Florida Senate - 1998

CS for SB 1960

 $\mathbf{B}\mathbf{y}$ the Committee on Children, Families and Seniors and Senator Rossin

	300-2014B-98
1	A bill to be entitled
2	An act relating to assisted living facilities
3	and adult family-care homes; amending s.
4	400.402, F.S.; revising definitions; amending
5	s. 400.404, F.S.; providing additional
6	exemptions from licensure as an assisted living
7	facility; amending ss. 400.407, 400.408, F.S.;
8	reorganizing and revising provisions relating
9	to unlawful facilities; providing penalties;
10	requiring report of unlicensed facilities;
11	providing for disciplinary actions; revising
12	provisions relating to referral to unlicensed
13	facilities; providing for certain notice to
14	service providers; amending s. 400.411, F.S.;
15	revising requirements for an initial
16	application for license; providing for a fee;
17	amending s. 400.414, F.S.; revising authority
18	and grounds for denial, revocation, or
19	suspension of licenses or imposition of
20	administrative fines; specifying terms for
21	review of proceedings challenging
22	administrative actions; amending s. 400.415,
23	F.S.; requiring a facility to post notice of a
24	moratorium on admissions; providing for rules
25	establishing grounds for imposition of a
26	moratorium; amending s. 400.417, F.S.;
27	providing for coordinated expiration of a
28	facility's license; revising requirements for
29	license renewal; providing for rules; amending
30	s. 400.4174, F.S.; amending an outdated
31	reference to child abuse or neglect; amending
	1

1	s. 400.4176, F.S.; revising time requirement
2	for notice of change of administrator; amending
3	ss. 400.418, 400.422, 400.452, 408.036, F.S.,
4	relating to the disposition of fees and fines,
5	receivership proceedings, staff training and
6	education, and the review of certain projects;
7	conforming cross-references to changes made by
8	the act; amending s. 400.419, F.S.; revising
9	procedures relating to violations and
10	penalties; increasing administrative fines for
11	specified classes of violations; providing
12	fines for unlicensed operation of a facility
13	and for failure to apply for a change of
14	ownership license; authorizing a survey fee to
15	cover the cost of certain complaint
16	investigations; providing for corrective action
17	plans to correct violations; expanding
18	dissemination of information regarding
19	facilities sanctioned or fined; amending s.
20	400.4195, F.S., relating to prohibitions and
21	rebates; creating s. 400.4256, F.S., relating
22	to assistance with the self-administration of
23	medication; amending s. 400.428, F.S.;
24	providing for surveys to determine compliance
25	with facility standards and residents' rights;
26	amending s. 400.474, F.S.; providing for
27	disciplinary action against a home health
28	agency or employee who knowingly provides
29	services in an unlicensed assisted living
30	facility or adult family-care home; amending s.
31	400.618, F.S.; revising the definition of the
	2

2

1 term "adult-family care home"; amending s. 2 394.4574, F.S.; requiring district 3 administrators of the Department of Children 4 and Family Services to develop plans to ensure 5 the provision of mental health and substance б abuse treatment services to residents of 7 assisted living facilities that hold a limited mental health license; providing an effective 8 9 date. 10 11 Be It Enacted by the Legislature of the State of Florida: 12 Section 400.402, Florida Statutes, is 13 Section 1. amended to read: 14 15 400.402 Definitions.--When used in this part, unless the context otherwise requires, the term: 16 "Activities of daily living" means functions and 17 (1)18 tasks for self-care, including ambulation, bathing, dressing, 19 eating, grooming, and toileting, and other similar tasks. "Administrator" means an individual at least 21 20 (2) years of age who is responsible for the operation and 21 22 maintenance who has general administrative charge of an 23 assisted living facility. 24 (3) "Assisted living facility," hereinafter referred 25 to as "facility," means any building or buildings, section of a building, or distinct part of a building, residence, private 26 27 home, boarding home, home for the aged, or other place, 28 whether operated for profit or not, which undertakes through 29 its ownership or management to provide, for a period exceeding 24 hours, housing, food service, and one or more personal 30 31 services for four or more adults, not related to the owner or 3

Florida Senate - 1998 300-2014B-98

1 administrator by blood or marriage, who require such services; 2 or to provide extended congregate care, limited nursing 3 services, or limited mental health services, when specifically 4 licensed to do so pursuant to s. 400.407, unless the facility 5 is licensed as an adult family-care home. A facility offering б personal services, extended congregate care, limited nursing 7 services, or limited mental health services for fewer than 8 four adults is within the meaning of this definition if it 9 formally or informally advertises to or solicits the public 10 for residents or referrals and holds itself out to the public 11 to be an establishment which regularly provides such services, unless the facility is licensed as an adult family-care home. 12 13 (3) (4) "Agency" means the Agency for Health Care 14 Administration. (4) (4) (5) "Aging in place" or "age in place" means the 15 process of providing increased or adjusted services to a 16 17 person to compensate for by which a person chooses to remain 18 in a residential environment despite the physical or mental 19 decline that may occur with the aging process, in order to 20 maximize. For aging in place to occur, needed services are 21 added, increased, or adjusted to compensate for the physical or mental decline of the individual, while maximizing the 22 person's dignity and independence and permit them to remain in 23 24 a familiar, noninstitutional, residential environment for as 25 long as possible. Such services may be provided by facility staff, volunteers, family, or friends, or through contractual 26 27 arrangements with a third party. 28 (5)(6) "Applicant" means an individual owner, 29 corporation, partnership, firm, association, or governmental 30 entity that applies any facility owner, or if a business 31

4

1 entity, a person appointed by such entity to make application for a license. 2 3 (7) "Assistance with activities of daily living" means direct physical assistance with activities of daily living as 4 5 defined in subsection (1). б (6) "Assisted living facility" means any building or 7 buildings, section or distinct part of a building, private 8 home, boarding home, home for the aged, or other residential 9 facility, whether operated for profit or not, which undertakes 10 through its ownership or management to provide housing, meals, 11 and one or more personal services for a period exceeding 24 hours to one or more adults who are not relatives of the owner 12 13 or administrator. (7)(8) "Chemical restraint" means a pharmacologic drug 14 15 that physically limits, restricts, or deprives an individual of movement or mobility, and is used for discipline or 16 17 convenience and not required for the treatment of medical 18 symptoms. 19 (8)(9) "Community living support plan" means a written 20 document prepared by a mental health resident and the 21 resident's mental health case manager of that resident in consultation with the administrator of an assisted living the 22 facility with a limited mental health license or the 23 24 administrator's designee. A copy must be provided to the administrator. The plan must include information about the 25 supports, services, and special needs of the resident which 26 27 enable the resident to live in the assisted living facility and a method by which facility staff can recognize and respond 28 29 to the signs and symptoms particular to that resident which 30 indicate the need for professional services. 31

5

1	(9) (10) "Cooperative agreement" means a written
2	statement of understanding between a mental health care
3	services provider and the administrator of the assisted living
4	facility with a limited mental health license in which a
5	mental health resident is living. The agreement must specify
6	specifies directions for accessing emergency and after-hours
7	care for the mental health resident and a method by which the
8	staff of the facility can recognize and respond to the signs
9	and symptoms particular to that mental health resident that
10	indicate the need for professional services. The cooperative
11	agreement may be a component of the community living support
12	plan.A single cooperative agreement may service all mental
13	health residents who are clients of the same mental health
14	care provider.
15	(10)(11) "Department" means the Department of Elderly
16	Affairs.
17	(11)(12) "Emergency" means a situation, physical
18	condition, or method of operation which presents imminent
19	danger of death or serious physical or mental harm to facility
20	residents.
21	(12) (13) "Extended congregate care" means acts beyond
22	those authorized in subsection (17) (16) that may be performed
23	pursuant to chapter 464 by persons licensed thereunder while
24	carrying out their professional duties, and other supportive
25	services which may be specified by rule. The purpose of such
26	services is to enable residents to age in place in a
27	residential environment despite mental or physical limitations
28	that might otherwise disqualify them from residency in a
29	facility licensed under this part.
30	(13) (14) "Guardian" means a person to whom the law has
31	entrusted the custody and control of the person or property,
	6

