Statistical Report

1. Login to the HCS.
2. Click on **Healthcare Financial Data Gateway** in **My Applications**. This will take you to the **Healthcare Financial Data Gateway** main page.



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New York State Department of Health

Welcome

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Home Software Submissions Publications Reports Administration

Welcome to the Healthcare Financial Data Gateway

The navigation bar above contains selectable tabs for each functional area of the application and is used to navigate throughout the application. Please read the descriptions of these areas below:

Software: The "Software" tab is used to download the Cost Report Software, Matrix Reports and supporting documentation. Items selected for download will be saved as a zip file.

Submissions: The "Submissions" tab can be used to do any of the following.

- Submit your Completed and Finalized Cost Report
- View the Details of Submissions
- Certify and Print Submitted Cost Report

Publications: The "Publications" tab is used to download additional information distributed by the Department of Health that is not directly related to the distribution of the Cost Report software.

Reports: The "Reports" tab is used to view and export (to Excel) a history of Submission and Certification details for the Cost Reports.

Administration: The "Administration" tab can be used to do any of the following.

- Grant permissions to the applications, with or without email notifications
- Manage Certifications
- Manage Roles
- Set Submission Cut Off Dates
- Upload Software, Reports and Supporting Documentation

3. Click the **Submissions** tab – the **Submissions** page will display.



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SUBMISSIONS

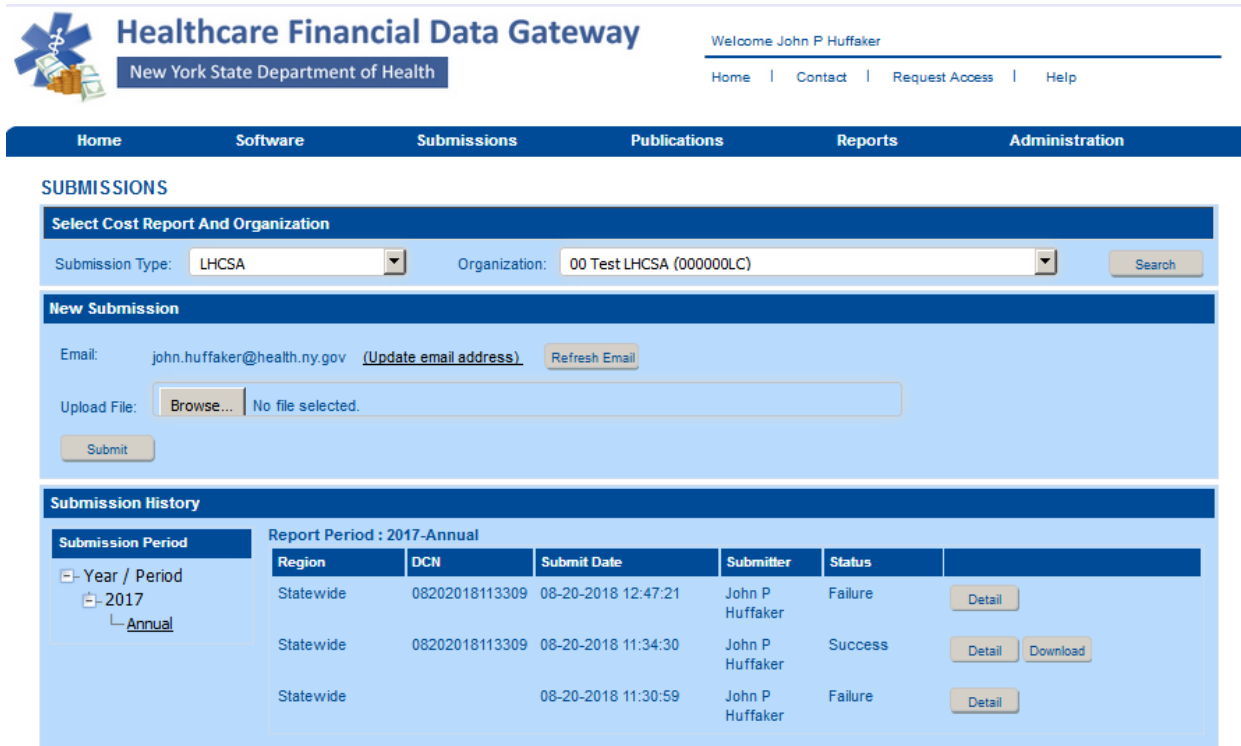
Select Cost Report And Organization

Submission Type: LHCSA Organization: 00 Test LHCSA (000000LC) Search

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Submitting the Finalized Statistical Report continued...

4. Select **LHCSA** or **ALP_LHCSA** as the **Submission Type** and your organization from the **Organization** list and then click the **Search** button. The **Submission** page will be expanded.



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SUBMISSIONS

Select Cost Report And Organization

Submission Type: LHCSA Organization: 00 Test LHCSA (000000LC) Search

New Submission

Email: john.huffaker@health.ny.gov (Update email address) Refresh Email

Upload File: Browse... No file selected. Submit

Submission History

Report Period : 2017-Annual

Submission Period	Region	DCN	Submit Date	Submitter	Status	
[-] Year / Period [-] 2017 [-] Annual	Statewide	08202018113309	08-20-2018 12:47:21	John P Huffaker	Failure	Detail
	Statewide	08202018113309	08-20-2018 11:34:30	John P Huffaker	Success	Detail Download
	Statewide		08-20-2018 11:30:59	John P Huffaker	Failure	Detail

5. Click the **Browse** button to display a dialog box that allows you to locate your finalized LHCSA Statistical Report. It will have a .pnp file extension.
6. Once you have selected the file to submit, click the **Submit** button.
7. The **Submission History** section of the **Submission** page will be updated to reflect the status of the submission.
8. A confirming email message will be sent to the email address listed in the **New Submission** section of the **Submission** page.

Licensed Home Care Services Agency Statistical Report and Registration Forms on Universal Data Collection System (UDCS) Instructions

Please see Attachment A at the end of this document – it contains descriptions to all items on the tool bars located on the top of the Report Manager worksheets.

General Information:

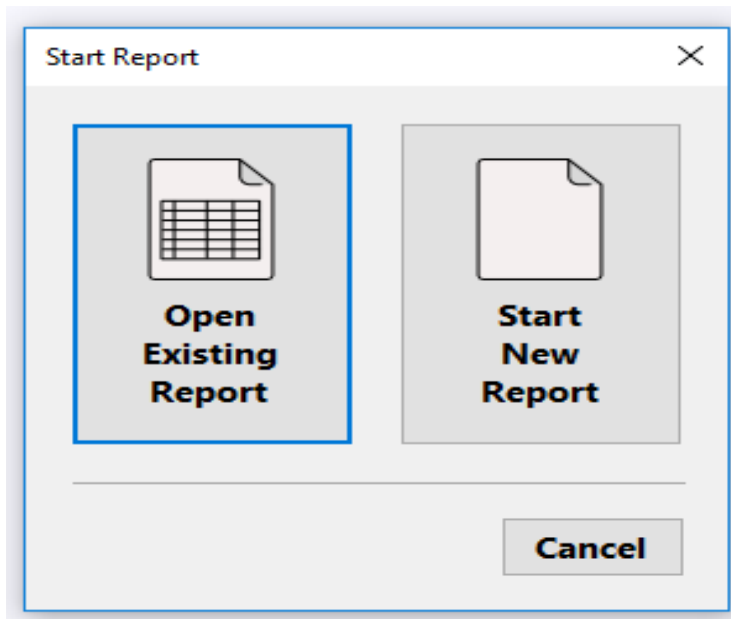
- Enter information in the blank white fields. All other fields (pink, lavender, and brown) are read-only fields. You can leave white fields blank if you have nothing to report – you do not have to enter zeros.
- A few fields are required. If they are left blank, you will not be able to submit the report. The field header will indicate that the field is required.
- Some fields require a Yes or No answer. You must double click on the blank field and choose Yes or No from the box.
- Some forms have validation edits to ensure accurate information is collected. The validation edits are described in these instructions.

Note: This documentation has been updated from previous versions. Images may be from previous report years. Dates in the text have been updated for the current report year (2023).

To Begin:

Once you have downloaded the Report Manager software and report shell (see the separate downloading instruction document):

- To start a new report, click on the Start New Report icon or to resume working on a previously saved report click on the Open Existing Report icon.



Once you have started a new report or opened an existing report, a box will pop up which is the Configure Report Organization. In this box, you will select your organizations name from the drop-down box in the organization line. If your organization is not listed in the drop-down click on the box that states Organization Not found In List for further instruction. In region section you will have to select statewide. Then click OK.

Configure Report Organization

Organization

Region

Submission Period **Annual**

Report Duration **01/01/2021 - 12/31/2021**

You will then see a report configuration box. Click the Next tab in the bottom right corner.

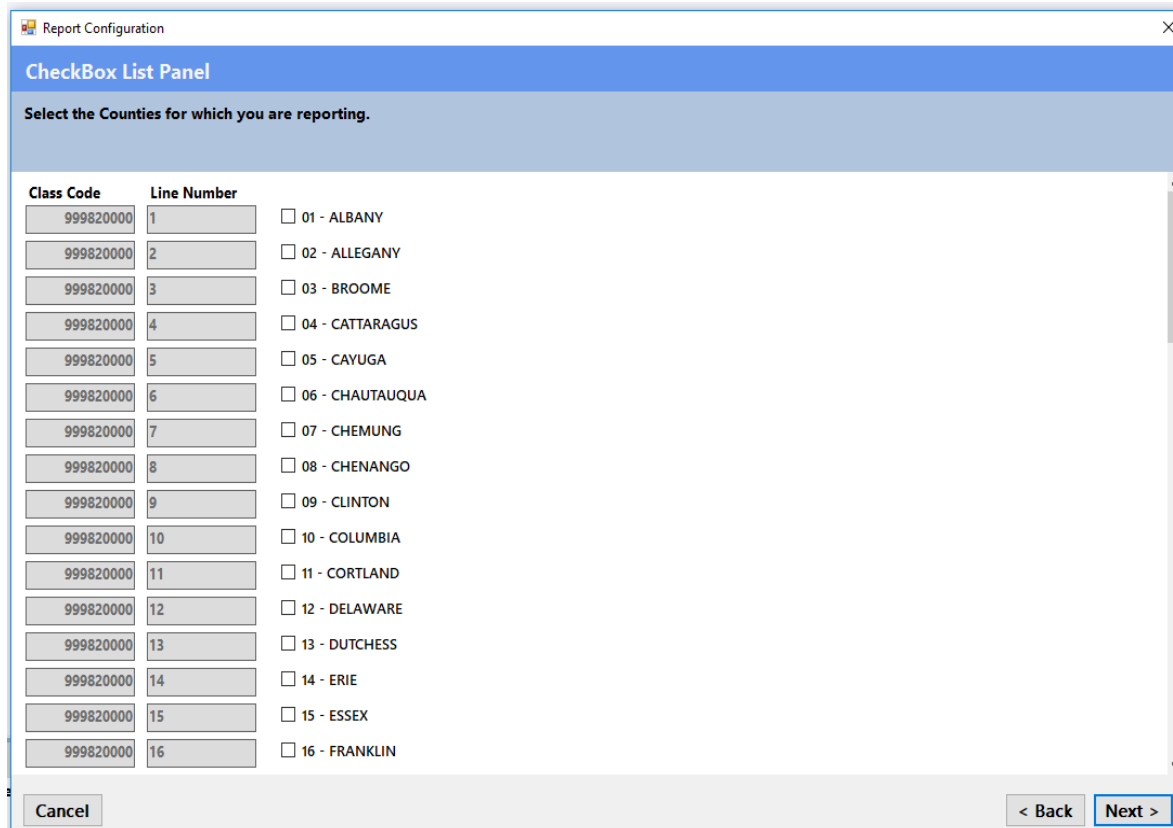
Report Configuration

Report Types

Select LHCSA.

Class Code	Line Number	
999810002	1	<input checked="" type="checkbox"/> LHCSA - LHCSA

A second report configuration box then appears with the title CheckBox List Panel. This is where you will select the counties that your agency serves. For example, if you have served patients for this reporting year in only three counties you would **ONLY** pick those three counties in this county list. Once you have done so, click the Next tab at the bottom right corner.



Report Configuration

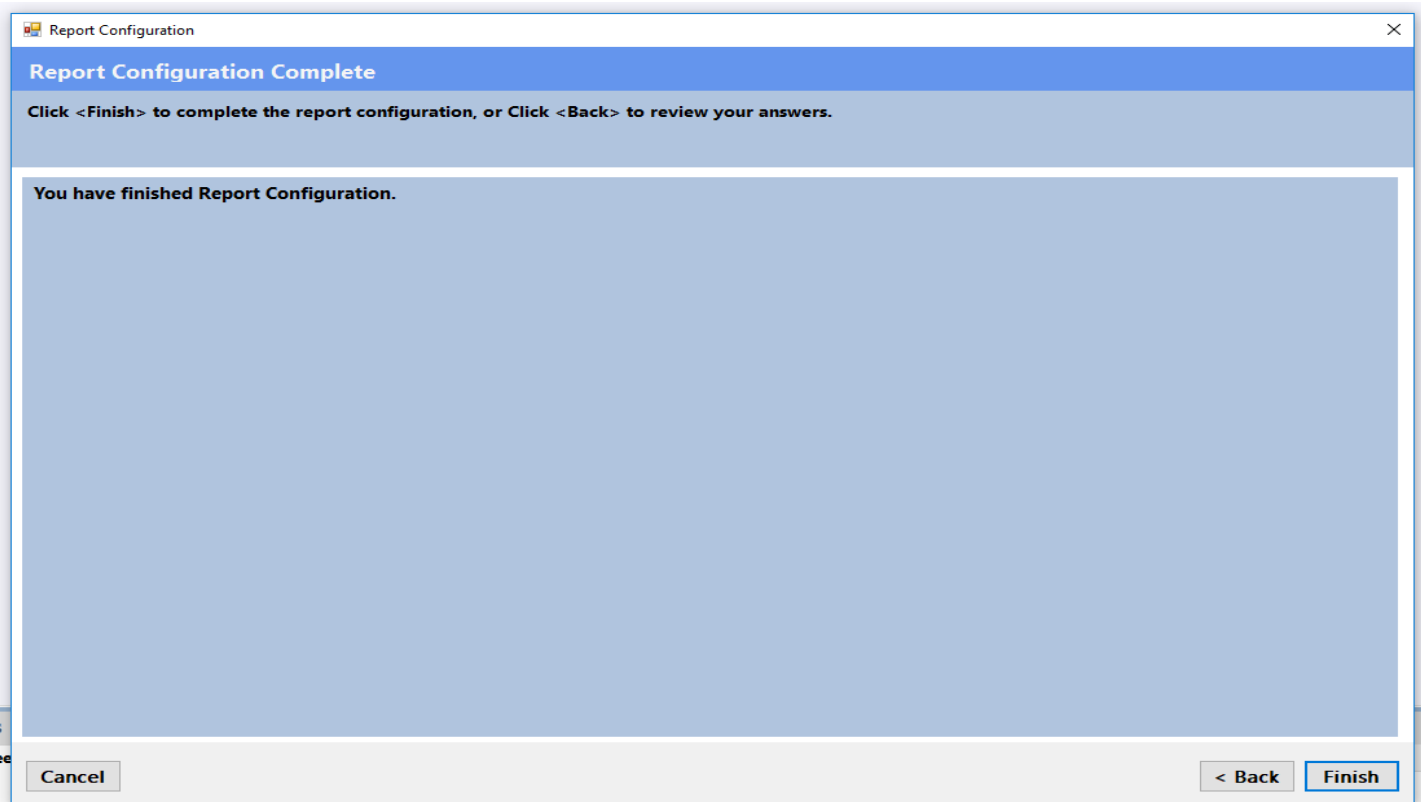
CheckBox List Panel

Select the Counties for which you are reporting.

Class Code	Line Number	
999820000	1	<input type="checkbox"/> 01 - ALBANY
999820000	2	<input type="checkbox"/> 02 - ALLEGANY
999820000	3	<input type="checkbox"/> 03 - BROOME
999820000	4	<input type="checkbox"/> 04 - CATTARAGUS
999820000	5	<input type="checkbox"/> 05 - CAYUGA
999820000	6	<input type="checkbox"/> 06 - CHAUTAUQUA
999820000	7	<input type="checkbox"/> 07 - CHEMUNG
999820000	8	<input type="checkbox"/> 08 - CHENANGO
999820000	9	<input type="checkbox"/> 09 - CLINTON
999820000	10	<input type="checkbox"/> 10 - COLUMBIA
999820000	11	<input type="checkbox"/> 11 - CORTLAND
999820000	12	<input type="checkbox"/> 12 - DELAWARE
999820000	13	<input type="checkbox"/> 13 - DUTCHESS
999820000	14	<input type="checkbox"/> 14 - ERIE
999820000	15	<input type="checkbox"/> 15 - ESSEX
999820000	16	<input type="checkbox"/> 16 - FRANKLIN

Cancel < Back Next >

A third report configuration box will appear once you have completed selecting your counties of service. Click Finish in the bottom right-hand corner.



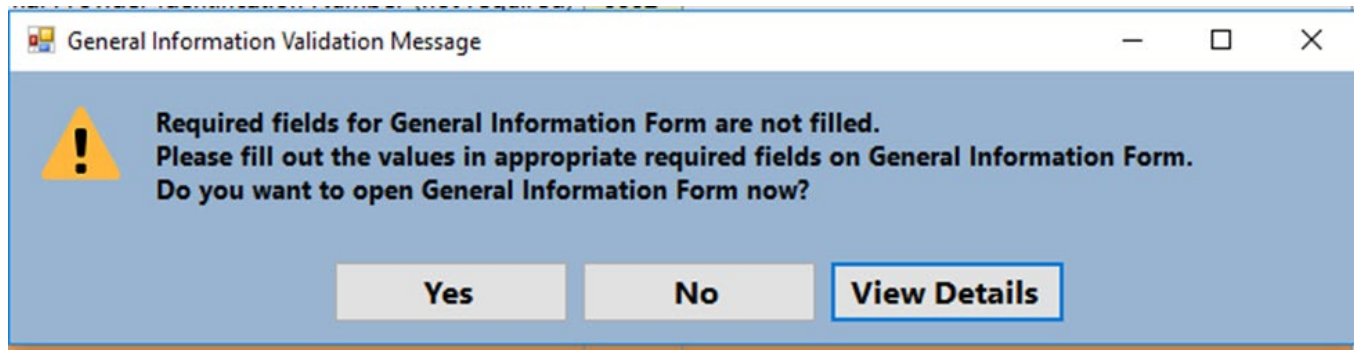
Important Note: After you have clicked finish, if you need to make a revision to the counties that you have selected this can be done by selecting "Configure" and "Report Configuration" from the top tool bar. After you have made the revision, you will be prompted to replace your current .pnp file with the revised file. Click yes to replace the current file.



General Information Form

The General Information Form is part of the Report Manager Software and collects information about your organization that not only identifies you but enables the submission and certification of your report as well as the successful transfer of your data to a data repository.

When you open the report, you will receive a pop-up box that requests that you fill in the General Information Form. You must fill in the General Information Form prior to submitting the report.



Report General Information Form

General Information Form

Configuration Information

	Class Code	Line Number	
Submission Type :	0	1005	LHCSA
Submission Year :	0	1010	2021
Submission Period :	0	1011	A00
DCN :	0	1004	
Submitter ID :	0	1000	120011234
Region ID :	0	1003	1
Region Name :	0	1002	STATEWIDE
Name of Organization :	0	10	HCBS TEST ORG NAME - 1 (120011234)
Begin Date :	0	34	12/02/2021
End Date :	0	35	12/02/2021

Contact Person			
	Class Code	Line Number	
Name :	54000	3	<input type="text"/> ⓘ
Title :	54000	4	<input type="text"/> ⓘ
Telephone Number :	54000	5	<input type="text"/> ⓘ
Fax Number :	54000	6	<input type="text"/>
E-mail Address :	54000	7	<input type="text"/> ⓘ

Addresses			
Mailing Address			
	Class Code	Line Number	
Street Address :	54000	11	<input type="text"/> ⓘ
City :	54000	12	<input type="text"/> ⓘ
State :	54000	13	<input type="text"/> ⓘ
Zip Code :	54000	14	<input type="text"/>

The General Information Form information section will be filled in for you. You only need to fill in the Contact Person and Address sections.

Form LSR1 – Agency Form

Form **LSR1 - Agency Form** collects agency location, contact information and other information.

LSR1 Agency Contact Information Form		
Report Type : LHCSA		
LSR1 Agency Information Form		
10000	10001	10002
Agency and Contact Information		Contact Information (Required)
License Number	0001	
National Provider Identification Number	0002	
Federal Employer Identification Number (FEIN)	0026	
Agency Name	0003	
Street Address	0004	
City	0005	
State	0006	
Zip	0007	
Agency Phone Number	0008	
Contact Person Name	0009	
Contact Person Email	0010	
ALP Information		
There are two options for LHCSAs that serve patients in an Assisted Living Program (ALP):		0011
- If the ALP LHCSA serves patients in the community as well as ALP Patients, they must complete this report AND the ALP LHCSA Statistical Report		0012
- If the ALP LHCSA EXCLUSIVELY serves ALP patients, DO NOT complete this report - only complete the ALP LHCSA Statistical Report		0013
Agency Information		Yes/No
		(Double click the boxes below to see the Yes or No choices)
Is this Agency an ALP LHCSA that also serves patients in the community?	0025	
Did this Agency serve patients during the report year?	0016	
Does this Agency operate a Home Health Aide Training Program?	0018	
Does this Agency operate a Personal Care Aide Training Program?	0019	
Does this Agency serve waiver program (NHTD or TBI) patients?	0020	
Are there any employees of this Agency that are represented by a collective bargaining agreement?	0021	
FIs for CDPAP		Yes/No
Is this Agency a Fiscal Intermediary (FI) for the Consumer Directed Personal Assistance Program (CDPAP)?	0022	
If yes, is this Agency EXCLUSIVELY a FI for CDPAP?	0023	
OR is this Agency's FI a separate line of business from your Home Care line of business?	0024	

Agency and Contact Information Section

All fields in this section, except for NPI number, are **required fields**. You will not be able to submit the statistical report if this information is not filled in.

Important Note for ALP LHCSAs –

Send questions to hcstatrpts@health.ny.gov

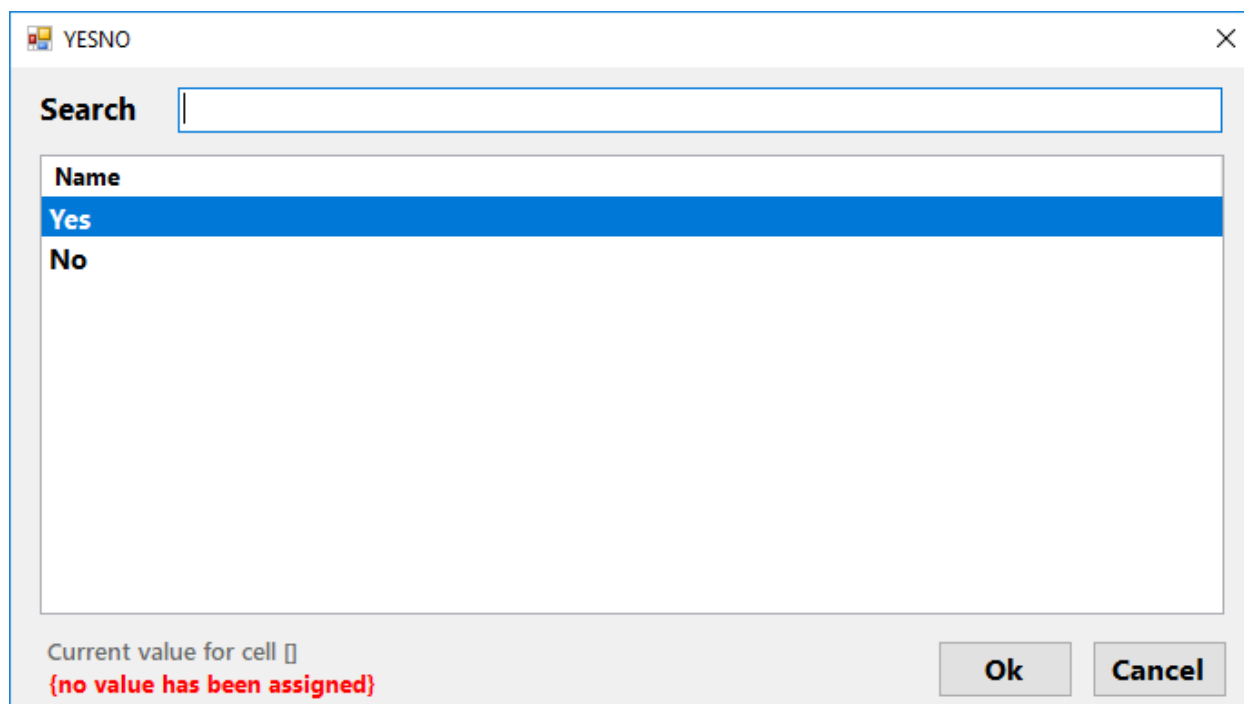
The ALP LHCSA Statistical Report will be posted on the UDCS Platform this year and will include the DOH Registration form.

If your LHCSA serves patients in an Assisted Living Program (ALP) there are two options:

- If your LHCSA serves patients in the community as well as ALP patients, you must submit both the Annual LHCSA Statistical Report regarding your community patients and the Annual ALP LHCSA Statistical Report regarding your ALP patients.
- If your LHCSA EXCLUSIVELY serves patients in an ALP program, you only need to submit the Annual ALP LHCSA Statistical Report – you do not need to submit any part of the annual LHCSA Statistical Report.

Agency Information and FIs for CDPAP Sections

The fields in these sections require yes or no responses. You must double click on the blank space and the box with the choices will appear.



The image shows a software dialog box titled "YESNO". At the top left is a small icon and the title "YESNO", and at the top right is a close button (X). Below the title bar is a search field with the label "Search" and an empty input box. Underneath the search field is a list box with a header "Name". The list contains two items: "Yes" and "No". The "Yes" item is currently selected and highlighted with a blue background. At the bottom of the dialog box, there is a status bar that reads "Current value for cell []" and "{no value has been assigned}" in red text. To the right of the status bar are two buttons: "Ok" and "Cancel".

Validation Edit – Your answer to the question “Did this agency serve patients during the report year?” on row 16 of form LSR1 must match your answer to the question “Did this LHCSA provide patient care services during the last year?” on row 4 of form LSR10.

Form LSR2 – Patient Form

Form **LSR2 - Patient Form** collects patient demographic information, including discharges and referrals.

LSR2 Patient Form					
Report Type : LHCSA					
LSR2 Patient Form			Patients/LOS	Referred From	Discharged To
20000		20001	20002	20003	20004
Patients		Patients			
Census on December 31 of the Report Year		0001			
Total Cases		0002			
Unduplicated Patient Count		0003			
Total Unduplicated Patient Count from Services by County Forms - LSR7		0999			
Length of Stay		Length of Stay			
Number of Discharged cases with:					
1-60 Days of Stay		0004			
61-120 Days of Stay		0005			
121 + Days of Stay		0006			
TOTAL		0010			
Referrals and Discharges				Referred From	Discharged To
Number of Cases Referred from or Discharged to:					
Hospitals		0012			
Physicians		0013			
Self/Family/Friends		0014			
Nursing Homes		0015			
CHHAs		0016			
LTHHCPs		0017			
LHCSAs		0018			
Hospices		0019			
Adult Care Facilities		0020			
CASA/Local Social Services District		0021			
MLTC/MCOs		0022			
Local Health Department		0023			
Adult Protective Services		0024			
Death		0025			
Other		0026			
Describe "Other" Referrals and Discharges		0027			
TOTAL		0030			

Some of the totals on this form are automatically calculated – they are the lavender fields.

Patients Section

Send questions to hcstatrpts@health.ny.gov

Enter information for **Patient Census**. Enter the patient census as of December 31 of the report year. Patient Census means the actual number of individual patients receiving services on December 31 of the report year (12/31/23 for the 2023 report year).

Next, enter the total number of cases in the **Total Cases** field. A case is an episode of care with a start date (admission) and an end date (discharge). Multiple types of service may be provided during an episode of care. For an episode of care to count as a case for this report the admission date must be in this reporting year or prior year(s), and the discharge date must be in this reporting year, or the patient must still be receiving services at the end of the reporting year. A patient who has been seen only to be assessed for personal care services should not be counted as a case, and these visits should not be reported.

A patient sometimes represents more than one case. However, DO NOT count a patient as a new case if any of the following conditions apply:

- The patient's age category was changed during the report year.
- The patient was discharged to a hospital or RHCF and readmitted to the agency within 30 days with the same illness or diagnosis. In this instance the discharge should not be counted.
- The patient was admitted with an unspecified diagnosis and a definite diagnosis was subsequently established.

Validation Edit - The number of cases entered on row 2 of LSR2 must match the total of the "Referred From" column on row 30 of LSR2.

Enter the **Unduplicated Patient Count** in the next field. This is the total number of discrete individual patients that your agency has served in the year, regardless of the number of admissions and discharges that patient may have had. A patient is only counted once regardless of the number of cases they represent.

To recap, if a patient is receiving care on 12/31/2023 they will be included in the patient census count. If they had two admissions during the year, they would count as two cases but as only one unduplicated patient.

Validation Edit - The unduplicated patient count entered on row 3 of LSR2 must match the total of the unduplicated patients reported on forms LSR7 – Services by County Form. This total is displayed on row 999 in the first section of LSR2 – Patient Form.

Length of Stay Section

Length of Stay (LOS) information is entered in the next section. LOS is calculated for each episode of care or case. Length of stay should be calculated from the date the patient was initially admitted for an episode of care, regardless of the year of admission, to the date they were discharged. For example, if a patient was admitted on 12/30/2022 and discharged on 1/10/2023 her LOS is 12 days. Count the 2 days in 2022 and the 10 days in 2023 to arrive at a 12-day LOS. Patients that were discharged to a hospital or RHCF and readmitted to the agency within 30 days with the same illness or diagnosis should NOT be counted in the length of stay section.

Validation Edit - The total number of discharges calculated from the LOS entries on row 10 of LSR2 must match the total number of discharges calculated from the "Discharged To" section on row 30 of LSR2.

Referrals and Discharges Section

The next section collects patient referral and discharge information. In the "Referred From" column enter the number of cases served by your agency that have been referred from each of the designated sources regardless of their start of service date. This means that if you are serving a case in 2023 that was referred to your agency in 2022, that case should be counted. Patients that were discharged to a hospital or RHCF and

readmitted to the agency within 30 days with the same illness or diagnosis should not be counted in the discharge section.

In the "Discharged To" column enter the number of cases discharged during the reporting year to specific destinations.

Form LSR3 and LSR4 – Revenue Form

Form **LSR3 and LSR4 – Revenue Form** has two sections.

LSR3 – Contract Revenue Form collects information about revenue received from contracts with other agencies to perform services for their patients or provide equipment to their patients.

LSR4 – Direct Revenue Form collects data on revenue from services provided to patients directly served by your agency (i.e. services are not provided on behalf of another agency). Direct services may include private pay, commercial insurance, and worker’s compensation cases.

LSR3 and LSR4 Revenue Form				
Report Type : LHCSA				
LSR3 and LSR4 Revenue Form		Visits	Hours	Gross Revenue
34000	34001	34002	34003	34004
LSR3 - Contracted Services		Yes/No		
Did your Agency perform services, or provide equipment to patients during the report year?		9999		
Enter the number of contracted visits or hours and revenue for each service:		Visits	Hours	Gross Revenue
Nursing Services	0001			
Private Duty Nursing Services	0002			
Community Health Work Services	0003			
Medical Social Work Services	0004			
Case Management/Care Management Services	0005			
Audiology, Nutrition, and Therapy Services	0007			
Home Health Aide Services	0008			
Personal Care Aide Services	0009			
Homemaker and Housekeeper Services	0010			
IV Infusion Therapy Services	0011			
HHA Training Program	0012			
PCA Training Program	0013			
Waiver Services	0014			
Telehealth Monitoring	0015			
Assistive Technology	0016			
Durable Medical Equipment	0017			
Other Services	0018			
TOTAL	0020			

LSR4 - Direct Services					
Enter the number of direct visits or hours and revenue for each service:			Visits	Hours	Gross Revenue
Nursing Services	0021				
Private Duty Nursing Services	0022				
Community Health Work Services	0023				
Medical Social Work Services	0024				
Case Management/Care Management Services	0025				
Audiology, Nutrition, and Therapy Services	0027				
Home Health Aide	0028				
Personal Care Aide	0029				
Homemaker and Housekeeper Services	0030				
IV Infusion Therapy Services	0031				
HHA Training Program	0032				
PCA Training Program	0033				
Waiver Services	0034				
Telehealth Monitoring	0035				
Assistive Technology	0036				
Durable Medical Equipment	0037				
Other Services	0038				
TOTAL	0040				

Some of the totals on this form are automatically calculated – they are the lavender fields.

Please note that data on **Nursing Services** is collected as visits, instead of hours. If your agency records Nursing Services in hours, please count 2.5 hours as 1 visit.

Contracted Services Section

Begin by answering the **Perform Services Question** - If your agency DID NOT perform services for, or provide equipment to, the patients of other agencies under contract during the report year, answer the first question “no” and move down to the Direct Services section of the form. You may leave the columns blank and do not need to enter 0s in these columns.

If your agency DID perform services for or provide equipment to the patients of other agencies under contract, enter “yes” for the first question. Enter the number of contract hours and revenue by the type of service if you have contracted with another agency, usually a CHHA or an MLTC plan, to provide service on their behalf.