Florida Senate - 1998 300-2014B-98

1 or both, of a person who has been legally adjudged 2 incapacitated. 3 (14)(15) "Limited nursing services" means acts that 4 may be performed pursuant to chapter 464 by persons licensed 5 thereunder while carrying out their professional duties but б limited to those acts which the department specifies by rule. 7 Acts which may be specified by rule as allowable limited nursing services shall be for persons who meet the admission 8 9 criteria established by the department for assisted living 10 facilities and shall not be complex enough to require 24-hour 11 nursing supervision and may include such services as the application and care of routine dressings, and care of casts, 12 13 braces, and splints. 14 (15)(16) "Managed risk" means the process by which the 15 facility staff discuss the service plan and the needs of the resident with the resident and, if applicable, the resident's 16 17 representative or designee or the resident's surrogate, guardian, or attorney in fact, in such a way that the 18 19 consequences of a decision, including any inherent risk, are 20 explained to all parties and reviewed periodically in conjunction with the service plan, taking into account changes 21 22 in the resident's status and the ability of the facility to respond accordingly. 23 24 (16)(17) "Mental health resident" means an individual 25 who receives social security disability income due to a mental disorder as determined by the Social Security Administration 26 or receives supplemental security income due to a mental 27 28 disorder as determined by the Social Security Administration 29 and receives optional state supplementation. (17)(18) "Personal services" means direct physical 30 31 include, but are not limited to, such services as: individual 7

1 assistance with or supervision of the essential activities of 2 daily living and the self-administration of medication as 3 defined in subsection (1), and other similar services which 4 the department may define by rule. "Personal services" shall 5 not be construed to mean the provision of medical, nursing, б dental, or mental health services by the staff of a facility, 7 except as provided in this part. In addition, an emergency 8 response device installed in the apartment or living area of a 9 resident shall not be classified as a personal service. 10 (18)(19) "Physical restraint" means a device which 11 physically limits, restricts, or deprives an individual of movement or mobility, including, but not limited to, a 12 half-bed rail, a full-bed rail, a geriatric chair, and a posey 13 restraint. The term "physical restraint" shall also include 14 any device which was not specifically manufactured as a 15 restraint but which has been altered, arranged, or otherwise 16 17 used for this purpose. The term shall not include bandage material used for the purpose of binding a wound or injury. 18 19 (19) "Relative" means an individual who is the father, mother, stepfather, stepmother, son, daughter, brother, 20 21 sister, grandmother, grandfather, great-grandmother, great-grandfather, grandson, granddaughter, uncle, aunt, first 22 cousin, nephew, niece, husband, wife, father-in-law, 23 24 mother-in-law, son-in-law, daughter-in-law, brother-in-law, 25 sister-in-law, stepson, stepdaughter, stepbrother, stepsister, half-brother, or half-sister of an owner or administrator. 26 27 (20) "Resident" means a person 18 years of age or 28 older, residing in and receiving care from a facility. 29 (21) "Resident's representative or designee" means a 30 person other than the owner, or an agent or employee of the 31 facility, designated in writing by the resident, if legally 8

1 competent, to receive notice of changes in the contract 2 executed pursuant to s. 400.424; to receive notice of and to 3 participate in meetings between the resident and the facility 4 owner, administrator, or staff concerning the rights of the 5 resident; to assist the resident in contacting the ombudsman б council if the resident has a complaint against the facility; 7 or to bring legal action on behalf of the resident pursuant to 8 s. 400.429.

9 (22) "Service plan" means a written plan, developed 10 and agreed upon by the resident and, if applicable, the 11 resident's representative or designee or the resident's surrogate, guardian, or attorney in fact, if any, and the 12 13 administrator or designee representing the facility, which 14 addresses the unique physical and psychosocial needs, abilities, and personal preferences of each resident receiving 15 extended congregate care services. The plan shall include a 16 brief written description, in easily understood language, of 17 what services shall be provided, who shall provide the 18 19 services, when the services shall be rendered, and the purposes and benefits of the services. 20

"Shared responsibility" means exploring the 21 (23) options available to a resident within a facility and the 22 risks involved with each option when making decisions 23 24 pertaining to the resident's abilities, preferences, and 25 service needs, thereby enabling the resident and, if applicable, the resident's representative or designee, or the 26 resident's surrogate, quardian, or attorney in fact, and the 27 28 facility to develop a service plan which best meets the 29 resident's needs and seeks to improve the resident's quality 30 of life.

31

9

1	(24) "Supervision of activities of daily living " means
2	reminding residents to engage in activities of daily living
3	and the self-administration of medication, and, when
4	necessary, observing or providing verbal cuing to residents
5	while they perform these activities.
6	(25) "Supervision of self-administered medication"
7	means reminding residents to take medication, opening bottle
8	caps for residents, opening prepackaged medication for
9	residents, reading the medication label to residents,
10	observing residents while they take medication, checking the
11	self-administered dosage against the label of the container,
12	reassuring residents that they have obtained and are taking
13	the dosage as prescribed, keeping daily records of when
14	residents receive supervision pursuant to this subsection, and
15	immediately reporting noticeable changes in the condition of a
16	resident to the resident's physician and the resident's case
17	manager, if one exists. Residents who are capable of
18	administering their own medication shall be allowed to do so.
19	<u>(25)(26) "Supplemental security income," Title XVI of</u>
20	the Social Security Act, means a program through which the
21	Federal Government guarantees a minimum monthly income to
22	every person who is age 65 or older, or disabled, or blind and
23	meets the income and asset requirements.
24	(26) (27) "Supportive services" means services designed
25	to encourage and assist aged persons or adults with
26	disabilities to remain in the least restrictive living
27	environment and to maintain their independence as long as
28	possible.
29	(27) (28) "Twenty-four-hour nursing supervision" means
30	services that are ordered by a physician for a resident whose
31	condition requires the supervision of a physician and
	10

1 continued monitoring of vital signs and physical status. Such 2 services shall be: medically complex enough to require 3 constant supervision, assessment, planning, or intervention by 4 a nurse; required to be performed by or under the direct 5 supervision of licensed nursing personnel or other 6 professional personnel for safe and effective performance; 7 required on a daily basis; and consistent with the nature and 8 severity of the resident's condition or the disease state or 9 stage. 10 Section 2. Subsection (2) of section 400.404, Florida 11 Statutes, is amended to read: 400.404 Facilities to be licensed; exemptions .--12 13 The following are exempt from licensure under this (2) part: 14 15 Any facility, institution, or other place operated (a) 16 by the Federal Government or any agency of the Federal 17 Government. (b) Any facility or part of a facility licensed under 18 19 chapter 393 or chapter 394. 20 (c) Any facility licensed as an adult family-care home under part VII. 21 22 (d) Any person who provides housing, meals, and one or more personal services on a 24-hour basis in the person's own 23 24 home to not more than two adults who do not receive optional 25 state supplementation. The person who provides the housing, meals, and personal services must own or rent the home and 26 reside therein. 27 28 (e)(c) Any home or facility approved by the United 29 States Department of Veterans Affairs as a residential care home wherein care is provided exclusively to three or fewer 30 31 veterans.