Direct Services Section

Enter the number of hours and revenue by the type of service.

If your agency did not provide any services directly to any patients, leave the columns blank (you do not have to enter 0s).

For both the Contracted Services and the Direct Services - the **Gross Revenue** is the total revenue received for the services or equipment provided before any deductions or allowances.

Validation Edit – If there is an entry made in the hours or visits column, there must be a corresponding entry made in the gross revenue column.

LSR5 – Cost Form

LSR5 – Cost Form - collects data on costs for providing services to patients. Costs are divided into direct and indirect costs.

Direct costs are costs that are clearly associated with the provision of home care patient services. Examples of direct costs are staff wages, transportation costs, consumable supplies such as gloves and masks, and the cost of providing in-service training to aides.

LSR5 Cost Form		
Report Type : LHCSA		
LSR5 Cost Form		Cost
50000	50001	50002
Direct Costs - Include Wages		
Enter the Costs related to the delivery of each service type:		Cost
Nursing Services	0001	
Private Duty Nursing Services	0002	
Community Health Work Services	0003	
Medical Social Work Services	0004	
Case Management/Care Management Services	0005	
Audiology, Nutrition, and Therapy Services	0007	
Home Health Aide Services	0008	
Personal Care Aide Services	0009	
Homemaker and Housekeeper Services	0010	
IV Infusion Therapy Services	0011	
HHA Training Program	0012	
PCA Training Program	0013	
Waiver Services	0014	
Telehealth Monitoring	0015	
Assistive Technology	0016	
Durable Medical Equipment	0017	
Other Services	0018	
TOTAL DIRECT COSTS	0020	

Indirect costs are fringe benefits and payroll taxes as well as costs for activities and materials that are used by the entire agency.

The indirect costs are broken out by fringe benefits and other indirect costs, such as administrative and general costs, capital and related costs, and other operating costs.

- Administrative and General costs are expenses for activities and materials that are used to administer your business. Examples are rent, utilities, and office supplies.

- Capital and Related costs are onetime costs for construction, major repairs to real estate owned by the agency, etc.

Indirect Costs		
Fringe Benefits and Payroll Taxes:		Cost
Social Security	0021	
Insurance - Life/Health	0022	
Pension and Retirement	0023	
Workers Compensation	0024	
Unemployment Insurance	0025	
Disability Insurance	0026	
Supplemental Wages	0027	
Employee Physicals	0028	
Other	0029	
Other Indirect Costs		Cost
Administrative and General Costs	0030	
Capital and Related Costs	0031	
Other Operating Costs	0032	
TOTAL INDIRECT COSTS	0040	
TOTAL DIRECT + INDIRECT COSTS	0050	

Some of the totals on this form are automatically calculated – they are the lavender fields.

LSR6 – Staff and Wages Form

LSR6 – Staff and Wages Form - collects information by staff type for full time and hourly staff at two different dates during the reporting year and the total number of W2s issued, hours worked, wages, and fringe benefits.

LSR6 Staff and Wages Form													
Report Type : LHCSA													
LSR6 Staff and Wages Form		Count of Full Time Staff on Apr 1	Count of Hourly Staff on Apr 1	Count of Full Time Staff on Oct 1	Count of Hourly Staff on Oct 1	Count of W2s issued	Total Hours for the Year	Total Wages for the Year	Total Fringe Benefits	Wages + Fringes (Calculated)	Average Hourly Rate (Calculated)	Lowest Hourly Rate Paid for each Staff Type	Highest Hourly Rate Paid for each Staff Type
60000	60001	60002	60003	60004	60005	60008	60006	60007	60009	60010	60011	60012	60013
Enter the information for each of the following staff types:													
Administrators	0001												
Other Administrative Staff	0002												
Nursing Supervisors	0003												
RNs	0004												
LPNs	0005												
Private Duty Nurses	0006												
Community Health Workers	0007												
Medical Social Workers	0008												
Case Managers/Care Managers	0009												
Audiologists, Nutritionists, and Therapists	0011												
Home Health Aides	0012												
Personal Care Aides	0013												
Homemakers and Housekeepers	0014												
Other Staff	0015												
TOTAL	0020												

Some of the totals on this form are automatically calculated – they are the lavender fields.

Enter the number of full-time and hourly staff at your agency on April 1 and October 1 of the reporting year. The current definition of a full-time staff is someone who works an average of 30 or more hours a week and 130 hours or more per month.

Validation Edit – the number of HHAs entered in each of the 4 first columns must not exceed 17,000.

Validation Edit – the number of PCAs entered in each of the 4 first columns must not exceed 17,000.

Enter the number of W2s issued during the year for each staff type.

Validation Edit – the total number of W2s must not exceed 25,000.

Enter the total hours worked, total wages paid, and total fringe benefits paid for each staff type. The amount of wages plus fringe benefits will be calculated in the first lavender column. The second lavender column will divide the total wages (not including fringe benefits) by the total number of hours to calculate an average hourly wage. In the next two columns, enter the lowest hourly rate paid and the highest hourly rate paid for each staff type.

LSR7– Services by County Form

LSR7 – Services by County Form - collects data on services provided by county. There is a sheet for each county that you chose when you started the report. The LSR7 worksheets were put at the end of the list of worksheets on the left-hand side of the screen.

LSR7 Albany - Services By County	70000	70001	70002	70003	70004	70005	70006	70013	70014	70011	70012
	Unduplicated...	Under Age 21	Visits/Hours Und...	Age 21-64	Visits/Hours Age...	Age 65+	Hours 65+	Nurse Family P...	Nurse Family P...		
Albany County		Unduplicated Pa...	Unduplicated Pa...	Unduplicated ...							
Unduplicated Patient Count	01001										
Number of new admissions during the reporting year	01002										
Enter Cases, Visits, and Hours for each service type			Cases Under 21	Visits Under 21	Cases 21-64	Visits 21-64	Cases 65+	Visits 65+	Cases NFP	Visits NFP	
Nursing Services	01003		Cases Under 21	Hours Under 21	Cases 21-64	Hours 21-64	Cases 65+	Hours 65+	Total Cases	Total Hours	
Private Duty Nursing Services	01004										
Community Health Work Services	01005										
Medical Social Work Services	01006										
Case Management/Care Management Services	01007										
Audiology, Nutrition, and Therapy Services	01009										
Home Health Aide Services	01010										
Personal Care Aide Services	01011										
Homemaker and Housekeeper Services	01012										
IV Infusion Therapy Services	01013										
Waiver Services	01014										
Telehealth Monitoring	01015										
Assistive Technology	01016										
Durable Medical Equipment	01017										
Other	01018										
Total Cases - Includes Nursing Services (Calculated)	01040										

Some of the totals on this form are automatically calculated – they are the lavender fields.

For each County that your agency provides services:

Enter the number of unduplicated patients in each of the age cohorts:

- Under age 21
- Age 21-64
- Age 65+

These amounts are automatically calculated in the lavender field in the first column.

Enter the number of new admissions during the report year.

Validation Edit - The amount entered as new admissions must be less than or equal to the unduplicated patient count.

An **unduplicated patient** is an individual who has received at least one episode of care and may have received more than one. Regardless of the number of episodes in the reporting year, the individual is only counted once. We are asking for the unduplicated patient count to be broken out in cohorts of age groups. Please count the age of the patient at the first episode of service (if service was initiated during the report year), or if the patient started service in a prior year count their age at the beginning of the year.

New admissions are patients that have been admitted to the agency during the reporting year. Patients that were admitted at a previous time during the report year (or in prior years) and discharged and were admitted again during the report year should count as a new admission at the time of admission, with the following exceptions:

DO NOT count a patient as a new admission if any of the following conditions apply:

- The patient's age category was changed during the report year.

- The patient was discharged to a hospital or RHCF and readmitted to the agency within 30 days with the same illness or diagnosis. In this instance the discharge should not be counted.
- The patient was admitted with an unspecified diagnosis and a definite diagnosis was subsequently established.

Nursing services captures data about nursing services provided to patients in the selected county. The data is then broken out by **cases and visits** and age category. If your agency records Nursing Services in hours, please count 2.5 hours as 1 visit. In addition, if your agency is part of the Nurse Family Partnership – the number of nursing service **cases and visits** should be recorded in the selected county. The **Nurse Family Partnership** is a program in which nurse home visitors work with low-income young women who are pregnant with their first child, helping these vulnerable young clients achieve healthier pregnancies and births, stronger child development, and a path toward economic self-sufficiency.

All other services provided to patients in the selected county must be recorded below the Nursing Services row. The data is then broken out by **cases and hours** and age category.

A **case** is an episode of service with a start date (admission) and an end date (discharge). Multiple services may be provided during an episode of service. For an episode of service to count as a case for this report the admission date must be in this reporting year or prior year(s), and the discharge date must be in this reporting year, or the patient must still be receiving services at the end of the reporting year. A patient who has been seen only to be assessed for personal care services should not be counted as a case and these visits should not be reported.

A patient sometimes represents more than one case. However, DO NOT count a patient as a new case if any of the following conditions apply:

- The patient's age category was changed during the report year.
- The patient was discharged to a hospital or RHCF and readmitted to the agency within 30 days with the same illness or diagnosis. In this instance the discharge should not be counted.
- The patient was admitted with an unspecified diagnosis and a definite diagnosis was subsequently established.

Validation Edit - If you enter an amount in the "Cases" column you must enter an amount in the corresponding "Hours" column. Also, if you enter an amount in the "Hours" column, you must enter an amount in the corresponding "Cases" column.

Validation Edit - If you enter amounts in the cases columns you must have an amount entered in the unduplicated patient count. Conversely, if you have an unduplicated patient count, you must have amounts entered under cases.

LSR7A – Wellcare Form

LSR7A – Wellcare Form - collects data about Wellcare services provided to patients. **Wellcare services** include services which have as their primary purpose the prevention of illness and obtaining optimum health for their recipients. Examples of such services are nurses performing lead screening assessments, providing maternal and child health education, or following up on communicable diseases.

Only County-Operated LHCSAs that provided Wellcare services need to complete this form.

LSR7A Wellcare Services		Cases	Visits/Hours
74000	74001	74006	74007
COUNTY HEALTH DEPARTMENTS ONLY			
Double Click below to Choose the County:			
County	00001		
Enter Wellcare Cases, Visits, and Hours for each age group in each service type			
NURSES		Cases	Visits
Less than 1 Year of Age	00002		
1-5 Years of Age	00003		
6-20 Years of Age	00021		
21-64 Years of Age	00022		
65+ Years of Age	00008		
Total	00010		
PRIVATE DUTY NURSES		Cases	Hours
Less than 1 Year of Age	00012		
1-5 Years of Age	00013		
6-20 Years of Age	00023		
21-64 Years of Age	00024		
65+ Years of Age	00018		
Total	00020		

Some of the totals on this form are automatically calculated – they are the lavender fields.

Nursing services captures data about nursing services provided to patients in the selected county. The data is then broken out by **cases and visits**. If your agency records Nursing Services in hours, please count 2.5 hours as 1 visit.

Private Duty Nursing Services captures data about nursing services provided to patients in the selected county. The data is then broken out by **cases and hours**.

LSR8 – Contracts Form

LSR8 – Contracts Form - collects information on your agency's contracts to provide services on behalf of another agency.

LSR8 Contract Form							
Report Type : LHCSA							
LSR8 Contract Form		License/Op Cert No.	Agency	HHA Service Hours	Rate Paid for HHA Services	PCA Service Hours	Rate Paid for PCA Services
80000	80001	80002	80003	80004	80005	80006	80007
		Yes/No					
Did your agency provide Aide services for patients of another agency under contract?		9999					
Enter Contract information for services performed for other agencies/facilities		License/Op Cert Number	Agency	HHA Service Hours	Rate Paid for HHA Services	PCA Service Hours	Rate Paid for PCA Services
Contract No. 1		0001					
Contract No. 2		0002					
Contract No. 3		0003					
Contract No. 4		0004					
Contract No. 5		0005					
Contract No. 6		0006					
Contract No. 7		0007					
Contract No. 8		0008					
Contract No. 9		0009					
Contract No. 10		0010					

If your agency did not have any contracts to provide services for another agency, answer **No** to the first question, and you are now finished with this form.

If your agency did have contracts to provide services on behalf of another agency, answer **Yes** to the first question, and enter the information for the contract(s).

If it is available, enter the license number/operating certificate number for the agency with whom you are contracting. CHHAs and Hospices will have operating certificate numbers. Other organizations may not have an operating certificate number. Enter N/A if the organization does not have an operating certificate or license number.

Operating Certificate numbers can be found in the Home Care section on the Profiles webpage https://profiles.health.ny.gov/home_care/index. Hover the mouse at the Home Care tab and you will see several ways to search for an agency. Once you find the agency you are looking for, click on the overview tab and open the administrative section.

Enter the number of HHA and PCA hours of service you provided under this contract and the amount your agency was paid per hour of service.

If the requested information for a given contract changed during the reporting year, enter it as two or more separate contracts.

LSR9WFA – Workforce Form A

LSR9WFA – Workforce Form A - collects information on admissions and the number of cases by authorized hours per week for all services.

LSR9WFA Workforce Form A				
Report Type : LHCSA				
LSR9WFA Workforce Form A		Amount	April 1	October 1
90001	90002	90003	90004	90005
Admission Information				
How many times during this reporting year was your agency closed to admissions?	0001			
How many cases did your agency have during the report year where you were unable to fill the total hours approved for the case?	0002			
How many cases was your agency unable to accept on April 1 and Oct 1 of the report year?	0003			
No. of Cases by Hours Per Week for ALL Services				
Using your caseload of April 1 and October 1, how many cases were authorized for:			No. of Cases on April 1	No. of Cases on Oct 1
1-10 hours per week	0010			
11-20 hours per week	0011			
21-30 hours per week	0012			
31-40 hours per week	0013			
40+ hours per week	0014			
No. of Live-in Aide Cases	0015			

An agency is **closed to admissions** when the agency is not accepting any new patients. This would not include times during the reporting year when an agency receives a referral list, fills cases it is able to, and does not take cases it is unable to. However, if the agency is not accepting any new cases due to reasons such as staffing and scheduling constraints, it should be included in this count. Do not include days, such as holidays, if the agency would not normally accept a new case on that day.

An agency is **unable to fill the total hours approved for a case** if the case is approved for a certain number of hours, but the agency is not able to fill the total number of approved hours with its current workforce for any reason. Cases that are unfilled because someone calls out of work one day should not be included in the response.

LSR9WFB – Workforce Form B

LSR9WFB – Workforce Form B - collects information on number of staff employed and assigned to cases, and the number of open positions at two points during the year. This form also collects the number of staff that have been employed by your agency for the full report year and the number of staff that have left your agency during the report year.

LSR9WFB Workforce Form B									
Report Type : LHCSA									
LSR9WFB Workforce Form B		Count of Staff Employed on April 1 (From LSR6)	Count of Staff Assigned Cases on April 1	Count of Open Positions on April 1	Count of Staff Employed on Oct 1 (From LSR6)	Count of Staff Assigned Cases on Oct 1	Count of Open Positions on Oct 1	Count of Staff Employed for the full Report Year	Count of Staff that left the Agency for any reason during the report year
91001	91002	91003	91004	91005	91006	91007	91008	91009	91010
Staffing									
Enter the information for each of the following staff types:									
Administrators	0001								
Other Administrative Staff	0002								
Nursing Supervisors	0003								
RNs	0004								
LPNs	0005								
Private Duty Nurses	0006								
Community Health Workers	0007								
Medical Social Workers	0008								
Case Managers/Care Managers	0009								
Audiologists, Nutritionists, and Therapists	0011								
Home Health Aides	0012								
Personal Care Aides	0013								
Homemakers and Housekeepers	0014								
Other Staff	0015								

The number of staff employed on April 1 and October 1 is totaled (count of full-time staff plus count of hourly staff) and forwarded from form LSR6 – Staff and Wages Form.

- Enter the number of staff assigned to cases on April 1 and October 1 of the reporting year. This means staff that have cases assigned to them as of that date, not just staff actually working a case on that date. For staff not providing direct care, such as administrators or administrative staff, enter a “0” in the response.
- Enter the number of Open positions on April 1 and October 1 of the reporting year. A position is considered open when an agency has advertised for a position, but it is not filled. This includes both hourly and full-time positions. If an agency is continuously recruiting for any of the job categories, it should quantify the number of workers it would need to hire to be considered fully staffed in that category.
- Enter the number of staff (full time and hourly) that have remained employed by your agency for the full report year or more. If an employee is terminated and rehired during the report year, they should not be included in this total.
- Enter the number of staff (full time and hourly) that have left your agency (no longer employed by your agency) for any reason during the reporting year. This is a count of workers who left their position for any reason – voluntary or involuntary – excluding promotions.

LSR9WFC – Workforce Form C

LSR9WFC – Workforce Form C - collects employee benefit information for four types of employees, and non-wage supports for all staff.

LSR9WFC Workforce Form C					
Report Type : LHCSA					
LSR9WFC Workforce Form C		Nurses	HHAs	PCAs	Homemakers and Housekeepers
92001	92002	92003	92004	92005	92006
Questions regarding Nurses, HHAs, PCAs, and Homemakers and Housekeepers					
Please answer the following questions for each staff type:					
How many employees are enrolled in employer-provided health insurance as of October 1?	0003				
How many employees have paid sick/vacation leave as of October 1?	0004				
How many employees have access to employer sponsored retirement plans as of October 1?	0005				
How many employees have short term disability insurance which the agency pays at least part of the premium as of October 1?	0006				
How many employees have filed Workers Compensation claims during the reporting year?	0007				

Non Wage Supports		Yes/No			
Does your agency offer any of the following non-wage supports to staff?					
Transportation Support	0008				
Childcare Support	0009				
Mentoring	0010				
Benefit Assistance	0011				
Scholarships	0012				
Does the agency pay increased wages for employees filling cases on weekends, holidays, or for complex cases?	0014				
Does the agency offer employer-provided health insurance?	0015				

Employees that receive health insurance or retirement plan benefits through the union, if the agency pays into the benefit, should be counted as enrolled in employer-provided health insurance or employer-sponsored retirement plan.

Short-term disability insurance may include the required coverage under New York State law or supplemental coverage that the agency offers.

LSR10 – Registration Form

LSR10 – Registration Form - collects an attestation that indicates the LHCSA is currently operational and serving patients. If the LHCSA has opened in the past year, you can report on the form that the LHCSA is not yet operational and is currently not seeing patients.

Some fields on this form are **required fields**. You will not be able to submit the statistical report if this information is not filled in.

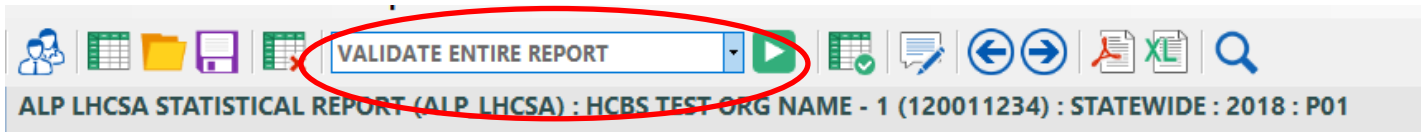
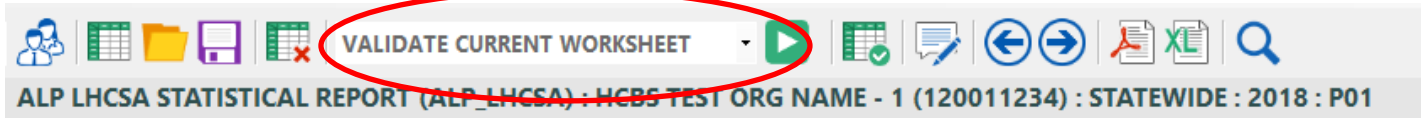
The appropriate Governing Authority Representative must request that the LHCSA be registered with the Department of Health for the upcoming calendar year.

LSR10 LHCSA Registration Form		
Report Type : LHCSA		
LSR10 LHCSA Registration Form		Response
100000	100001	100002
		Name and Date
Today's Date	00001	
LHCSA Operator Name	00002	
LHCSA Administrator Name	00003	
		Yes/No
Did this LHCSA provide patient care services during the last year?	00004	
Did this LHCSA provide patient care services during any portion this year?	00005	
Does this LHCSA intend to provide patient care services in the next year?	00006	
		Yes/No and Date
Has this LHCSA been open less than one year from today's date and has not served patients during this timeperiod?	00007	
Date LHCSA Opened	00008	
		Yes/No
Has this LHCSA received payment for Nursing, HHA, or PCA services during the report year?	00009	
No Licensed Home Care Services Agency shall be permitted to operate, provide nursing, personal care aide services or home health aide services	00010	
or receive payment for such services from any payor unless it is registered with the NYS Department of Health.	00011	
		Yes/No (Required)
Do you wish to register this LHCSA with the NYS Dept of Health for the next calendar year?	00012	
		Yes/No and Name (Required)
By answering yes, I attest that all of the responses to this statistical report are true and correct to the best of my knowledge.	00013	

Validating the Statistical Report

You may, at any time, Validate the Sheet you are working on, or validate the entire Report. You must validate the report before submitting it.

Go to the top tool bar and click on the drop-down box next to the green arrow.



You can validate a worksheet at any time. You can also refresh the validation after it's been done once by clicking the refresh circle in the details portion of the report. Because there are so many worksheets, it may be easier to validate each worksheet once you've finished it. The results of the validation are in a table in the details section of the worksheet. The message that says "Rule Passed Validation" is only referring to the cell you are on – not the whole worksheet.

Details								
Worksheets Open Calculations Text Transfers Validation Results Submission Output								
RULE PASSED VALIDATION								
The total of discharges in the "Length of Stay" section must match the total of discharges in the "Discharged To" column in the "Referrals and Discharges" section.								
Filter: All Rules Export as Excel								
Sequence	Identifier	Level	Error	Left Value	Operator	Right Value	Rule	OriginalLogic
11	LSR2PATIENT	Critical	<input type="checkbox"/>		EEQ		The total of discharges in the "Length of Stay" section must match the total of discharges in the "Discharged To" column in the "Ref...	(20002.10) EE...
12	LSR2PATIENT	Critical	<input type="checkbox"/>		EEQ		The unduplicated patient count reported on LSR2 must match the total of unduplicated patients reported on LSR7 - County Forms ...	(20002.3) EEQ...
13	LSR2PATIENT	Critical	<input type="checkbox"/>		EEQ		The number entered as total cases must match the total of the "Referred From" column in the Referrals and Discharges section.	(20002.2) EEQ...

The details section is automatically set up to show all rules. It's only an error if there is a checkmark in the error box.

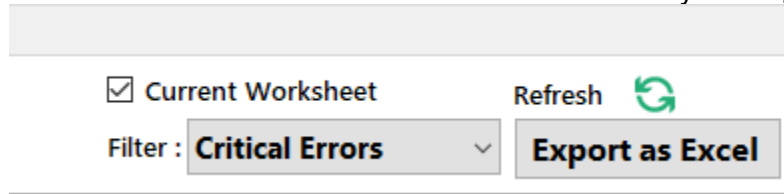
Sequence	Identifier	Level	Error	Left Value	Operator	Right Value	Rule
11	LSR2PATIENT	Critical	<input checked="" type="checkbox"/>	1.0	EEQ	0	The total of discharges in the "Length of Stay" section must match the total of discharges in the "Discharged To" column

To see if you have any cells with errors – click on the filter in the details section and change it from "all rules" to "critical errors".

Details								
Worksheets Open Calculations Text Transfers Validation Results Submission Output								
CRITICAL : Operator [EEQ] : Left and Right values must be exactly equal - (.99) Variance is NOT considered equal.								
The total of discharges in the "Length of Stay" section must match the total of discharges in the "Discharged To" column in the "Referrals and Discharges" section.								
Filter: Critical Errors								
Sequence	Identifier	Level	Error	Left Value	Operator	Right Value	Rule	OriginalLogic
11	LSR2PATIENT	Critical	<input checked="" type="checkbox"/>	1.0	EEQ	0	The total of discharges in the "Length of Stay" section must match the total of discharges in the "Discharged To" column in the	

Validations can be done for the worksheet you are on by checking the box that says "Current Worksheet" or it can be done for all worksheets by unchecking the box.

You can fix an error and then re-run the validation by clicking on the refresh circle.



If you have passed the validation edits you will have no error boxes checked and get a green message that says Rule Passed Validation for each cell you choose.

Finalizing the Statistical Report

If you have passed all the validation edits, and you are satisfied with all responses on all forms, click on the Finalize Report icon.



Or click Action on the top tool bar and choose “Finalize Report”



A message will come up asking if you are sure you want to save and finalize. Click Yes. A second message will come up directing you to correct errors (if there are any) or letting you know that the report has been finalized.

Select a location to save your Finalized Report. **Make sure that you are aware of where it is being saved (i.e. desktop) as you will need to find the file when you upload it onto the Healthcare Financial Data Gateway. You may wish to make a new folder on your desktop and save it there.**

You will save a PDF of the report, as well as a .pnp file of the report.

The name of the report will be:

LHCSA_Agency Name_(Agency License Number)_Statewide_2023_A00.pnp

The file you will want to upload will end in “.pnp”

Your report is now ready to be submitted to the Healthcare Financial Data Gateway.

Submitting the Finalized LHCSA Statistical Report to the Healthcare Financial Data Gateway

1. Login to the HCS.
2. Click on **Healthcare Financial Data Gateway** in **My Applications**. This will take you to the **Healthcare Financial Data Gateway** main page.

Healthcare Financial Data Gateway
New York State Department of Health

Welcome John P Huffaker
Home | Contact | Help

Home Software Submissions Publications Reports Administration

Welcome to the Healthcare Financial Data Gateway

The navigation bar above contains selectable tabs for each functional area of the application and is used to navigate throughout the application. Please read the descriptions of these areas below:

Software: The "Software" tab is used to download the Cost Report software and supporting documentation. Items selected for download will be saved as a zip file.

Submissions: The "Submissions" tab can be used to do any of the following.

- Submit your completed and finalized Cost Report
- View the details of past submissions
- Certify a previously submitted Cost Report

Publications: The "Publications" tab is used to download additional information distributed by the Department of Health that is not directly related to the distribution of the Cost Report software.

Reports: The "Reports" tab is used to access a downloadable history of submission and certification details for the Cost Reports.

Administration: The "Administration" tab can be used to do any of the following.

- Grant permissions to the applications
- Manage Roles
- Set Submission CutOff
- Upload Software, Reports, and Supporting Documentation
- Upload Certifications

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3. Click the **Submissions** tab – the **Submissions** page will display.

Healthcare Financial Data Gateway
New York State Department of Health

Welcome John P Huffaker
Home | Contact | Request Access | Help

Home Software Submissions Publications Reports Administration

SUBMISSIONS

Select Cost Report And Organization

Submission Type: LHCSA Organization: 00 Test LHCSA (000000LC) Search

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4. Select **LHCSA** as the **Submission Type** and your organization from the **Organization** list and then click the **Search** button. The **Submission** page will be expanded.



SUBMISSIONS

Select Cost Report And Organization

Submission Type: Organization:

New Submission

Email: john.huffaker@health.ny.gov [\(Update email address\)](#)

Upload File: No file selected.

Submission History

Submission Period	Report Period : 2017-Annual					
	Region	DCN	Submit Date	Submitter	Status	
[-] Year / Period [-] 2017 [-] Annual	Statewide	08202018113309	08-20-2018 12:47:21	John P Huffaker	Failure	<input type="button" value="Detail"/>
	Statewide	08202018113309	08-20-2018 11:34:30	John P Huffaker	Success	<input type="button" value="Detail"/> <input type="button" value="Download"/>
	Statewide		08-20-2018 11:30:59	John P Huffaker	Failure	<input type="button" value="Detail"/>

5. Click the **Browse** button to display a dialog box that allows you to locate your finalized LHCSA Statistical Report. It will have a .pnp file extension.
6. Once you have selected the file to submit, click the **Submit** button.
7. The **Submission History** section of the **Submission** page will be updated to reflect the status of the submission.
8. A confirming email message will be sent to the email address listed in the **New Submission** section of the **Submission** page.

Attachment A – Report Tool Bar items

Worksheets


Worksheets

The Worksheets are listed in the Worksheet Panel which is located on the left side of the application window. Worksheets are listed in alphanumeric order by Worksheet name. Click on a Worksheet to view that Worksheet in the Matrix Panel. Click on the small arrow key in the top right of the Worksheet Panel to collapse or expand the panel. Use the "Windows" menu item to organize your Worksheets in the Matrix Panel.

Title Bar

Title Bar

The Title Bar is located at the very top of the window and will display the name, version and software build number, followed by the name of the active-matrix table if a table is currently open.

 Universal Data Collection System - Version 5.0.0 - Build 20180306:152943 - [FIDA_001_010]

Menu Bar

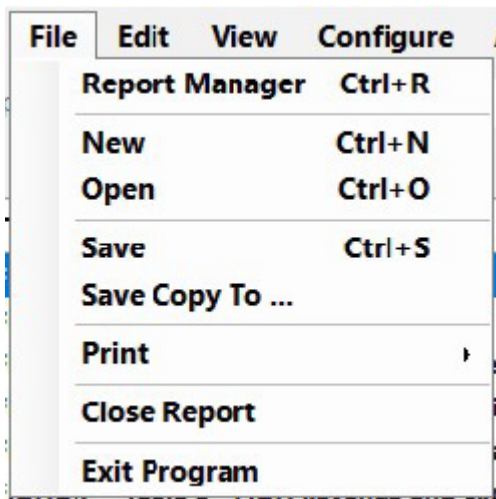
UDCS Menu bar

File Edit View Configure Action Notes Windows Search Help

The following Help Topics will guide you through the menu bar functionality.

File

The File Menu.



Report Manager: Select Report Manager to return to the Report Manager.

New: This command will start a new Report

Open: This command will enable you to open an existing Report

Save: This will save the Report you are working on.

Save Copy To: The Save Copy window will open and enable you to save a copy of your Report to a location that you choose. Your working report location will remain in the default location:
C:\ProgramData\UDCS\report

Print: Two options will be displayed that will enable you to save your Report as a Microsoft Excel document or a PDF document. For either option, the Select Worksheets window will open. Check the worksheets you wish to export or check Select All to check all of the worksheets. You will be prompted to save the export file to a location you choose. You can then open the file from this saved location and print.

Close Report: Closes the Report. You will be prompted to save your data first.

Exit Program: Closes the UDCS software and the Report Manager. You will be prompted to save your data first.

Edit

The Edit Menu

Cut, Copy, Paste, Undo

Edit	View	Configur
Cut	Ctrl+X	
Copy	Ctrl+C	
Paste	Ctrl+V	
Undo	Ctrl+Z	

These features will enable you to copy data from one part of your report to another, or from Microsoft Excel to your Report with some limitations:

- 1) You may copy numeric data to numeric or non-numeric type cells. You may not copy non-numeric data to numeric type cells.
- 2) You may not paste data into read only cells such as targets of formulas.
- 3) You may select a range of cells to copy. However, when you paste the cells, the range size must match. If the range size does not match, you will not be allowed to copy the data. For example, if you copy a 5 cell by 5 cell range and try to paste in a 3 cell by 3 cell area, or the area has read only cells, you will be alerted to adjust your range.

View

The View Menu

View	Configure	Action	Notes	Windows	Se
	Report Type ▶				
<input checked="" type="checkbox"/>	Worksheet Panel (Expand-Collapse)			Alt+W	
	Previous Worksheet			Alt+Up	
	Next Worksheet			Alt+Down	
<input checked="" type="checkbox"/>	Detail Panel (Expand-Collapse)			Alt+D	
	Calculations (In Pop-Up Viewer)				
	Text Transfers (In Pop-Up Viewer)				
	Validation Results (In Pop-Up Viewer)				
	Submission Output (In Pop-Up Viewer)				

Report Type: You can choose to Select All Worksheets to display all of the worksheets in the Report in the Worksheet display panel. For Reports that have multiple Report Types, you may choose to select only the worksheets from the selected Report Type.

Worksheet Panel (Expand-Collapse): Expands or collapses the worksheets panel. It may be convenient to collapse the worksheet panel when you are working on a large worksheet and could use extra space to see more of the worksheet.

With the worksheets collapsed you may also click on the arrow icon where the worksheets are collapsed to expand the worksheets.

Previous Worksheet and Next Worksheet: Use these commands to navigate through the worksheets.

Detail Pane (Expand-Collapse): Use this command to expand or collapse the Details panel. This works similarly to expand-collapse worksheets.

The following menu items will each open a window that will enable you to Export the data as a text file.

Calculations: A window will open that list all of the mathematical expressions in the Report.

Text Transfers: Lists all of the Text Transfers in the Report.

Text Transfers consist of a value and a target. Once the value is entered, the target automatically gets populated with the same value.

Validation Rules: Lists all of the Validation Rules in the Report.

Validation Rules are conditions that must be met in order for the report to be completed satisfactorily.

Submission Output: This is the XML output of the Report. It lists Report configuration information as well as class code/line numbers and the values that were entered for them.

Configure

The Configure Menu

Configure	Action	Notes
	Control Data	F2
	Report Settings	F3
	Report Types	F4

Control Data: Contains information that is required in order for the Report to be completed correctly and allowed to be submitted. All required Control Data fields must be complete. Required fields will have a red exclamation point next to them. When you open the Report, you will be alerted if the Control Data information is not completely filled out.