1 (f) (d) Any facility that has been incorporated in this 2 state for 50 years or more on or before July 1, 1983, and the 3 board of directors of which is nominated or elected by the residents, until the facility is sold or its ownership is 4 5 transferred; or any facility, with improvements or additions б thereto, which has existed and operated continuously in this 7 state for 60 years or more on or before July 1, 1989, is directly or indirectly owned and operated by a nationally 8 recognized fraternal organization, is not open to the public, 9 10 and accepts only its own members and their spouses as 11 residents. (g)(e) Any facility certified under chapter 651, or a 12 13 retirement community, may provide services authorized under this part or part IV of this chapter to its residents who live 14 in single-family homes, duplexes, quadruplexes, or apartments 15 located on the campus without obtaining a license to operate 16 17 an assisted living facility if residential units within such buildings are used by residents who do not require staff 18 19 supervision for that portion of the day when personal services 20 are not being delivered and the owner obtains a home health license to provide such services. However, any building or 21 22 distinct part of a building on the campus that is designated for persons who receive personal services and require 23 24 supervision beyond that which is available while such services are being rendered must be licensed in accordance with this 25 part. If a facility provides personal services to residents 26 who do not otherwise require supervision and the owner is not 27 28 licensed as a home health agency, the buildings or distinct parts of buildings where such services are rendered must be 29 licensed under this part. A resident of a facility that 30 31 obtains a home health license may contract with a home health 12

1 agency of his or her choice, provided that the home health 2 agency provides liability insurance and workers' compensation 3 coverage for its employees. Facilities covered by this exemption may establish policies that give residents the 4 5 option of contracting for services and care beyond that which б is provided by the facility to enable them to age in place. 7 For purposes of this section, a retirement community consists 8 of a facility licensed under this part or under part II, and 9 apartments designed for independent living located on the same 10 campus. 11 Section 3. Subsection (1) of section 400.407, Florida Statutes, is amended to read: 12 400.407 License required; fee, display .--13 14 (1) (1) (a) A license issued by the agency is required for an assisted living facility operating in this state. It is 15 16 unlawful to operate or maintain a facility without first 17 obtaining from the agency a license authorizing such 18 operation. 19 (b)1. Any person found guilty of violating paragraph (a) who, upon notification by the agency, fails, within 10 20 working days after receiving such notification, to apply for a 21 22 license commits a felony of the third degree, punishable as provided in s. 775.082, s. 775.083, or s. 775.084. 23 24 2. Any person found to be in violation of paragraph 25 (a) due to a change in s. 400.402(3), (18), (24), or (25) or a modification in department policy pertaining to personal 26 27 services as provided for in s. 400.402 and who, upon 28 notification by the agency, fails, within 10 working days 29 after receiving such notification, to apply for a license 30 commits a felony of the third degree, punishable as provided 31 in s. 775.082, s. 775.083, or s. 775.084.

13

Florida Senate - 1998 300-2014B-98

1	
1	3. Except as provided for in subparagraph 2., any
2	person who violates paragraph (a) who previously operated a
3	licensed facility or concurrently operates a licensed facility
4	and an unlicensed facility commits a felony of the third
5	degree, punishable as provided in s. 775.082, s. 775.083, or
6	s. 775.084.
7	4. Any person who fails to obtain a license after
8	agency notification may be fined for each day of noncompliance
9	pursuant to s. 400.419(1)(b).
10	5. When an owner has an interest in more than one
11	facility, and fails to license any one of these facilities,
12	the agency may revoke the license or impose a moratorium on
13	any or all of the licensed facilities until such time as the
14	delinquent facility is licensed.
15	6. If the agency determines that an owner is operating
16	or maintaining a facility without obtaining a license
17	authorizing such operation and determines that a condition
18	exists in the facility that poses a threat to the health,
19	safety, or welfare of a resident of the facility, the owner
20	commits neglect as defined in s. 415.102 and is subject to the
21	same actions and penalties specified in ss. 400.414 and
22	400.419 for a negligent act seriously affecting the health,
23	safety, or welfare of a resident of the facility.
24	Section 4. Section 400.408, Florida Statutes, is
25	amended to read:
26	400.408 Unlicensed facilities; referral of person for
27	residency to unlicensed facility; <u>penalties</u> penalty ;
28	verification of licensure status
29	(1)(a) It is unlawful to own, operate, or maintain an
30	assisted living facility without obtaining a license under
31	this part.
	14

1	(b) Except as provided under paragraph (d), any person
2	who owns, operates, or maintains an unlicensed assisted living
3	facility commits a felony of the third degree, punishable as
4	provided in s. 775.082, s. 775.083, or s. 775.084. Application
5	for licensure within 10 working days after notification shall
6	be an affirmative defense to this felony violation.
7	(c) Any person found guilty of violating paragraph (a)
8	a second or subsequent time, commits a felony of the second
9	degree, punishable as provided under s. 775.082, s. 775.083,
10	<u>or s. 775.084.</u>
11	(d) Any person who owns, operates, or maintains an
12	unlicensed assisted living facility due to a change in this
13	part or a modification in department rule within 6 months
14	after the effective date of such change and who, within 10
15	working days after receiving notification from the agency,
16	fails to cease operation or apply for a license under this
17	part commits a felony of the third degree, punishable as
18	provided in s. 775.082, s. 775.083, or s. 775.084.
19	(e) Pursuant to this subsection, any facility that
20	fails to apply for a license or cease operation after agency
21	notification may be fined for each day of noncompliance
22	pursuant to s. 400.419.
23	(f) When a licensee has an interest in more than one
24	assisted living facility, and fails to license any one of
25	these facilities, the agency may revoke the license or impose
26	a moratorium on any or all of the licensed facilities until
27	such time as the unlicensed facility applies for licensure or
28	ceases operation.
29	(g) If the agency determines that an owner is
30	operating or maintaining an assisted living facility without
31	obtaining a license and determines that a condition exists in
	15

1 the facility that poses a threat to the health, safety, or welfare of a resident of the facility, the owner is subject to 2 3 the same actions and fines imposed against a licensed facility as specified in ss. 400.414 and 400.419. 4 5 Any person aware of the operation of an unlicensed (h) б assisted living facility must report that facility to the 7 agency. The agency shall provide to the department and to 8 elder information and referral providers a list, by county, of licensed assisted living facilities, to assist persons who are 9 10 considering an assisted living facility placement in locating 11 a licensed facility. (2) (1) It is unlawful to knowingly refer a person for 12 residency to an unlicensed facility that provides services 13 that may only be provided by an assisted living facility; to 14 an assisted living facility the license of which is under 15 denial or has been suspended or revoked; or to an assisted 16 17 living $\frac{1}{2}$ facility that has a moratorium on admissions. Any 18 person who violates this subsection commits is guilty of a 19 noncriminal violation, punishable by a fine not exceeding \$500 as provided in s. 775.083. 20 21 (a) Any employee of the agency or department, or the Department of Children and Family Health and Rehabilitative 22 Services, who knowingly refers a person for residency to an 23 24 unlicensed facility; to a facility the license of which is under denial or has been suspended or revoked; or to a 25 facility that has a moratorium on admissions is subject to 26 27 disciplinary action by the agency or department, or the 28 Department of Children and Family Health and Rehabilitative 29 Services.

30 (b) The employer of any person who is under contract 31 with the agency or department, or the Department of <u>Children</u>

16

1 <u>and Family</u> Health and Rehabilitative Services, and who 2 knowingly refers a person for residency to an unlicensed 3 facility; to a facility the license of which is under denial 4 or has been suspended or revoked; or to a facility that has a 5 moratorium on admissions shall be fined and required to 6 prepare a corrective action plan designed to prevent such 7 referrals.

8 (c)(2) The agency shall provide the department and the 9 Department of <u>Children and Family Health and Rehabilitative</u> 10 Services with a list of licensed facilities within each county 11 and shall update the list at least quarterly monthly.