Report Settings / Report Types: These menu items are merely instructions to remind you what to do in the event that you have created your report using the wrong configuration information, such as the wrong Report Type or wrong Region. Click on the File menu to Start a New Report. Select the correct settings and then transfer your data from the incorrect Report to the new Report.

Action

The Action Menu

Action	Notes	Windows	Search
Validation Method ▶			
Start Validating		F5	
Stop Validating	Ctrl+F5		
Finalize Report		F6	
Recalculate Formulas		F7	

Validation Method: Current Worksheet or Entire Report.

In order to Finalize the Report for Submission you must run it through the validation process. You can validate to check only the current Worksheet, or you can run Validation for the entire Report. You must Validate the entire Report in order to pass Validation and have a Finalized Report that is ready to submit.

Start Validating/Stop Validating: Once you have selected to validate the current Worksheet or the entire Report you can select the Start Validating item. For larger Reports, you may choose to Stop Validating at any time.

Notepad

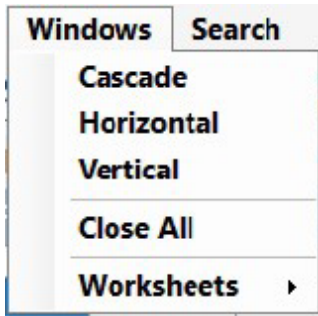
The Notepad Menu

This is a scratch pad to keep notes and provide additional information while you complete your report. Click the File menu and then Save to save Notes to your Report. Use the File and Edit menu as you would a typical text editor.

Windows

The Windows Menu

Use the Windows commands to arrange the Worksheets to your satisfaction. Select the Worksheets command to see a list of opened Worksheets. You may select an open Worksheet to bring it to the front of the Report.



Search

The Search Menu

Enter what you would like to search for in the Search box and click the Search button. All results that match your Search criteria will be listed below. You may choose to Search the Current Worksheet or All Worksheets by toggling the radio buttons at the bottom of the window.

Help

The Help Menu

View Documentation will open the Help File that you are currently reading.



Click About to open the following window. This information contains details about the Report you have open as well as the versions of the software and files being used.

Icon Menu

Icon Menu



Open the Control Data Form.



Start a New Report.



Open an Existing Report.



Save the Report.



Close the Report.



Validate the Current Worksheet or the Entire Report.



Stop the Validation process.



Finalize the Report.



Open Notepad.



Open the Previous Worksheet.



Open the Next Worksheet.



Export the Worksheet as a PDF document.



Export the Worksheet as an Excel file.



Open the Search Window.

ALP LHCSA Statistical Report and Registration Forms on Universal Data Collection System (UDCS) Instructions

Submit this report with information regarding the residents your LHCSA (Licensed Home Care Services Agency) serves in the ALP (Assisted Living Program) only. If your LHCSA also serves patients in the community, you must also submit the LHCSA Statistical Report.

Please see Attachment A at the end of this document – it contains descriptions to all items on the tool bars located on the top of the Report Manager worksheets.

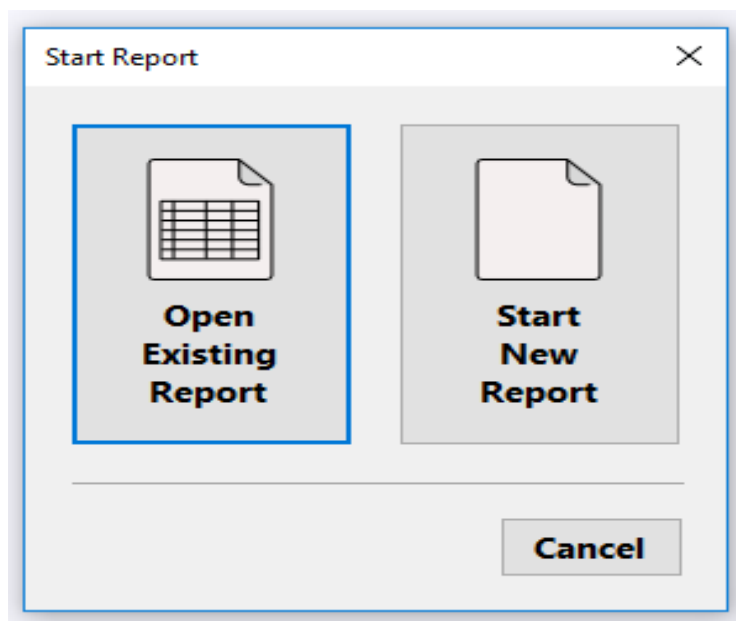
General Information:

- Enter information in the blank white fields. All other fields (pink, lavender, and brown) are read-only fields. You can leave white fields blank if you have nothing to report – you do not have to enter zeros.
- A few fields are required. If they are left blank, you will not be able to submit the report. The field header will indicate that the field is required.
- Some fields require a Yes or No answer. You must double click on the blank field and choose Yes or No from the box.
- Some forms have validation edits to ensure accurate information is collected. The validation edits are described in these instructions.
- **Note: This documentation has been updated from previous versions. Images may be from previous report years. Dates in the text have been updated for the current report year (2023).**

To Begin:

Once you have downloaded the Report Manager software and report shell (see the separate downloading instruction document):

- To start a new report, click on the Start New Report icon or to resume working on a previously saved report click on the Open Existing Report icon.



Once you have started a new report or opened an existing report, a box will pop up which is the Configure Report Organization. In this box, you will select your organizations name from the drop-down box in the organization line. If your organization is not listed in the drop-down click on the box that states Organization Not found In List for further instruction. In region section you will have to select statewide. Then click OK.

Configure Report Organization

Organization

Region

Submission Period **Annual**

Report Duration **01/01/2021 – 12/31/2021**

You will then see a report configuration box. Click the Next tab in the bottom right corner.

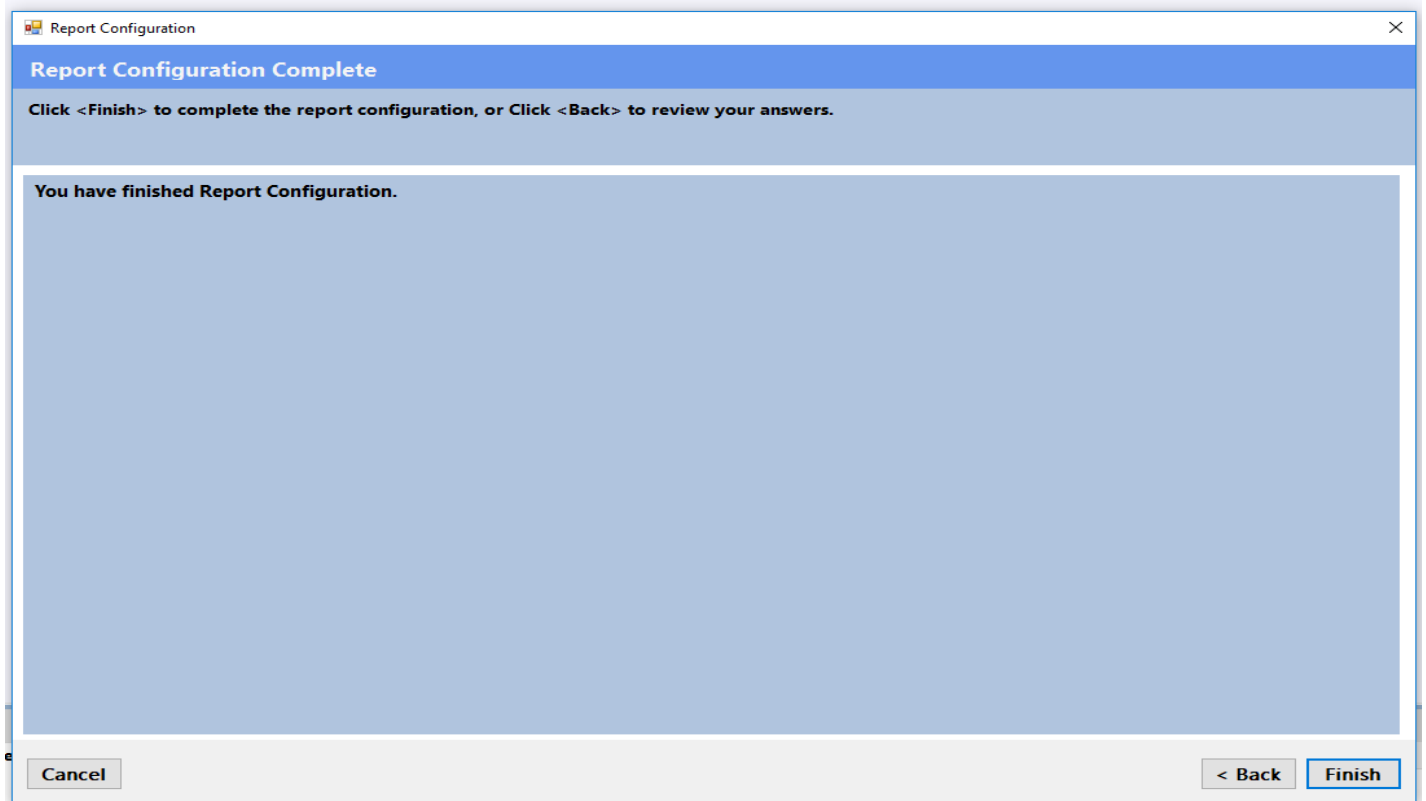
Report Configuration

Report Types

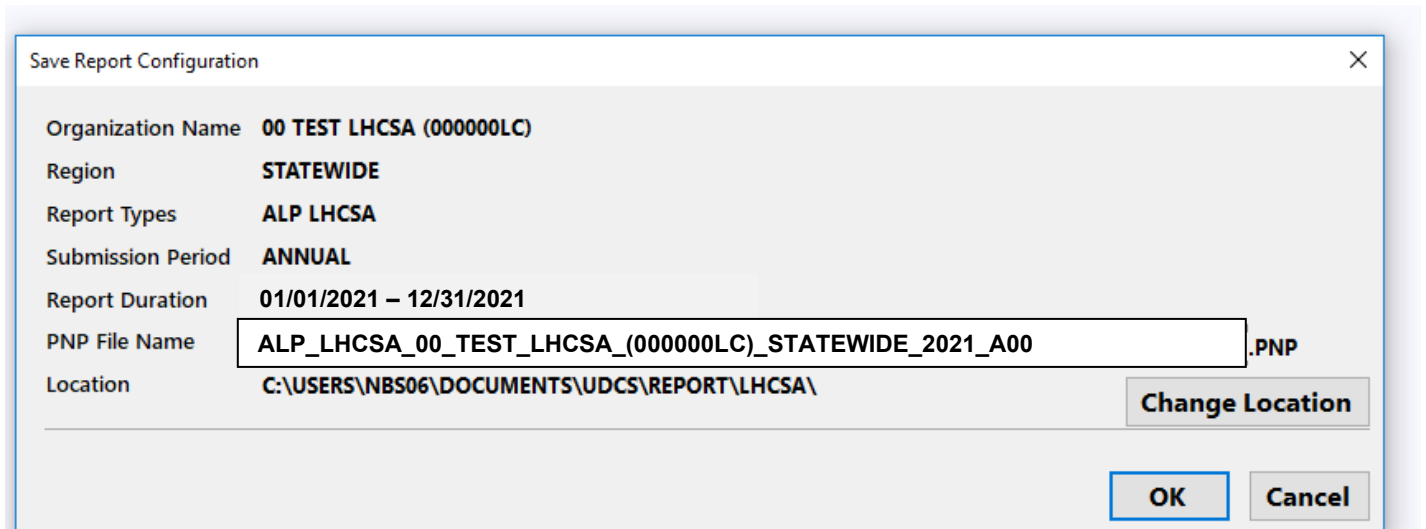
Select a Report Type

Class Code	Line Number	
999810000	1	<input checked="" type="checkbox"/> ALP LHCSA

A second report configuration box will appear once you have completed selecting your counties of service. Click Finish in the bottom right-hand corner.



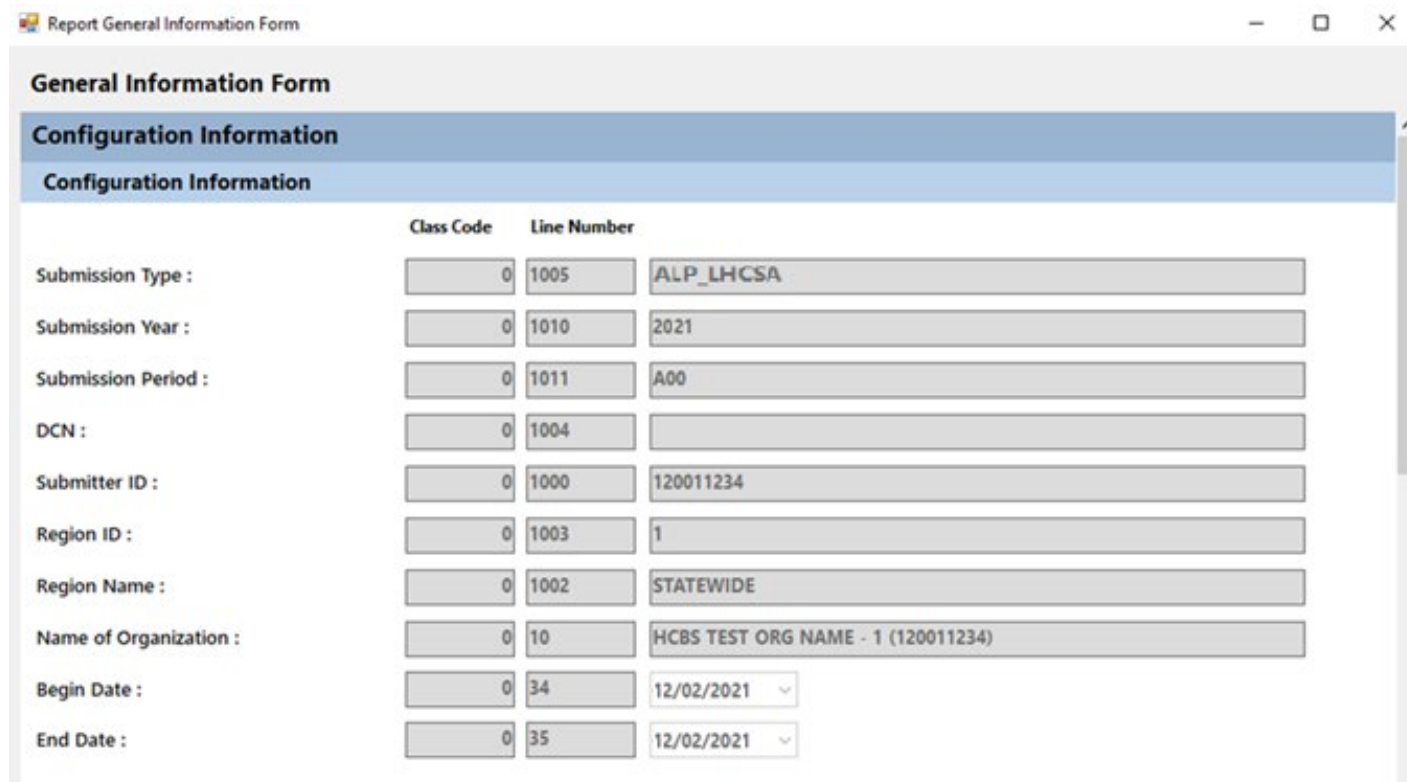
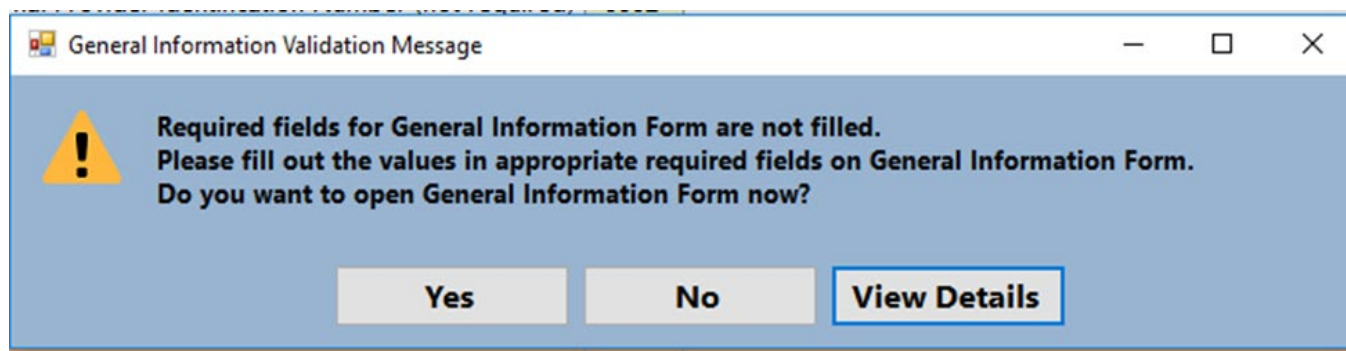
The Save Report Configuration box will come up next to show you where your report is being stored on your computer. You can change where you want it stored by clicking the change location button.