(d) (d) (3) At least annually, the agency shall notify, in 12 appropriate trade publications as defined by rule, physicians 13 14 licensed under chapter 458 or chapter 459 pursuant to chapter 458, osteopathic physicians licensed pursuant to chapter 459, 15 hospitals licensed under pursuant to part I of chapter 395, 16 and nursing home facilities licensed under pursuant to part II 17 18 of this chapter, and employees of the agency or the 19 department, or the Department of Children and Family Health 20 and Rehabilitative Services, who are responsible having a responsibility for referring persons for residency, that it is 21 unlawful to knowingly refer a person for residency to an 22 unlicensed assisted living facility and shall notify them of 23 24 the penalty for violating such prohibition. The department and the Department of Children and Family Services shall, in turn, 25 notify service providers under contract to the respective 26 27 departments who have responsibility for resident referrals to 28 facilities.Further, the notice must direct each noticed 29 facility and individual to contact the appropriate agency office in order to verify the licensure status of any facility 30 31 prior to referring any person for residency. Each notice must 17

Florida Senate - 1998 300-2014B-98

1 include the name, telephone number, and mailing address of the 2 appropriate office to contact. 3 Section 5. Section 400.411, Florida Statutes, is amended to read: 4 5 400.411 Initial application for license; provisional 6 license.--7 (1) Application for license shall be made to the 8 agency on forms furnished by it and shall be accompanied by 9 the appropriate license fee. The application shall contain 10 sufficient information, as required by rules of the 11 department, to establish that the applicant can provide 12 adequate care. 13 (2) The applicant may be an individual owner, 14 corporation, partnership, firm, association, or governmental 15 entity. (3) (2) The application shall be signed by the 16 17 applicant under oath and shall contain the following: (a) The name, address, date of birth, and social 18 19 security number of the applicant and the name by which the facility is to be known. Pursuant thereto: 20 1. If the applicant is a firm, partnership, or 21 association, the application shall contain the name, address, 22 date of birth, and social security number of every member 23 thereof. 24 25 2. If the applicant is a corporation, the application shall contain the corporation's its name and address, the 26 name, address, date of birth, and social security number of 27 each of its directors and officers, and the name and address 28 29 of each person having at least a 5-percent ownership 10-percent interest in the corporation. 30 31 18

-	
1	(b) The name and address of any professional service,
2	firm, association, partnership, or corporation that is to
3	provide goods, leases, or services to the facility for which
4	the application is made, if a <u>5-percent</u> 10-percent or greater
5	interest in the service, firm, association, partnership, or
6	corporation is owned by a person whose name must be listed on
7	the application under paragraph (a).
8	(c) Information <u>sufficient</u> that provides a source to
9	establish the suitable character, financial stability, and
10	competency of the applicant and of each person specified in
11	the application under subparagraph (a) 1. or subparagraph (a) 2.
12	who has at least a 10-percent interest in the firm,
13	partnership, association, or corporation and, if <u>different</u>
14	from the applicant, applicable, of the administrator, and
15	financial officer.including
16	(d) The name and address of any long-term care
17	facility with which the applicant <u>,</u> or administrator <u>, or</u>
18	financial officer has been affiliated through ownership or
19	employment within 5 years of the date of this license the
20	application for a license; and a signed affidavit disclosing
21	any financial or ownership interest that the applicant, or any
22	<u>person listed in paragraph (a)principal, partner, or</u>
23	shareholder thereof , holds or has held within the last 5 years
24	in any other facility licensed under this part, or in any
25	other entity licensed by <u>this</u> the state or another state to
26	provide health or residential care, which facility or entity
27	closed or ceased to operate as a result of financial problems,
28	or has had a receiver appointed or a license denied, suspended
29	or revoked, or was subject to a moratorium on admissions, or
30	had an injunctive proceeding initiated against it.
31	

19

Florida Senate - 1998 300-2014B-98

1 (e)(d) The names and addresses of other persons of 2 whom the agency may inquire as to the character, and 3 reputation, and financial responsibility of the owner and, if different from the applicant, the administrator and financial 4 5 officer applicant and, if applicable, of the administrator. б (e) The names and addresses of other persons of whom 7 the agency may inquire as to the financial responsibility of 8 the applicant. (f) Identification of all other homes or facilities, 9 10 including the addresses and the license or licenses under 11 which they operate, if applicable, which are currently operated by the applicant or administrator and which provide 12 housing, meals, and personal services to residents adults. 13 14 (g) Such other reasonable information as may be 15 required by the agency to evaluate the ability of the 16 applicant to meet the responsibilities entailed under this 17 part. (g)(h) The location of the facility for which a 18 19 license is sought and documentation, signed by the appropriate local government official, which states that the applicant has 20 21 met local zoning requirements. (h)(i) The name, address, date of birth, social 22 security number, education, and experience of the 23 24 administrator if different from the applicant. 25 (4) (4) (3) The applicant shall furnish satisfactory proof 26 of financial ability to operate and conduct the facility in 27 accordance with the requirements of this part. A certificate of authority, pursuant to chapter 651, may be provided as 28 29 proof of financial ability. An applicant applying for an initial license shall submit a balance sheet setting forth the 30 assets and liabilities of the owner and a statement projecting 31 20

1 revenues, expenses, taxes, extraordinary items, and other 2 credits or charges for the first 12 months of operation of the 3 facility. 4 (5) (4) If the applicant is a continuing care facility 5 certified under chapter 651, a copy of the facility's б certificate of authority must be provided offers continuing 7 care agreements, as defined in chapter 651, proof shall be 8 furnished that the applicant has obtained a certificate of authority as required for operation under that chapter. 9 10 (6)(5) The applicant shall provide proof of liability 11 insurance as defined in s. 624.605. (7) (7) (6) If the applicant is a community residential 12 home, the applicant must provide proof that it has met the 13 requirements specified in chapter 419 shall apply to community 14 residential homes zoned single-family or multifamily. 15 (8) (7) The applicant must provide the agency with 16 proof of legal right to occupy the property. This proof may 17 include, but is not limited to, copies of recorded warranty 18 19 deeds, or copies of lease or rental agreements, contracts for 20 deeds, quitclaim deeds, or other such documentation. 21 (9) (9) (8) The applicant must furnish proof that the facility has received a satisfactory firesafety inspection. 22 23 The local fire marshal or other authority having jurisdiction 24 or the State Fire Marshal must conduct the inspection within 30 days after the written request by the applicant. If an 25 authority having jurisdiction does not have a certified 26 27 firesafety inspector, the State Fire Marshal shall conduct the 28 inspection. 29 (10) The applicant must furnish documentation of a 30 satisfactory sanitation inspection of the facility by the 31 county health department.

21

_	
1	(11)(9) A provisional license may be issued to an
2	applicant making initial application for licensure or making
3	application for a change of ownership. A provisional license
4	shall be limited in duration to a specific period of time not
5	to exceed 6 months, as determined by the agency.
б	(12) (10) No county or municipality shall issue an
7	occupational license which is being obtained for the purpose
8	of operating a facility regulated under this part without
9	first ascertaining that the applicant has been licensed to
10	operate such facility at the specified location or locations
11	by the agency. The agency shall furnish to local agencies
12	responsible for issuing occupational licenses sufficient
13	instruction for making <u>such</u> the above-required determinations.
14	Section 6. Section 400.414, Florida Statutes, is
15	amended to read:
16	400.414 Denial, revocation, or suspension of license;
17	imposition of administrative fine; grounds
18	(1) The agency may deny, revoke, or suspend <u>any</u> a
19	license issued under this part or impose an administrative
20	fine in the manner provided in chapter 120. At the chapter 120
21	hearing, the agency shall prove by a preponderance of the
22	evidence that its actions are warranted.
23	(2) Any of the following actions by an assisted living
24	facility or any facility employee a facility or its employee
25	shall be grounds for action by the agency against a licensee:
26	(a) An intentional or negligent act seriously
27	affecting the health, safety, or welfare of a resident of the
28	facility.
29	(b) The determination by the agency that the facility
30	owner <u>,or administrator, or financial officer</u> is not of
31	suitable character or competency, or that the owner lacks the
	22
COD	ING:Words stricken are deletions; words underlined are additions.

Florida Senate - 1998 300-2014B-98

1 financial ability, to provide continuing adequate care to 2 residents, pursuant to the information obtained through s. 3 400.411, s. 400.417, or s. 400.434. (c) Misappropriation or conversion of the property of 4 5 a resident of the facility. 6 (d) Failure to follow the criteria and procedures 7 provided under part I of chapter 394 relating to the 8 transportation, voluntary admission, and involuntary 9 examination of a facility resident. 10 (e) One or more class I, three or more class II, or 11 five or more repeated or recurring identical or similar class III violations of this part which were identified by the 12 agency within the last 2 years during the last biennial 13 14 inspection, monitoring visit, or complaint investigation and which, in the aggregate, affect the health, safety, or welfare 15 of the facility residents. 16 17 (f) A confirmed report of adult abuse, neglect, or exploitation, as defined in s. 415.102, which has been upheld 18 19 following a chapter 120 hearing or a waiver of such 20 proceedings where the perpetrator is an employee, volunteer, 21 administrator, or owner, or otherwise has access to the residents of a facility, and the owner or administrator has 22 not taken action to remove the perpetrator. Exemptions from 23 24 disqualification may be granted as set forth in s. 435.07. No 25 administrative action may be taken against the facility if the perpetrator is granted an exemption. 26 27 (q) Violation of a moratorium. 28 Failure of the license applicant, the licensee (h) 29 during relicensure, or failure of a licensee that holds a 30 provisional an initial or change of ownership license, to meet 31 the minimum license standards or the requirements of rules 23

Florida Senate - 1998 300-2014B-98

1 adopted under this part, or related rules, at the time of license application or renewal. 2 3 (i) A fraudulent statement or omission of any material fact on an application for a license or any other document 4 5 required by the agency that is signed and notarized. б (j) An intentional or negligent life-threatening act 7 in violation of the uniform firesafety standards for assisted 8 living facilities or other firesafety standards established by 9 the State Fire Marshal, that threatens the health, safety, or 10 welfare of a resident of a facility, as communicated to the 11 agency by the local State Fire Marshal, a local fire marshal, or other authority having jurisdiction or the State Fire 12 13 Marshal. 14 (k) Knowingly operating any unlicensed facility or 15 providing without a license any service that must be licensed 16 under this chapter. 17 Administrative proceedings challenging agency action under 18 19 this subsection shall be reviewed on the basis of the facts and conditions that resulted in the agency action. 20 21 (3) Proceedings brought under paragraphs (2)(a), (c), (e), and (j) shall not be subject to de novo review. 22 23 (2)(4) Upon notification by the local State Fire 24 Marshal, local fire marshal, or other authority having 25 jurisdiction or the State Fire Marshal, the agency may deny or revoke the license of an assisted living a facility that fails 26 to correct cited fire code violations issued by the State Fire 27 28 Marshal, a local fire marshal, or other authority having 29 jurisdiction, that affect or threaten the health, safety, or 30 welfare of a resident of a facility. 31

24

1	(3) The agency may deny a license to any applicant or
2	to any officer or board member of an applicant who is a firm,
3	corporation, partnership, or association or who owns 5 percent
4	or more of the facility, if the applicant, officer, or board
5	member has or had a 25 percent or greater financial or
6	ownership interest in any other facility licensed under this
7	part, or in any entity licensed by this state or another state
8	to provide health or residential care, which facility or
9	entity during the 5 years prior to the application for a
10	license closed due to financial inability to operate; had a
11	receiver appointed or a license denied, suspended, or revoked;
12	was subject to a moratorium on admissions; had an injunctive
13	proceeding initiated against it; or has an outstanding fine
14	assessed under this chapter.
15	(4) The agency shall deny or revoke the license of an
16	assisted living facility that has two or more class I
17	violations that are similar or identical to violations
18	identified by the agency during a survey, inspection,
19	monitoring visit, or complaint investigation occurring within
20	the previous 2 years.
21	(5) The agency may deny a license to an applicant who
22	owns 25 percent or more of, or operates, a facility which,
23	during the 5 years prior to the application for a license, has
24	had a license denied, suspended, or revoked pursuant to
25	subsection (2), or, during the 2 years prior to the
26	application for a license, has had a moratorium imposed on
27	admissions, has had an injunctive proceeding initiated against
28	it, has had a receiver appointed, was closed due to financial
29	inability to operate, or has an outstanding fine assessed
30	under this part.
31	

1 (5) (6) An action taken by the agency to suspend, deny, 2 or revoke a facility's license under this part, in which the 3 agency claims that the facility owner or an employee of the facility has threatened the health, safety, or welfare of a 4 5 resident of the facility, shall, upon receipt of the б facility's request for a hearing, be heard by the Division of 7 Administrative Hearings of the Department of Management Services within 120 days after the request for a hearing, 8 9 unless that time period is waived by both parties. The 10 administrative law judge must render a decision within 30 days 11 after the hearing after receipt of a proposed recommended 12 order. 13 (6) (7) The agency shall provide to the Division of 14 Hotels and Restaurants of the Department of Business and 15 Professional Regulation, on a monthly basis, a list of those assisted living facilities which have had their licenses 16 17 denied, suspended, or revoked or which are involved in an appellate proceeding pursuant to s. 120.60 related to the 18 19 denial, suspension, or revocation of a license. (7) Agency notification of license suspension, 20 revocation, or denial of a license renewal shall be posted and 21 22 visible to the public at the facility. Section 7. Section 400.415, Florida Statutes, is 23 24 amended to read: 25 400.415 Moratorium on admissions; notice.--The agency may impose an immediate moratorium on admissions to any 26 27 assisted living facility if when the agency determines that 28 any condition in the facility presents a threat to the health, 29 safety, or welfare of the residents in the facility. (1) A facility the license of which is denied, 30 31 revoked, or suspended pursuant to as a result of a violation 26

of s. 400.414 may be subject to immediate imposition of a 1 2 moratorium on admissions to run concurrently with licensure 3 denial, revocation, or suspension. 4 (2) When a moratorium is placed on a facility, notice 5 of the moratorium shall be posted and visible to the public at б the facility until the moratorium is lifted. 7 The department may by rule establish conditions (3) 8 that constitute grounds for imposing a moratorium on a 9 facility and procedures for imposing and lifting a moratorium, 10 as necessary to administer this section. 11 Section 8. Section 400.417, Florida Statutes, is amended to read: 12 13 400.417 Expiration of license; renewal; conditional 14 license.--15 (1) Biennial licenses issued for the operation of a facility, unless sooner suspended or revoked, shall expire 16 17 automatically 2 years from the date of issuance. Limited nursing, extended congregate care, and limited mental health 18 19 licenses shall expire at the same time as the facility's standard license, regardless of when issued. The agency shall 20 notify the facility by certified mail at least 120 days prior 21 to the expiration of the license that a renewal license 22 relicensure is necessary to continue operation. Ninety days 23 24 prior to the expiration date, an application for renewal shall 25 be submitted to the agency. Fees must be pro-rated.A license shall be renewed upon the filing of an application on forms 26 27 furnished by the agency if the applicant has first met the 28 requirements established under this part and all rules 29 promulgated under this part. The failure to file a timely renewal application shall result in a late fee charged to the 30 31 facility in an amount equal to 50 percent of the current fee 27

1 in effect on the last preceding regular renewal date. Late fees shall be deposited into the Health Care Trust Fund as 2 3 provided in s. 400.418. The facility shall file with the application satisfactory proof of ability to operate and 4 5 conduct the facility in accordance with the requirements of б this part. 7 (2) A license shall be renewed within 90 days upon the 8 timely filing of an application on forms furnished by the agency and the provision of satisfactory proof of ability to 9 10 operate and conduct the facility in accordance with the 11 requirements of this part and adopted rules, including An applicant for renewal of a license must furnish proof that the 12 facility has received a satisfactory firesafety inspection, 13 conducted by the local fire marshal or other authority having 14 jurisdiction or the State Fire Marshal, within the preceding 15 12 months. 16 17 (3) An applicant for renewal of a license who has complied on the initial license application with the 18 provisions of s. 400.411 with respect to proof of financial 19 20 ability to operate shall not be required to provide further 21 proof of financial ability on renewal applications unless the facility or any other facility owned or operated in whole or 22 in part by the same person or business entity has demonstrated 23 24 financial instability as provided under s. 400.447(2) 25 evidenced by bad checks, delinquent accounts, or nonpayment of withholding taxes, utility expenses, or other essential 26 27 services or unless the agency suspects that the facility is 28 not financially stable as a result of the annual survey or 29 complaints from the public or a report from the State 30 Long-Term Care Ombudsman Council. Each facility must shall 31 report to the agency any adverse court action concerning the