General Information Form

The General Information Form is part of the Report Manager Software and collects information about your organization that not only identifies you but enables the submission and certification of your report as well as the successful transfer of your data to a data repository.

When you open the report, you will receive a pop-up box that requests that you fill in the General Information Form. You must fill in the General Information Form prior to submitting the report.



A screenshot of the "Report General Information Form" window. The title bar says "Report General Information Form". The main content area is titled "General Information Form" and has a sub-section "Configuration Information". Below this, there is a table with columns "Class Code" and "Line Number". Each row contains a label, a "Class Code" field (with a value of 0), a "Line Number" field, and a text input field.

	Class Code	Line Number	
Submission Type :	0	1005	ALP_LHCSA
Submission Year :	0	1010	2021
Submission Period :	0	1011	A00
DCN :	0	1004	
Submitter ID :	0	1000	120011234
Region ID :	0	1003	1
Region Name :	0	1002	STATEWIDE
Name of Organization :	0	10	HCBS TEST ORG NAME - 1 (120011234)
Begin Date :	0	34	12/02/2021
End Date :	0	35	12/02/2021

Contact Person

	Class Code	Line Number	
Name :	54000	3	<input type="text"/> ⓘ
Title :	54000	4	<input type="text"/> ⓘ
Telephone Number :	54000	5	<input type="text"/> ⓘ
Fax Number :	54000	6	<input type="text"/>
E-mail Address :	54000	7	<input type="text"/> ⓘ

Addresses

Mailing Address

	Class Code	Line Number	
Street Address :	54000	11	<input type="text"/> ⓘ
City :	54000	12	<input type="text"/> ⓘ
State :	54000	13	<input type="text"/> ⓘ
Zip Code :	54000	14	<input type="text"/>

Validate

Save

Cancel

The General Information Form information section will be filled in for you. You only need to fill in the Contact Person and Address sections.

Form ALP1 – Agency Form

Form **ALP1 - Agency Form** collects agency location, contact information and other information.

ALP1 Agency Form		
Report Type : ALP_LHCSA		
ALP1 Agency Form		Contact Information
10000	10001	10002
Agency and Contact Information		Contact Information (Required)
License Number	00001	
National Provider Identification Number	00002	
Federal Employer Identification Number (FEIN)	00026	
Agency Name	00003	
Street Address	00004	
City	00005	
State	00006	
Zip	00007	
Agency Phone Number	00008	
Contact Person	00009	
Contact Person Email	00010	

Agency and Contact Information Section

All fields in this section, except for NPI Number, are **required fields**. You will not be able to submit the statistical report if this information is not filled in.

Form ALP2 – Resident Form

Form **ALP2 - Resident Form** collects resident demographic information, including discharges and referrals.

ALP2 Resident Form						
Report Type : ALP_LHCSA						
ALP2 Resident Form	Residents	Age	Length of Stay	Admitted From	Discharged To	
20000	20001	20002	20008	20005	20006	20007
Residents						
Resident Census on December 31 of Report Year	00001					
Number of Unduplicated Residents	00002					
Resident Information by Age						
Number of Residents as of December 31 or Date of Discharge		Age				
Residents aged 1-21	00003					
Residents aged 22-64	00004					
Residents aged 65-74	00005					
Residents aged 75-84	00006					
Residents aged 85 and over	00007					
Total Number of Residents	00009					
Length of Stay						
For Discharged Residents:			Residents/LOS			
Number of Residents with a Length of Stay less than 6 months	00011					
Number of Residents with a Length of Stay of 6-12 months	00012					
Number of Residents with a Length of Stay of 13-24 months	00013					
Number of Residents with a Length of Stay of more than 24 months	00014					
Total Residents	00020					
Admitted From or Discharged To						
Number of Cases Admitted from or Discharged to:				Admitted From	Discharged To	
Hospital	00022					
Self/Family/Friend	00023					
Adult Care Facility	00024					
Nursing Home	00025					
Other	00026					
Number of Residents Discharged to Death	00028					
Total Cases	00030					

Some of the totals on this form are automatically calculated – they are the lavender fields.

Residents Section

Enter information for **Resident Census**. Enter the resident census as of December 31 of the report year (12/31/2023). Resident Census means the actual number of individual residents receiving services.

Enter the **Unduplicated Resident Count** in the next field. This is the total number of discrete individual residents that your agency has served in the year, regardless of the number of admissions and discharges that resident may have had. A resident is only counted once regardless of the number of cases they represent.

To recap, if a resident is receiving care on 12/31/2023 they will be included in the resident census count. If they had two admissions during the year, they would count as two cases but as only one unduplicated resident.

Length of Stay Section

Length of Stay (LOS) information is entered in the next section. LOS is calculated for each episode of care or case. Length of stay should be calculated from the date the resident was initially admitted for an episode of care, regardless of the year of admission, to the date they were discharged. For example, if a resident was admitted on 12/30/2022 and discharged on 1/10/2023 her LOS is 12 days. Count the 2 days in 2022 and the

10 days in 2023 to arrive at a 12-day LOS. Residents that were discharged to a hospital or RHCF and readmitted to the agency within 30 days with the same illness or diagnosis should NOT be counted in the length of stay section.

Validation Edit - The total number of discharges calculated from the LOS entries on row 20 of ALP2 must match the total number of discharges calculated from the “Discharged To” section on row 30 of ALP2.

Referrals and Discharges Section

The next section collects resident referral and discharge information. In the “Referred From” column enter the number of cases served by your agency that have been referred from each of the designated sources regardless of their start of service date. This means that if you are serving a case in 2023 that was referred to your agency in 2022, that case should be counted. Residents that were discharged to a hospital or RHCF and readmitted to the agency within 30 days with the same illness or diagnosis should not be counted in the discharge section.

In the “Discharged To” column enter the number of cases discharged during the reporting year to specific destinations.

ALP3 – Cost Form

ALP3 – Cost Form - Collects data on revenue and costs for providing services to residents.

ALP3 Cost Form		
Report Type : ALP_LHCSA		
ALP3 Cost Form		Total
30000	30001	30002
Total Number of Days of Care	00001	
Total Revenue	00002	
Average Revenue per day of Care (Calculated by System)	00003	
Total Costs	00004	
Capital and Related Costs	00005	
Operational Costs (Calculated by System)	00006	
Average Operational Costs per Days of Care (Calculated by System)	00007	
Administrative and General Costs	00008	
Administrative and General Costs Ratio of Operating Costs (Calculated by System)	00009	
Home Health Aide Costs	00010	
Personal Care Aide Costs	00011	
Total HHA and PCA Costs (Calculated by System)	00012	
Administrative and General Costs Ratio applied to total HHA + PCA Costs (Calculated by System)	00013	

Some of the totals on this form are automatically calculated – they are the lavender fields.

One lines 1 and 2 enter the total number of days of care and total revenue for the report year.

On line 3 the system will calculate the average revenue per day of care by dividing the revenue by the days of care.

Enter total costs for the report year on line 4 and the amount of capital related costs on line 5.

- Capital and Related costs are onetime costs for construction, major repairs to real estate owned by the agency, etc.

On line 6 the system will calculate Operational Costs by subtracting the amount of capital costs from the total costs.

On line 7 the system will calculate the average operational costs per days of care by dividing the operational costs by the total number of days of care.

Enter the Administrative and General Costs of line 8

- Administrative and General costs are expenses for activities and materials that are used to administer your business. Examples are rent, utilities, and office supplies.

On line 9 the system will calculate a percentage by dividing the administrative costs by the operating costs.

On line 10 and 11 enter the costs to provide Home Health Aide and Personal Care Aide services.

On line 12 the system will calculate total HHA and PCA Costs.

On line 13 the system will apply the percentage from Line 9 to the total HHA and PCA costs on line 12.

ALP4 – Staff and Wages Form

ALP4 – Staff and Wages Form - collects information by staff type for full time and hourly staff at two different dates during the reporting year and the total number of W2s issued, hours worked, wages, and fringe benefits.

ALP4 Staffing and Wages														
Report Type : ALP_LHCSA														
ALP4 Staffing and Wages		Estimated Percentage of Staff Time Spent on LHCSA	Number of Full Time Staff on April 1	Number of Hourly Staff on April 1	Number of Full Time Staff on October 1	Number of Hourly Staff on October 1	Average Number of Full Time Staff	Average Number of Hourly Staff	Number of Staff Hours	Number of FTEs	Staff Wages	Fringe Benefits	Total Compensation	Number of W2s issued
40000	40001	40002	40003	40004	40005	40006	40007	40008	40009	40010	40011	40012	40013	40014
Director/Administrator	00001													
Other Administrative Staff	00002													
Nursing Supervision Staff	00003													
HHA Staff	00004													
PCA Staff	00005													

Some of the totals on this form are automatically calculated – they are the lavender fields.

Enter the number of full-time and hourly staff at your agency on April 1 and October 1 of the report year. The current definition of a full-time staff is someone who works an average of 30 or more hours a week and 130 hours or more per month. The form will calculate the average number of full time and part time staff in the first two lavender columns.

Enter the total hours worked for the year. The form will calculate the number of FTEs represented by these hours by dividing the number of hours by 2,080.

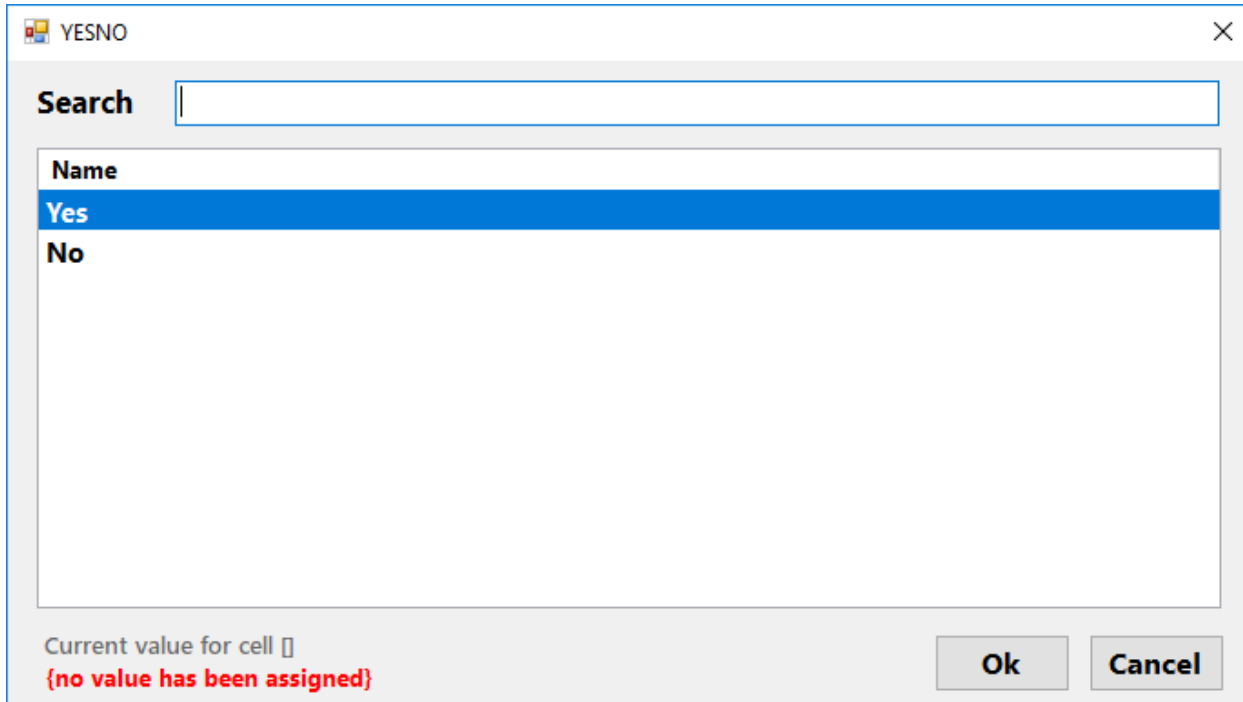
Enter total wages paid, and total fringe benefits paid for each staff type. The amount of wages plus fringe benefits will be calculated.

Enter the number of W2s issued during the year for each staff type.

ALP9WFC – Workforce Form C

ALP9WFC – Workforce Form C - collects employee benefit information for four types of employees, and non-wage supports for all staff.

This form requires some Yes or No Responses. To answer Yes or No, double click on the white field and the following box will pop up.



The image shows a dialog box titled "YESNO" with a close button (X) in the top right corner. Below the title bar is a "Search" label followed by an empty text input field. Underneath is a list box containing three items: "Name", "Yes", and "No". The "Yes" item is highlighted with a blue background. At the bottom left of the dialog, there is a status message: "Current value for cell []" followed by "{no value has been assigned}" in red text. At the bottom right, there are two buttons: "Ok" and "Cancel".

Choose your yes or no response to the question, click OK, and it will populate in the field.

Workforce Form C

Report Type : ALP_LHCSA

Workforce Form C					
Report Type : ALP_LHCSA					
Workforce Form C		Nurses	HHAs	PCAs	Homemakers and Housekeepers
92001	92002	92003	92004	92005	92006
Please answer the following questions for each staff type:					
How many employees are enrolled in employer-provided health insurance as of October 1?	00003				
How many employees have paid sick/vacation leave as of October 1?	00004				
How many employees have access to employer sponsored retirement plans as of October 1?	00005				
How many employees have short term disability insurance which the agency pays at least part of the premium as of October 1?	00006				
How many employees have filed Workers Compensation claims during the reporting year?	00007				
Non Wage Supports		Yes/No			
Does your agency offer any of the following non-wage supports to staff?					
Transportation Support	00008				
Childcare Support	00009				
Mentoring	00010				
Benefit Assistance	00011				
Scholarships	00012				
Does the agency pay increased wages for employees filling cases on weekends, holidays, or for complex cases?	00014				
Does the agency offer employer-provided health insurance?	00015				

Employees that receive health insurance or retirement plan benefits through the union, if the agency pays into the benefit, should be counted as enrolled in employer-provided health insurance or employer-sponsored retirement plan.

Short-term disability insurance may include the required coverage under New York State law or supplemental coverage that the agency offers.

ALP10 – Registration Form

ALP10 – Registration Form - Collects an attestation that indicates the ALP LHCSA is currently operational and serving residents. If the ALP LHCSA has opened in the past year, you can report on the form that the ALP LHCSA is not yet operational and is currently not seeing residents.

Some fields on this form are **required fields**. You will not be able to submit the statistical report if this information is not filled in.

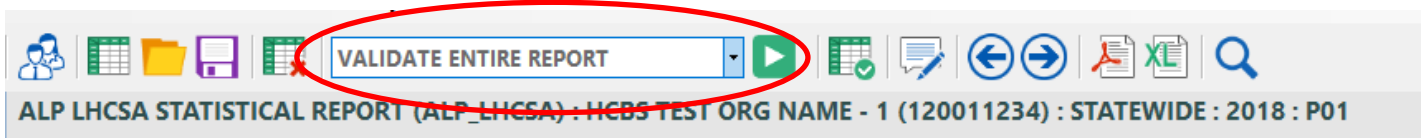
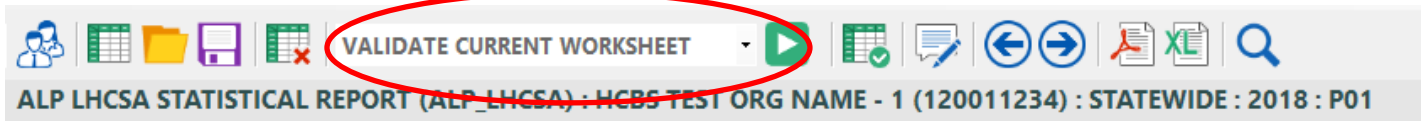
The appropriate Governing Authority Agent must request that the ALP LHCSA be registered with the Department of Health for the upcoming calendar year.

ALP10 Registration Form		
Report Type : ALP_LHCSA		
ALP10 Registration Form		Response
100000	100001	100002
		Name and Date
Today's Date	00001	
LHCSA Operator Name	00002	
LHCSA Administrator Name	00003	
		Yes/No
Did this ALP LHCSA provide resident care services during the last year?	00004	
Did this ALP LHCSA provide resident care services during any portion this year?	00005	
Does this ALP LHCSA intend to provide resident care services in the next year?	00006	
		Yes/No and Date
Has this ALP LHCSA been open less than one year from today's date and has not served residents during this timeperiod?	00007	
Date the ALP LHCSA Opened	00008	
		Yes/No
Has this ALP LHCSA received payment for Nursing, HHA, or PCA services during the report year?	00009	
No Licensed Home Care Services Agency shall be permitted to operate, provide nursing, personal care aide services or home health aide services	00010	
or receive payment for such services from any payor unless it is registered with the NYS Department of Health.	00011	
		Yes/No (Required)
Do you wish to register this ALP LHCSA with the NYS Dept of Health for the next calendar year?	00012	
		Yes/No and Name (Required)
By answering yes, I attest that all of the responses to this statistical report are true and correct to the best of my knowledge.	00013	
Name of Governing Authority Representative submitting this report:	00014	
Failure to submit an accurate Registration Form (ALP10) by the due date will result in a penalty of five hundred dollars (\$500) for each month or part thereof that the ALP LHCSA is in default.	00016	
An ALP LHCSA will not be allowed to register for the following registration period unless it submits any unpaid late fees.	00017	
The Department shall institute proceedings to revoke the license of any ALP LHCSA that fails to register for two annual periods whether or not the periods are consecutive.	00018	

Validating the Statistical Report

You may, at any time, validate the sheet you are working on, or validate the entire report. You **must** validate the report before submitting it.

Go to the top tool bar and click on the drop-down box next to the green arrow.



You can validate a worksheet at any time. You can also refresh the validation after it's been done once by clicking the refresh circle in the details portion of the report. Because there are so many worksheets, it may be easier to validate each worksheet once you've finished it. The results of the validation are in a table in the details section of the worksheet. The message that says "Rule Passed Validation" is only referring to the cell you are on – not the whole worksheet.

Sequence	Identifier	Level	Error	Left Value	Operator	Right Value	Rule	OriginalLogic
11	LSR2PATIENT	Critical	<input type="checkbox"/>		EEQ		The total of discharges in the "Length of Stay" section must match the total of discharges in the "Discharged To" column in the "Referrals and Discharges" section.	(20002.10) EEQ (20004.30)
12	LSR2PATIENT	Critical	<input type="checkbox"/>		EEQ		The unduplicated patient count reported on LSR2 must match the total of unduplicated patients reported on LSR7 - County Forms ...	(20002.3) EEQ...
13	LSR2PATIENT	Critical	<input type="checkbox"/>		EEQ		The number entered as total cases must match the total of the "Referred From" column in the Referrals and Discharges section.	(20002.2) EEQ...

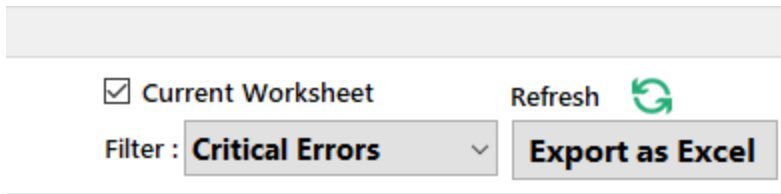
IMPORTANT NOTE: The details section is automatically set up to show all rules. It's only an error if there is a checkmark in the error box.

Sequence	Identifier	Level	Error	Left Value	Operator	Right Value	Rule
11	LSR2PATIENT	Critical	<input checked="" type="checkbox"/>	1.0	EEQ	0	The total of discharges in the "Length of Stay" section must match the total of discharges in the "Discharged To" column

To see if you have any cells with errors – click on the filter in the details section and change it from "all rules" to "critical errors".

Sequence	Identifier	Level	Error	Left Value	Operator	Right Value	Rule
11	LSR2PATIENT	Critical	<input checked="" type="checkbox"/>	1.0	EEQ	0	The total of discharges in the "Length of Stay" section must match the total of discharges in the "Discharged To" column in the

Validations can be done for the worksheet you are on by checking the box that says "Current Worksheet" or it can be done for all worksheets by unchecking the box. You can fix an error and then re-run the validation by clicking on the refresh circle.



If you have passed the validation edits you will have no error boxes checked and get a green message that says Rule Passed Validation for each cell you choose.

Finalizing the Statistical Report

If you have passed all the validation edits, and you are satisfied with all responses on all forms, click on the Finalize Report icon.



Or click Action on the top tool bar and choose “Finalize Report”



A message will come up asking if you are sure you want to save and finalize. Click Yes.
A second message will come up directing you to correct errors (if there are any) or letting you know that the report has been finalized.

Select a location to save your Finalized Report. **Make sure that you are aware of where it is being saved (i.e. desktop) as you will need to find the file when you upload it onto the Healthcare Financial Data Gateway. You may wish to make a new folder on your desktop and save it there.**

You will save a PDF of the report, as well as a .pnp file of the report.

The name of the report will be:

Agency Name_(Agency License Number)_Statewide_2023_A00.pnp

The file you will want to upload will end in “.pnp”

Your report is now ready to be submitted to the Healthcare Financial Data Gateway.

Submitting the Finalized ALP LHCSA Statistical Report to the Healthcare Financial Data Gateway

1. Login to the HCS.
2. Click on **Healthcare Financial Data Gateway** in **My Applications**. This will take you to the **Healthcare Financial Data Gateway** main page.

Healthcare Financial Data Gateway
New York State Department of Health

Welcome John P Huffaker
Home | Contact | Help

Home Software Submissions Publications Reports Administration

Welcome to the Healthcare Financial Data Gateway

The navigation bar above contains selectable tabs for each functional area of the application and is used to navigate throughout the application. Please read the descriptions of these areas below:

Software: The "Software" tab is used to download the Cost Report software and supporting documentation. Items selected for download will be saved as a zip file.

Submissions: The "Submissions" tab can be used to do any of the following.

- Submit your completed and finalized Cost Report
- View the details of past submissions
- Certify a previously submitted Cost Report

Publications: The "Publications" tab is used to download additional information distributed by the Department of Health that is not directly related to the distribution of the Cost Report software.

Reports: The "Reports" tab is used to access a downloadable history of submission and certification details for the Cost Reports.

Administration: The "Administration" tab can be used to do any of the following.

- Grant permissions to the applications
- Manage Roles
- Set Submission CutOff
- Upload Software, Reports, and Supporting Documentation
- Upload Certifications

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3. Click the **Submissions** tab – the **Submissions** page will display.

Healthcare Financial Data Gateway
New York State Department of Health

Welcome Nancy B Simonds
Home | Contact | Request Access | Help

Home Software Submissions Publications Reports Administration

SUBMISSIONS

Select Cost Report And Organization

Submission Type: ALP LHCSA Organization: 00 Test LHCSA (000000LC) Search

4. Select **ALP LHCSA** as the **Submission Type** and your organization from the **Organization** list and then click the **Search** button. The **Submission** page will be expanded.

SUBMISSIONS

Select Cost Report And Organization

Submission Type: Organization:

New Submission

Email: [\(Update email address\)](#)

Upload File:

Submission History

Submission Period	Report Period :					
—Year / Period	Region	DCN	Submit Date	Submitter	Status	PNP

5. Click the **Browse** button to display a dialog box that allows you to locate your finalized ALP LHCSA Statistical Report. It will have a .pnp file extension.
6. Once you have selected the file to submit, click the **Submit** button.
7. The **Submission History** section of the **Submission** page will be updated to reflect the status of the submission.
8. A confirming email message will be sent to the email address listed in the **New Submission** section of the **Submission** page.

Attachment A – Report Tool Bar items

Worksheets

Worksheets

The Worksheets are listed in the Worksheet Panel which is located on the left side of the application window. Worksheets are listed in alphanumeric order by Worksheet name. Click on a Worksheet to view that Worksheet in the Matrix Panel. Click on the small arrow key in the top right of the Worksheet Panel to collapse or expand the panel. Use the "Windows" menu item to organize your Worksheets in the Matrix Panel.

Title Bar

Title Bar

The Title Bar is located at the very top of the window and will display the name, version and software build number, followed by the name of the active-matrix table if a table is currently open.

Menu Bar

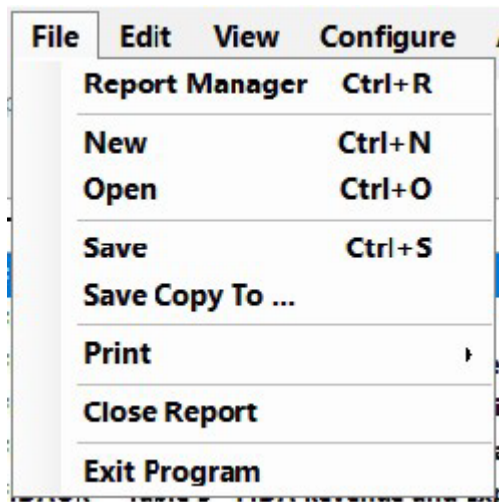
UDCS Menu bar

File Edit View Configure Action Notes Windows Search Help

The following Help Topics will guide you through the menu bar functionality.

File

The File Menu.



Report Manager: Select Report Manager to return to the Report Manager.

New: This command will start a new Report

Open: This command will enable you to open an existing Report

Save: This will save the Report you are working on.

Save Copy To: The Save Copy window will open and enable you to save a copy of your Report to a location that you choose.

Your working report location will remain in the default location: C:\ProgramData\UDCS\report

Print: Two options will be displayed that will enable you to save your Report as a Microsoft Excel document or a PDF document.

For either option, the Select Worksheets window will open. Check the worksheets you wish to export or check Select All to check all the worksheets.

You will be prompted to save the export file to a location you choose. You can then open the file from this saved location and print.

Close Report: Closes the Report. You will be prompted to save your data first.

Exit Program: Closes the UDCS software and the Report Manager. You will be prompted to save your data first.

Edit

The Edit Menu

Cut, Copy, Paste, Undo

Edit	View	Configur
Cut	Ctrl+X	
Copy	Ctrl+C	
Paste	Ctrl+V	
Undo	Ctrl+Z	

These features will enable you to copy data from one part of your report to another, or from Microsoft Excel to your Report with some limitations:

1) You may copy numeric data to numeric or non-numeric type cells. You may not copy non-numeric data to numeric type cells.

2) You may not paste data into read only cells such as targets of formulas.

3) You may select a range of cells to copy. However, when you paste the cells, the range size must match. If the range size does not match, you will not be allowed to copy the data.

For example, if you copy a 5 cell by 5 cell range and try to paste in a 3 cell by 3 cell area, or the area has read only cells, you will be alerted to adjust your range.

View

The View Menu

View	Configure	Action	Notes	Windows	Se
	Report Type ▶				
<input checked="" type="checkbox"/>	Worksheet Panel (Expand-Collapse)			Alt+W	
	Previous Worksheet			Alt+Up	
	Next Worksheet			Alt+Down	
<input checked="" type="checkbox"/>	Detail Panel (Expand-Collapse)			Alt+D	
	Calculations (In Pop-Up Viewer)				
	Text Transfers (In Pop-Up Viewer)				
	Validation Results (In Pop-Up Viewer)				
	Submission Output (In Pop-Up Viewer)				

Report Type: You can choose to Select All Worksheets to display all the worksheets in the Report in the Worksheet display panel.

For Reports that have multiple Report Types, you may choose to select only the worksheets from the selected Report Type.

Worksheet Panel (Expand-Collapse): Expands or collapses the worksheets panel. It may be convenient to collapse the worksheet panel when you are working on a large worksheet and could use extra space to see more of the worksheet.

With the worksheets collapsed you may also click on the arrow icon where the worksheets are collapsed to expand the worksheets.

Previous Worksheet and Next Worksheet: Use these commands to navigate through the worksheets.

Detail Pane (Expand-Collapse): Use this command to expand or collapse the Details panel. This works similarly to expand-collapse worksheets.

The following menu items will each open a window that will enable you to Export the data as a text file.

Calculations: A window will open that lists all of the mathematical expressions in the Report.

Text Transfers: Lists all the Text Transfers in the Report.

Text Transfers consist of a value and a target. Once the value is entered, the target will automatically get populated with the same value.

Validation Rules: Lists all the Validation Rules in the Report.

Validation Rules are conditions that must be met for the report to be completed satisfactorily.

Submission Output: This is the XML output of the Report. It lists Report configuration information as well as class code/line numbers and the values that were entered for them.

Configure

The Configure Menu

Configure	Action	Notes
	Control Data	F2
	Report Settings	F3
	Report Types	F4

Control Data: Contains information that is required for the Report to be completed correctly and allowed to be submitted. All required Control Data fields must be complete. Required fields will have a red exclamation point next to them. When you open the Report, you will be alerted if the Control Data information is not completely filled out.

Report Settings / Report Types: These menu items are merely instructions to remind you what to do if you have created your report using the wrong configuration information, such as the wrong Report Type or wrong Region. Click on the File menu to Start a New Report. Select the correct settings and then transfer your data from the incorrect Report to the new Report.

Action

The Action Menu

Action	Notes	Windows	Search
Validation Method ▶			
Start Validating			F5
Stop Validating		Ctrl+F5	
Finalize Report			F6
Recalculate Formulas			F7

Validation Method: Current Worksheet or Entire Report.

In order to Finalize the Report for Submission you must run it through the validation process. You can validate to check only the current Worksheet, or you can run Validation for the entire Report. You must Validate the entire Report in order to pass Validation and have a Finalized Report that is ready to submit.

Start Validating/Stop Validating: Once you have selected to validate the current Worksheet or the entire Report you can select the Start Validating item. For larger Reports, you may choose to Stop Validating at any time.

Notepad

The Notepad Menu

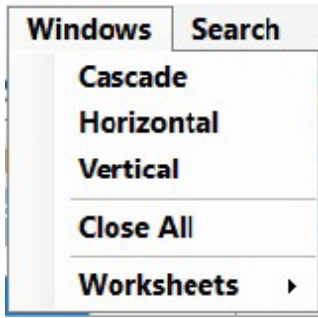
This is a scratch pad to keep notes and provide additional information while you complete your report. Click the File menu and then Save to save Notes to your Report.

Use the File and Edit menu as you would a typical text editor.

Windows

The Windows Menu

Use the Windows commands to arrange the Worksheets to your satisfaction. Select the Worksheets command to see a list of opened Worksheets. You may select an open Worksheet to bring it to the front of the Report.



Search

The Search Menu

Enter what you would like to search for in the Search box and click the Search button. All results that match your Search criteria will be listed below. You may choose to Search the Current Worksheet or All Worksheets by toggling the radio buttons at the bottom of the window.

Help

The Help Menu

View Documentation will open the Help File that you are currently reading.



Click About to open the following window. This information contains details about the Report you have open as well as the versions of the software and files being used.

Icon Menu

Icon Menu



Open the Control Data Form.



Start a New Report.



Open an Existing Report.



Save the Report.



Close the Report.



Validate the Current Worksheet or the Entire Report.



Stop the Validation process.



Finalize the Report.



Open Notepad.



Open the Previous Worksheet.



Open the Next Worksheet.



Export the Worksheet as a PDF document.



Export the Worksheet as an Excel file.



Open the Search Window.

2023 Licensed Home Care Services Agency Statistical Report

Frequently Asked Questions

Q: Do we combine FI (Fiscal Intermediary) and LHCSA (Licensed Home Care Services Agencies) information if we operate both programs?

A: If you operate both a LHCSA that serves the community, and you are a Fiscal Intermediary (FI) for the CDPAP program you must separate all FI information out from the LHCSA information. The FI should be run as a distinct line of business from the LHCSA.

You should indicate on form LSR1 that you are an FI. You should fill out all other information on the Statistical Report regarding the patients you serve in the community and staffing information should be in regard to the LHCSA activities only.

If your LHCSA is exclusively an FI, you will have no patient information to report, but you should fill out ALL forms for which they have information, including staffing levels, salary, etc.

Q. Where can I find instructions and documentation for the 2023 LHCSA Statistical Report?

A. Sign on to the Health Commerce System (HCS)

Click on:

- My Content on the top purple tool bar
- Documents by Group
- View all Document Groups

- Long Term Care
- Dear Administrator Letters
- 2024
- Home Health Care

Q: Our Agency was not open in 2023 – do we need to submit a report?

A: If your agency was newly opened in 2023, you will need to send a note to HCStatRpts@health.ny.gov requesting access to the survey. You must complete and submit the 2023 LHCSA Statistical Report to register your agency with the Department of Health for 2025. You must fill out the contact information on form LSR1 Agency Information Form and fill out form LSR10 Registration Form entirely. If your agency has staff, you must complete and submit forms regarding Staffing and Wages, Costs and Workforce.

Q: Our Agency was open in 2023, but did not serve patients – do we need to submit a report?

A: You must complete and submit the 2023 LHCSA Statistical Report to register your agency with the Department of Health for 2025. You must fill out the contact information on form LSR1 Agency Information Form and fill out form LSR10 Registration Form entirely. If your agency has staff, you must complete and submit forms regarding Staffing and Wages, Costs and Workforce.

Q: Who is responsible for completing the LHCSA Statistical Report if there was a successfully approved Change of Ownership (where the LHCSA is sold to a new owner) mid-year?

A: The new owner is responsible for completing the LHCSA Statistical Report and should answer the questions based on the current ownership data starting from the date of the approved change of ownership. If the new owner has access to the patient information from prior to the date of the change of ownership, they should answer the Statistical Report questions based on this prior information, where applicable. For example, questions about referrals and discharges on the LSR2 Patient Form may be answered using prior information, if known. The old owner will not have access to the report once the change of ownership has been approved.