28

1 facility's financial viability, within 7 days after its 2 occurrence. The agency shall have access to books, records, 3 and any other financial documents maintained by the facility 4 to the extent necessary to determine the facility's financial 5 stability carry out the purpose of this section. A license 6 for the operation of a facility shall not be renewed if the 7 licensee has any outstanding fines assessed pursuant to this part which are in final order status. 8 9 (4) (4) (2) A licensee against whom a revocation or 10 suspension proceeding is pending at the time of license 11 renewal may be issued a conditional license effective until final disposition by the agency of such proceeding. If 12 13 judicial relief is sought from the final disposition, the court having jurisdiction may issue a conditional license for 14 the duration of the judicial proceeding. 15 (5) (3) A conditional license may be issued to an 16 17 applicant for license renewal if when the applicant fails to meet all standards and requirements for licensure. A 18 19 conditional license issued under this subsection shall be limited in duration to a specific period of time not to exceed 20 6 months, as determined by the agency, and shall be 21 accompanied by an agency-approved approved plan of correction. 22 (6) The department may by rule establish renewal 23 24 procedures, identify forms, and specify documentation 25 necessary to administer this section. Section 9. Section 400.4174, Florida Statutes, is 26 27 amended to read: 28 400.4174 Reports of abuse in facilities.--When an 29 employee, volunteer, administrator, or owner of a facility is the subject of has a confirmed report of adult abuse, neglect, 30 31 or exploitation, as defined in s. 415.102, or child abuse or 29

Florida Senate - 1998 300-2014B-98

1 neglect, as defined in s. 415.503, and the protective 2 investigator knows that the individual is an employee, 3 volunteer, administrator, or owner of a facility, the agency 4 shall be notified of the confirmed report. 5 Section 10. Section 400.4176, Florida Statutes, is б amended to read: 7 400.4176 Notice of change of administrator.--If, 8 during the period for which a license is issued, the owner 9 changes administrators, the owner must notify the agency of 10 the change within 10 45 days thereof and must provide 11 documentation within 90 days that the new administrator has completed the applicable core educational requirements under 12 13 s. 400.452. Background screening shall be completed on any new administrator to establish that the individual is of 14 15 suitable character as specified in s. 400.411 ss. 400.411(2)(c) and 400.456. 16 17 Section 11. Subsection (1) of section 400.418, Florida Statutes, is amended to read: 18 19 400.418 Disposition of fees and administrative 20 fines.--Income from license fees, inspection fees, late 21 (1)22 fees, and administrative fines generated pursuant to ss. 400.407, 400.408,400.417, 400.419, and 400.431 shall be 23 24 deposited in the Health Care Trust Fund administered by the 25 agency. Such funds shall be directed to and used by the agency for the following purposes: 26 27 (a) Up to 50 percent of the trust funds accrued each 28 fiscal year under this part may be used to offset the expenses 29 of receivership, pursuant to s. 400.422, if the court determines that the income and assets of the facility are 30 31 insufficient to provide for adequate management and operation. 30

1	(b) An amount of \$5,000 of the trust funds accrued
2	each year under this part shall be allocated to pay for
3	inspection-related physical and mental health examinations
4	requested by the agency pursuant to s. 400.426 for residents
5	who are either recipients of supplemental security income or
6	have monthly incomes not in excess of the maximum combined
7	federal and state cash subsidies available to supplemental
8	security income recipients, as provided for in s. 409.212.
9	Such funds shall only be used where the resident is ineligible
10	for Medicaid.
11	(c) Any trust funds accrued each year under this part
12	and not used for the purposes specified in paragraphs (a) and
13	(b) shall be used to offset the costs of the licensure
14	program, including the costs of conducting background
15	investigations, verifying information submitted, defraying the
16	costs of processing the names of applicants, and conducting
17	inspections and monitoring visits pursuant to this part.
18	Section 12. Section 400.419, Florida Statutes, is
19	amended to read:
20	400.419 Violations; <u>administrative fines</u> penalties
21	(1)(a) If the agency determines that a facility is not
22	in compliance with standards promulgated pursuant to the
23	provisions of this part, including the failure to report
24	evidence of the facility's financial instability or the
25	operation of a facility without a license, the agency, as an
26	alternative to or in conjunction with an administrative action
27	against a facility, shall make a reasonable attempt to discuss
28	each violation and recommended corrective action with the
29	owner or administrator of the facility, prior to written
30	notification thereof. The agency, instead of fixing a period
31	within which the facility shall enter into compliance with
	31

Florida Senate - 1998 300-2014B-98

1 standards, may request a plan of corrective action from the 2 facility which demonstrates a good faith effort to remedy each 3 violation by a specific date, subject to the approval of the 4 agency. 5 (b) Any facility owner or administrator found in 6 violation of this part, including any individual operating a 7 facility without a license, shall be subject to a fine, set 8 and levied by the agency. 9 (c) Each day during which any person violates any such 10 provision after the date fixed for termination of the 11 violation, as ordered by the agency, constitutes an additional, separate, and distinct violation. 12 (d) Any action taken to correct a violation shall be 13 documented in writing by the administrator of the facility and 14 verified through followup visits by licensing personnel of the 15 agency. The agency may impose a fine and, in the case of an 16 17 owner-operated facility, revoke a facility's license when a facility administrator fraudulently misrepresents action taken 18 19 to correct a violation. 20 (e) If a facility desires to appeal any agency action 21 under this section, it shall send a written request for a 22 hearing to the agency within 15 days of receipt by certified mail of notice of the action of the agency. If the fine is 23 24 upheld, the violator shall pay the fine, plus interest at the 25 legal rate as specified in s. 687.01, for each day beyond the date set by the agency for payment of the fine. 26 27 (2) In determining if a penalty is to be imposed and 28 in fixing the amount of the penalty to be imposed, if any, for 29 a violation, the agency shall consider the following factors: 30 (a) The gravity of the violation, including the 31 probability that death or serious physical or emotional harm 32

1 to a resident will result or has resulted, the severity of the 2 action or potential harm, and the extent to which the 3 provisions of the applicable statutes or rules were violated. 4 (b) Actions taken by the owner or administrator to 5 correct violations. б (c) Any previous violations. 7 (d) The financial benefit to the facility of 8 committing or continuing the violation. 9 (e) The licensed capacity of the facility. 10 (1) (1) (3) Each violation of this part and adopted rules 11 shall be classified according to the nature of the violation and the gravity of its probable effect on facility residents. 12 13 The agency shall indicate the classification of each violation on the written face of the notice of the violation as follows: 14 (a) Class "I" violations are those conditions or 15 occurrences related to the operation and maintenance of a 16 17 facility or to the personal care of residents which the agency determines present an imminent danger to the residents or 18 19 guests of the facility or a substantial probability that death 20 or serious physical or emotional harm would result therefrom. The condition or practice constituting a class I violation 21 shall be abated or eliminated within 24 hours, unless a fixed 22 period, as determined by the agency, is required for 23 24 correction. A class I violation is subject to an 25 administrative fine a civil penalty in an amount not less than \$1,000 and not exceeding\$10,000\$5,000 for each violation. 26 Α fine may be levied notwithstanding the correction of the 27 28 violation. 29 (b) Class "II" violations are those conditions or occurrences related to the operation and maintenance of a 30 31 facility or to the personal care of residents which the agency 33

1 determines directly threaten the physical or emotional health, 2 safety, or security of the facility residents, other than 3 class I violations. A class II violation is subject to an 4 administrative fine a civil penalty in an amount not less than 5 \$500 and not exceeding\$5,000\$1,000 for each violation. A б citation for a class II violation shall specify the time 7 within which the violation is required to be corrected. If a class II violation is corrected within the time specified, no 8 9 fine civil penalty may be imposed, unless it is a repeated 10 offense.