Q: Our Agency is an ALP (Assisted Living Program) LHCSA (Licensed Home Care Services Agency) that exclusively serves patients of an Assisted Living Program. What needs to be submitted?

A: LHCSAs that EXCLUSIVELY serve patients in an Assisted Living Program (ALP) are only required to submit the ALP LHCSA Statistical Report Form.

If your agency is a LHCSA that serves ALP residents and serves patients in the community, you must complete and submit all forms on the LHCSA Statistical Report regarding your patients in the community AND the ALP LHCSA Statistical Report regarding the patients in the Assisted Living Program.

Q: I do not have access to the LHCSA Statistical Report on the Healthcare Financial Data Gateway. What can I do?

A: People who were able to access the Healthcare Financial Data Gateway last year to download the software and submit the report continue to have access this year. If you are in the Administrator role and you are unable to access the Gateway, please send an email to hcstatrpts@health.ny.gov. If you are not assigned the Administrator role on the Health Commerce System – you should discuss with your administrator what they would like to do regarding giving you access to the report and reach out to the Division by contacting HCStatRpts@health.ny.gov.

Q. Do I have to be assigned the Administrator role to enter data into the LHCSA Statistical Report?

A. No. Once the software is installed on a computer and the Report format is loaded, anyone with access to that computer can enter data. However, only someone assigned the Administrator role can submit the report.

Q. My agency has multiple people assigned the Administrator role who are also registered with the Healthcare Financial Data Gateway so that they can download the software and report and can submit the final report. Should they all download a copy of the application and report?

A. The answer is: it depends. They can each download and install the software on their computer, but care must be taken that all of them only enter data into a single, shared copy of the report. If they enter data into private copies of the report, the private copies cannot be merged. If they submit private copies of the report, only the data from the last submitted copy will be available. See the next question.

Q. How can multiple people enter data into a LHCSA Statistical Report?

A. You may want to have different people fill out different parts of the LHCSA Statistical Report. For example, you may want someone from your fiscal unit to fill out the cost and revenue sections, someone from human resources fill out the staffing and workforce sections and someone else enter the patient and service data. This can be done in different ways, but care must be exercised so that only one person is entering data into a report at a time. If more than one person enters data into a report at the same time, only the changes made by the last person to save their copy of the report will be retained.

The simplest way to have multiple people work on the LHCSA Statistical Report is to install the application on a single computer and have people use that computer to enter data into a report stored on the computer. This enforces the requirement that only one person enter data at a time.

Another method for multiple input to the report would be to install the application on the computers of everyone who will be entering data. The application and report can be downloaded once, stored on a file server or flash drive, and then installed from the server or flash drive onto the computers of all the people who will be entering data.

One person should then create and save the initial instance of the report for a license. The default location for this file (which has a .pnp extension) will be in the My Documents\UDCS folder of the person who created the report. A copy of this file can then be placed on a file

server where it can be accessed by those who have had the application installed on their computer.

Only one person should enter data into the report at a time. **If more than one person enters data into a report at the same time, only the changes made by the last person to save their data will be retained.** Also, everyone must enter data into this one report. Data entered into other copies of this report cannot be merged into this one report and will have to be re-entered.

Alternatively, the initial instance of a LHCSA Statistical Report can be stored on a single flash drive which can be given, in succession, to each person who will be entering data. These people must have the LHCSA Statistical Report application installed on their computers. All people entering data must save it to the same flash drive; **there is no way to merge data entered into multiple instances of a LHCSA Statistical Report into a single copy.**

Q: I've downloaded the Report Manager software, but I get an error message when I try to install it on to my computer. What can I do?

A: You may not have the privileges needed to install software on your computer. You may need to contact your IT Department and have them install the software on your computer. Please note that the Report Manager software requires Windows 7 or later operating system.

Q: I've tried to download the Report Manager software on my Mac computer, and it does not work. What can I do?

A: Report Manager software requires Windows 7 or later operating system. It will not work on a Mac. You must use a computer that has Windows to submit your LHCSA Statistical Report.

Q. I have downloaded and installed the software, but when I download the Report and try to open the downloaded file, I get a prompt for a password or an error message that says the file may be damaged. How can I download the Report?

A. The file containing the LHCSA Statistical Report matrix is a .zip file that contains an encrypted file. Depending upon how your browser is configured, it may attempt to open the .zip file for you. You do not need to open this file and extract the contents; you should save it where you can locate it and load it into the Report Manager.

Q: I have completed the report and finalized and saved it. When I go to upload the report on the Healthcare Financial Data Gateway, I get the error message that says I cannot upload a PDF file. What do I need to do?

A: When you finalize the report and are asked to save it, the software will save both a PDF version of the file and a PNP version of the file. You must upload the PNP version.

FAQs about the Forms:

LSR2

Q: What is meant by census?

A: Census is the number of patients being served at a particular point in time.

Q: What is meant by cases?

A: A case is the provision of a course of services to an individual from a starting point to an ending point. A patient can have multiple courses of service and can consequently contribute more than once to the total number of cases.

Q: What is meant by unduplicated patient count?

A: The unduplicated patient count is the number of discrete individuals provided with home care services. A patient is counted only once regardless of the number of cases that they represent.

LSR3 – Contract Revenue Form, and LSR4 – Direct Revenue Form

Q: What is meant by revenue?

A: Revenue is income, or monies coming into your agency.

Q: What is the difference between contract revenue and direct revenue?

A: Contract revenue is the income your agency received for services provided to patients because of a contract your agency has with another agency. Direct revenue is the income your agency received for services provided to the patients that are directly under the care of your agency.

Q: Our LHCSA has staff that are paid by a grant. Should this be included as revenue?

A: Yes. Grant money should be included as revenue.

LSR5 – Cost Form

Q: If certain costs fall into two categories, should they be listed twice?

A: No. Do not double count costs. Choose one of the cost categories and enter the cost only once.

Q: Do costs related to the delivery of services include the wages paid to the employee giving the services?

A: Yes. Include Wages in the costs on LSR5 – Cost Form.

Q: What is included under fringe benefits?

A: Fringe benefits are employment benefits granted by an employer that has monetary value but does not affect basic wage rates. Fringe benefits may include health insurance, vision and/or dental insurance, paid holidays, pension, or items such as uniforms or a company car.

Q: We pay HHAs/PCAs bereavement, jury duty, overtime, Paid Time Off (PTO), holidays, travel time, annual medical exam time, in service/special training time etc. Are these considered fringe benefits?

A: Yes. These items can be included as fringe benefits on forms LSR5 Cost Form and the LSR6 Staff and Wages form.

Q: What is meant by Administrative and General Costs?

A: Administrative and General Costs are expenditures related to the day-to-day operations of a business. These costs pertain to the operation of the business rather than the cost for services to patients. Examples include rent, utilities, and office supplies.

Q: What is meant by other operating costs?

A: Other operating costs are costs that are not included elsewhere.

Q: What is meant by Capital and related costs?

A: Capital and related costs are fixed, one-time costs incurred for the purchase of land, buildings, or construction. Building improvement costs that add to the value of the property are

included in capital costs. Maintenance of buildings and property are not included in capital costs.

Q: Our LHCSA does not have staff – we contract with a CHHA. Where do we enter the expense of payments to a CHHA for the staff that we use?

A: Enter the costs on LSR5 – Cost Form. There are lines for recording the costs of providing different services. If you are paying the CHHA for staff to provide services, that cost should be recorded here.

LSR 6 – Staff and Wages Form

Q: What is meant by full time employee and hourly employee?

A: The IRS defines a full-time employee as an employee who works on average at least 30 hours per week, or 130 hours per month. Employees that work less than this should be considered hourly.

Q: When entering the highest and lowest hourly rate for HHAs and PCAs – do we have to take in consideration the overtime rates or weekend/mutual case differential when it comes to the highest rate?

A: No. Do not include overtime rates or weekend/mutual case differentials when determining the highest hourly rate. Also do not include fringe benefits that bring the wage up to the wage parity amount.

LSR7 – Services by County

Q: What is meant by unduplicated patient count?

A: The unduplicated patient count is the number of discrete individuals provided with home care services. A patient is counted only once regardless of the number of cases that they represent.

Q: What is meant by New Admission?

A: New Admissions are patients that have been admitted to the agency during the report year.

**2023 Assisted Living Program Licensed Home Care Services Agency Statistical Report
Frequently Asked Questions**

Q. Where can I find instructions and documentation for the Assisted Living Program (ALP) Licensed Home Care Services Agency (LHCSA) Statistical Report?

A. Sign on to the Health Commerce System (HCS)

Click on:

- My Content on the top purple tool bar
- Documents by Group
- View all Document Groups
- Long Term Care
- Dear Administrator Letters
- 2024
- Home Health Care

Q: Our Agency was not open in 2023 – do we need to submit a report?

A: If your agency was newly opened in 2023, you will need to send a note to HCStatRpts@health.ny.gov requesting access to the survey. You must fill out the contact information on form Agency Information Form and fill out the Registration Form entirely. If your agency has staff, you must complete and submit forms regarding Staffing and Wages, Costs and Workforce.

| ALP LHCSA Statistical Report FAQ 2023

Q: Our Agency was open in 2023, but did not serve patients – do we need to submit a report?

A: You must complete and submit the 2023 LHCSA Statistical Report to register your agency with the Department of Health. You must fill out the contact information on form Agency Information Form and fill out the Registration Form entirely. If your agency has staff, you must complete and submit forms regarding Staffing and Wages, Costs and Workforce.

Q: Who is responsible for completing the LHCSA Statistical Report if there was a successfully approved Change of Ownership (where the LHCSA is sold to a new owner) mid-year?

A: The new owner is responsible for completing the LHCSA Statistical Report and should answer the questions based on the current ownership data starting from the date of the approved change of ownership. If the new owner has access to the patient information from prior to the date of the change of ownership, they should answer the Statistical Report questions based on this prior information, where applicable. For example, questions about referrals and discharges on the LSR2 Patient Form may be answered using prior information, if known. The old owner will not have access to the report once the change of ownership has been approved.

Q: Our Agency is an ALP LHCSA that exclusively serves patients of an Assisted Living Program. What needs to be submitted?

A: LHCSAs that EXCLUSIVELY serve patients in an Assisted Living Program are only required to submit the ALP LHCSA Statistical Report Form.

| ALP LHCSA Statistical Report FAQ 2023

If your agency is a LHCSA that serves ALP residents and also serves patients in the community, you must complete and submit all forms on the LHCSA Statistical Report in regard to your patients in the community AND the ALP LHCSA Statistical Report in regard to the patients in the Assisted Living Program (ALP).

Q: I do not have access to the ALP LHCSA Statistical Report on the Healthcare Financial Data Gateway. What can I do?

A: People who were able to access the Healthcare Financial Data Gateway last year to download the software and the report continue to have access this year. If you are in the Administrator role and are unable to access the Gateway, please send an email to HCStatRpts@health.ny.gov. If you are not assigned the Administrator role on the Health Commerce System – you should discuss with your administrator what they would like to do regarding giving you access to the report and reach out to the Division by contacting HCStatRpts@health.ny.gov.

Q. Do I have to be assigned the Administrator role to enter data into the ALP LHCSA Statistical Report?

A. No. Once the software is installed on a computer and the Report format is loaded, anyone with access to that computer can enter data. However, only someone assigned the Administrator role can submit the report.

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A. The answer is: it depends. They can each download and install the software on their computer, but care must be taken that all of them only enter data into a single, shared copy of report. If they enter data into private copies of the report, the private copies cannot be merged. If they submit private copies of the report, only the data from the last submitted copy will be available. See the next question.

Q. How can multiple people enter data into a LHCSA Statistical Report?

A. You may want to have different people fill out different parts of the LHCSA Statistical Report. For example, you may want someone from your fiscal unit to fill out the cost section, someone from human resources to complete the staffing and workforce sections and someone else enter the patient and service data. This can be done in different ways, but care must be exercised so that only one person is entering data into a report at a time. If more than one person enters data into a report at the same time, only the changes made by the last person to save their copy of the report will be retained.

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on a file server or flash drive, and then installed from the server or flash drive onto the computers of all the people who will be entering data.

One person should then create and save the initial instance of the report for a license. The default location for this file (which has an extension of .pnp) will be in the My Documents\UDCS folder of the person who created the report. A copy of this file can then be placed on a file server where it can be accessed by those who have had the application installed on their computer.

Only one person should enter data into the report at a time. **If more than one person enters data into a report at the same time, only the changes made by the last person to save their data will be retained.** Also, everyone must enter data into this one report. Data entered into other copies of this report cannot be merged into this one report and will have to be re-entered.

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Q: I've downloaded the Report Manager software, but I get an error message when I try to install it on to my computer. What can I do?

A: You may not have the privileges needed to install software on to your computer. You may need to contact your IT Department and have them install the software on to your computer. Please note that the Report Manager software requires Windows 7 or later operating system.

Q: I've tried to download the Report Manager software on my Mac computer, and it does not work. What can I do?

A: Report Manager software requires Windows 7 or later operating system. It will not work on a Mac. You must use a computer that has Windows to submit your 2021 LHCSA Statistical Report.

Q: I have downloaded and installed the software, but when I download the Report and try to open the downloaded file, I get a prompt for a password or an error message that says the file may be damaged. How can I download the Report?

A: The file containing the LHCSA Statistical Report matrix is a .zip file that contains an encrypted file. Depending on how your browser is configured, it may attempt to open the .zip file for you. You do not need to open this file and extract the contents; you should save it where you can locate it and load it into the Report Manager.

Q: I have completed the report and finalized and saved it. When I go to upload the report on the Healthcare Financial Data Gateway, I get the error message that says I cannot upload a PDF file. What do I need to do?

A: When you finalize the report and are asked to save it, the software will save both a PDF version of the file and a PNP version of the file. You must upload the PNP version.

FAQs about the Forms:

ALP2 – Resident Form

Q: What is meant by resident census?

A: Resident census is the number of residents being served at a particular point in time.

Q: What is meant by unduplicated resident count?

A: The unduplicated resident count is the number of discrete individuals provided with home care services. A resident is counted only once regardless of the number of cases that they represent.

ALP3 – Cost Form

Q: If certain costs fall into two categories, should they be listed twice?

A: No. Do not double count costs. Choose one of the cost categories and enter the cost only once.

Q: Do costs related to the delivery of services include the wages paid to the employee giving the services?

A: Yes. Include Wages in the costs on ALP3 – Cost Form.

Q: What is meant by Administrative and General Costs?

A: Administrative and General Costs are expenditures related to the day-to-day operations of a business. These costs pertain to the operation of the business, rather than the cost for services to patients. Examples include rent, utilities, and office supplies.

Q: What is meant by Capital and Related costs?

A: Capital and related costs are fixed, one-time costs incurred for the purchase of land, buildings, or construction. Building improvement costs that add to the value of the property are included in capital costs. Maintenance of buildings and property are not included in capital costs.

ALP 4 – Staff and Wages Form

Q: What is meant by full time employee and hourly employee?

A: The IRS defines a full-time employee for purposes of the Affordable Care Act (ACA), as an employee who works on average at least 30 hours per week, or 130 hours per month.

However, full time work can be defined as between 32 and 40 hours. For purposes of this report, please define full-time as working an average of 30 hours a week or 130 hours per month.

Employees that work less than this should be considered hourly.

Q: What is included under fringe benefits?

| ALP LHCSA Statistical Report FAQ 2023

A: Fringe benefits are employment benefits granted by an employer that have monetary value but do not affect basic wage rates. Fringe benefits may include health insurance, vision and/or dental insurance, paid holidays, pension, or items such as uniforms, or a company car.

Q: We pay HHAs/PCAs bereavement, jury duty, overtime, Paid Time Off (PTO), holidays, travel time, annual medical exam time, in service/special training time etc. Are these considered fringe benefits?

A: Yes. These items can be included as fringe benefits on forms ALP3 Cost Form and the ALP4 Staff and Wages Form.

Section 3605-B Registration of Licensed Home Care Services Agencies

1. (a) Notwithstanding any provision of law to the contrary, no Licensed Home Care Services Agency (LHCSA) licensed pursuant to section thirty-six hundred five of this article shall be operated, provide nursing services, home health aide services, or personal care services, or receive reimbursement from any source for the provision of such services during any period of time on or after January first, two thousand nineteen, unless it has registered with the commissioner in a manner prescribed by the department.

(b) A LHCSA that fails to submit a complete and accurate set of all required registration materials by the deadline established by the commissioner shall be required to pay a fee of five hundred dollars for each month or part thereof that the LHCSA is in default. A LHCSA that failed to register in the prior year by the deadline of the current year shall not be permitted to register for the upcoming registration period unless it submits any unpaid late fees.

(c) The department shall post on its public website a list of all LHCSAs, which shall indicate the current registration status of each LHCSA.

(d) The department shall institute proceedings to revoke the license of any LHCSA that fails to register for two annual registration periods, whether or not such periods are consecutive. The department shall have the discretion to pursue revocation of the license of a LHCSA on grounds that it evidences a pattern of late registration over the course of multiple years.