11 (c) Class "III" violations are those conditions or occurrences related to the operation and maintenance of a 12 13 facility or to the personal care of residents which the agency determines indirectly or potentially threaten the physical or 14 emotional health, safety, or security of facility residents, 15 other than class I or class II violations. A class III 16 17 violation is subject to an administrative fine a civil penalty of not less than \$100 and not exceeding $1,000 \pm 500$ for each 18 19 violation. A citation for a class III violation shall specify 20 the time within which the violation is required to be corrected. If a class III violation is corrected within the 21 22 time specified, no fine civil penalty may be imposed, unless 23 it is a repeated offense.

(d) Class "IV" violations are those conditions or
occurrences related to the operation and maintenance of a
building or to required reports, forms, or documents that do
not have the potential of negatively affecting residents.
These violations are of a type that the agency determines do
not threaten the health, safety, or security of residents of
the facility. A facility that does not correct a class IV
violation within the time limit specified in the

34

1 agency-approved corrective action plan is subject to an 2 administrative fine a civil penalty of not less than \$50 nor 3 more than \$200 for each violation. Any class IV violation 4 that is corrected during the time an agency survey is being 5 conducted will be identified as an agency finding and not as a б violation. 7 (2) (4) The agency may set and levy a fine not to 8 exceed\$1,000 $\frac{500}{500}$ for each violation which cannot be 9 classified according to subsection(1)(3). In no event may 10 Such fines fine in the aggregate may not exceed\$10,000 per 11 survey \$5,000. (3) In determining if a penalty is to be imposed and 12 in fixing the amount of the fine, the agency shall consider 13 the following factors: 14 (a) The gravity of the violation, including the 15 probability that death or serious physical or emotional harm 16 17 to a resident will result or has resulted, the severity of the action or potential harm, and the extent to which the 18 19 provisions of the applicable laws or rules were violated. (b) Actions taken by the owner or administrator to 20 21 correct violations. 22 (c) Any previous violations. (d) The financial benefit to the facility of 23 24 committing or continuing the violation. 25 (e) The licensed capacity of the facility. Each day of continuing violation after the date 26 (4) 27 fixed for termination of the violation, as ordered by the 28 agency, constitutes an additional, separate, and distinct 29 violation. 30 (5) Any action taken to correct a violation shall be 31 documented in writing by the owner or administrator of the 35

1 facility and verified through followup visits by agency personnel. The agency may impose a fine and, in the case of an 2 3 owner-operated facility, revoke or deny a facility's license when a facility administrator fraudulently misrepresents 4 5 action taken to correct a violation. б (6) For fines that are upheld following administrative or judicial review, the violator shall pay the fine, plus 7 8 interest at the rate as specified in s. 55.03, for each day beyond the date set by the agency for payment of the fine. 9 (7) Except as provided in subsection (8), any facility 10 11 that continues to operate without having applied for a license 10 days after agency notification is subject to a \$1,000 fine. 12 Each day beyond 20 days after agency notification constitutes 13 a separate violation and the facility is subject to a fine of 14 15 \$500 per day. (8) Unlicensed facilities whose owner or administrator 16 17 concurrently operates a licensed facility, has previously operated a licensed facility, or has been employed in a 18 19 licensed facility shall immediately be subject to an administrative fine of \$5,000 upon agency notification. Each 20 21 day that a facility continues to operate without having applied for a license within 10 working days after agency 22 notification constitutes a separate violation, and such 23 24 facility shall be subject to a fine of \$500 per day 25 retroactive to the date of agency notification. Any facility whose owner fails to apply for a 26 (9) 27 change-of-ownership license in accordance with s. 400.412 and operates the facility under the new ownership is subject to a 28 29 fine not to exceed \$5,000. 30 (10) In addition to any administrative fines imposed, 31 the agency may assess a survey fee, equal to the lesser of one 36

1 half of the facility's biennial license and bed fee or \$500, to cover the cost of conducting initial complaint 2 3 investigations that result in the finding of a violation that was the subject of the complaint or monitoring visits 4 5 conducted under s. 400.428(3)(c) to verify the correction of б the violations. 7 (11) The agency, as an alternative to or in 8 conjunction with an administrative action against a facility for violations of this part and adopted rules, shall make a 9 reasonable attempt to discuss each violation and recommended 10 11 corrective action with the owner or administrator of the facility, prior to written notification. The agency, instead 12 of fixing a period within which the facility shall enter into 13 compliance with standards, may request a plan of corrective 14 action from the facility which demonstrates a good-faith 15 effort to remedy each violation by a specific date, subject to 16 17 the approval of the agency. (12)(5) Administrative fines Civil penalties paid by 18 19 any facility under this section the provisions of subsection 20 (3)shall be deposited into the Health Care Trust Fund and 21 expended as provided in s. 400.418. (13) (6) The agency shall develop and disseminate an 22 23 annual list of all facilities sanctioned or fined\$5,000 or 24 more in excess of \$500 for violations of state standards, the number and class of violations involved, the penalties 25 imposed, and the current status of cases. The list shall be 26 27 disseminated, at no charge, to the Department of Elderly 28 Affairs, the Department of Health and Rehabilitative Services, 29 the Department of Children and Family Services, the area 30 agencies on aging, the Statewide Human Rights Advocacy 31 Committee, and the state and district nursing home and 37

1 long-term care facility ombudsman councils. The Department of Children and Family Services shall disseminate the list to 2 3 service providers under contract to the department who are responsible for referring persons to a facility for residency. 4 5 The agency may charge a fee commensurate with the cost of б printing and postage to other interested parties requesting a copy of this list. 7 8 Section 13. Subsection (2) of section 400.4195, Florida Statutes, is amended to read: 9 10 400.4195 Rebates prohibited; penalties.--11 (2) A violation of this section shall be considered patient brokering and is punishable as provided in s. 817.505 12 The department, in consultation with the agency, shall adopt 13 14 rules which assess administrative penalties for acts prohibited by subsection (1). 15 Section 14. Paragraph (a) of subsection (1) of section 16 17 400.422, Florida Statutes, is amended to read: 400.422 Receivership proceedings.--18 19 (1) As an alternative to or in conjunction with an 20 injunctive proceeding, the agency may petition a court of 21 competent jurisdiction for the appointment of a receiver, if 22 suitable alternate placements are not available, when any of the following conditions exist: 23 24 (a) The facility is operating without a license and 25 refuses to make application for a license as required by ss. s.400.407 and 400.408. 26 27 Section 15. Section 400.4256, Florida Statutes, is 28 created to read: 29 400.4256 Assistance with self-administration of 30 medication. --31 (1) For the purposes of this section, the term: 38

1	(a) "Informed consent" means advising the resident, or
2	the resident's surrogate, guardian, or attorney in fact, that
3	an assisted living facility is not required to have a licensed
4	nurse on staff, that the resident may be receiving assistance
5	with self-administration of medication from an unlicensed
6	person, and that such assistance, if provided by an unlicensed
7	person, will or will not be overseen by a licensed nurse.
8	(b) "Unlicensed person" means an individual not
9	currently licensed to practice nursing or medicine who is
10	employed by or under contract to an assisted living facility
11	and who has received training with respect to assisting with
12	the self-administration of medication in an assisted living
13	facility as provided under s. 400.452 prior to providing such
14	assistance as described in this section.
15	(2) Residents who are capable of self-administering
16	their own medications without assistance shall be encouraged
17	and allowed to do so. However, an unlicensed person may,
18	consistent with a dispensed prescription's label or the
19	package directions of an over-the-counter medication, assist a
20	resident whose condition is medically stable with the
21	self-administration of routine, regularly scheduled
22	medications that are intended to be self-administered.
23	Assistance with self-medication by an unlicensed person may
24	occur only upon a documented request by, and the written
25	informed consent of, a resident or the resident's surrogate,
26	guardian, or attorney in fact. For the purposes of this
27	section, self-administered medications include both legend and
28	over-the-counter oral dosage forms, topical dosage forms and
29	topical opthalmic, otic, and nasal dosage forms including
30	solutions, suspensions, sprays, and inhalers.
31	

39

1	(3) Assistance with self-administration of medication
2	includes:
3	(a) Taking the medication, in its previously
4	dispensed, properly labeled container, from where it is
5	stored, and bringing it to the resident.
6	(b) In the presence of the resident, reading the
7	label, opening the container, removing a prescribed amount of
8	medication from the container, and closing the container.
9	(c) Placing an oral dosage in the resident's hand or
10	placing the dosage in another container and helping the
11	resident by lifting the container to his or her mouth.
12	(d) Applying topical medications.
13	(e) Returning the medication container to proper
14	storage.
15	(f) Keeping a record of when a resident receives
16	assistance with self-administration under this section.
17	(4) Assistance with self-administration does not
18	<u>include:</u>
19	(a) Mixing, compounding, converting, or calculating
20	medication doses, except for measuring a prescribed amount of
21	liquid medication or breaking a scored tabled or crushing a
22	tablet as prescribed.
23	(b) The preparation of syringes for injection or the
24	administration of medications by any injectable route.
25	(c) Administration of medications through intermittent
26	positive pressure breathing machines or a nebulizer.
27	(d) Administration of medications by way of a tube
28	inserted in a cavity of the body.
29	(e) Administration of parenteral preparations.
30	(f) Irrigations or debriding agents used in the
31	treatment of a skin condition.

40

_					
1	(g) Rectal, urethral, or vaginal preparations.				
2	(h) Medications ordered by the physician or health				
3	care professional with prescriptive authority to be given "as				
4	needed," unless the order is written with specific parameters				
5	that preclude independent judgment on the part of the				
6	unlicensed person, and at the request of a competent resident.				
7	(i) Medications for which the time of administration,				
8	the amount, the strength of dosage, the method of				
9	administration, or the reason for administration requires				
10	judgment or discretion on the part of the unlicensed person.				
11	(5) Assistance with the self-administration of				
12	medication by an unlicensed person as described in this				
13	section shall not be considered administration as defined in				
14	<u>s. 465.003.</u>				
15	(6) The department may by rule establish facility				
16	procedures and interpret terms as necessary to implement this				
17	section.				
18	Section 16. Subsection (3) of section 400.428, Florida				
19	Statutes, is amended to read:				
20	400.428 Resident bill of rights				
21	(3)(a) The agency shall conduct <u>a survey</u> an inspection				
22	to determine general compliance with <u>facility</u> standards and				
23	compliance with residents' rights as a prerequisite to initial				
24	or renewal licensure <u>or licensure renewal</u> .				
25	(b) In order to determine whether the facility is				
26	adequately protecting residents' rights, the biennial survey				
27	inspection of the facility shall include private informal				
28	conversations with a sample of residents and consultation with				
29	the ombudsman council in the planning and service area , as				
30	defined in part II, in which the facility is located to				
31	discuss residents' experiences within the facility with				
	41				

Florida Senate - 1998 300-2014B-98

1 respect to rights specified in this section and general 2 compliance with standards. 3 (c) During any calendar year in which no survey inspection is conducted, the agency shall conduct at least one 4 5 monitoring visit of each facility cited in the previous year б for a class I or class II violation, or more than three uncorrected class III violations, that led to a conditional 7 8 license or a moratorium on admissions. 9 (d) The agency may conduct periodic followup 10 inspections as necessary to monitor the compliance of 11 facilities with a history of any class I, class II, or class III violations that threaten the health, safety, or security 12 13 of residents. 14 (e)(d) The agency may conduct complaint investigations 15 as warranted to investigate any allegations of noncompliance with requirements required under this part or rules adopted 16 17 promulgated under this part. 18 Section 17. Section 400.442, Florida Statutes, is 19 amended to read: 400.442 Pharmacy and dietary services .--20 (1) Notwithstanding s. 400.419, Any assisted living 21 facility in which the agency has documented a class I or class 22 II deficiency or uncorrected class III deficiencies regarding 23 24 medicinal drugs or over-the-counter preparations, including 25 their storage, use, delivery, or administration, or dietary services, or both, during a biennial survey or a monitoring 26 visit or an investigation in response to a complaint, shall, 27 28 in addition to or as an alternative to any penalties imposed 29 under s. 400.419, be required to employ the consultant services of a licensed pharmacist, a licensed registered 30 31 nurse, or a registered or licensed dietitian, or both, as 42 **CODING:**Words stricken are deletions; words underlined are additions.

1 applicable. The consultant shall provide onsite consultation 2 and shall continue with, at a minimum, provide onsite 3 quarterly consultation until the inspection team from the 4 agency determines that such consultation services are no 5 longer required. б (2) A corrective-action plan for deficiencies related 7 to assistance with the self-administration of medication or 8 the administration of medication must be developed and 9 implemented by the facility within 48 hours after notification 10 of such deficiency, or sooner if the deficiency is determined 11 by the agency to be life-threatening. (3) (3) (2) The agency shall employ at least two 12 13 pharmacists licensed pursuant to chapter 465 among its personnel who biennially inspect assisted living facilities 14 licensed under this part, to participate in biennial 15 inspections or consult with the agency regarding deficiencies 16 17 relating to medicinal drugs or over-the-counter preparations-18 including, but not limited to, their storage, use, delivery, 19 or administration. A corrective action plan for deficiencies related to the administration or supervision of medication 20 must be developed and implemented within 48 hours after 21 notification of the deficiency, or sooner if the deficiency is 22 determined by the agency to be life threatening. 23 Section 18. Section 400.452, Florida Statutes, is 24 amended to read: 25 26 400.452 Staff training and educational programs; core 27 educational requirement. --(1) The department shall provide, or cause to be 28 29 provided, training and educational programs for the 30 administrators and such other assisted living facility staff 31 as are defined by the department to better enable them to 43 **CODING:**Words stricken are deletions; words underlined are additions.

1 appropriately respond to the needs of residents, to maintain 2 resident care and facility standards, and to meet licensure 3 requirements. (2) The department shall also establish a core 4 5 educational requirement to be used in these programs. 6 Successful completion of the core educational requirement must include successful completion of a competency test. Programs 7 8 must be provided by the department or by a provider approved 9 by the department at least quarterly. The core educational 10 requirement must cover at least the following topics: 11 State law and rules relating to on assisted living (a) facilities, including lifesafety requirements and procedures. 12 13 Resident rights and identifying and reporting (b) 14 abuse, neglect, and exploitation. Special needs of elderly persons, persons with 15 (C) mental illness, and persons with developmental disabilities 16 17 and how to meet those needs. (d) Nutrition and food service, including acceptable 18 19 sanitation practices for preparing, storing, and serving food. Medication management, recordkeeping, and proper 20 (e) 21 techniques for assisting residents with self-administered 22 medication, including recordkeeping. 23 (f) Firesafety requirements, including fire evacuation 24 drill procedures and other emergency procedures drills. 25 Care of persons with Alzheimer's disease and other (g) 26 related disorders. 27 (3) Such a program must be available at least 28 quarterly in each planning and service area district of the 29 department of Health and Rehabilitative Services. The 30 competency test must be developed by the department in 31 conjunction with the agency and providers and must be 44

Florida Senate - 1998 300-2014B-98

1 available for use by January 1, 1997. Beginning July 1, 1997, 2 A new facility administrator must complete the core 3 educational requirement including the competency test within 3 months after being employed as an administrator. Failure to 4 5 complete a core educational requirement specified in this б subsection is a violation of this part and subjects the 7 violator to an administrative fine a penalty as prescribed in s. 400.419. Administrators licensed in accordance with chapter 8 9 468, part II, are exempt from this requirement. Other licensed 10 professionals may be exempted, as determined by the department 11 by rule. (4) Administrators are required to participate in 12 13 continuing education for a minimum of 12 contact hours every 2 14 years as specified by rule of the department. (5) Staff involved with the management of medications 15 and assisting with the self-administration of medications 16 17 under s. 400.4256 must complete a minimum of 4 hours of training pursuant to a curriculum developed by the department 18 19 and provided by a registered nurse, licensed pharmacist, or 20 department staff.Administrators and staff of facilities more than 10 percent of whose residents are mental health residents 21 22 shall participate in training in the care and supervision of such residents as specified by rule of the department. 23 24 (6) Other facility staff shall participate in training 25 relevant to their job duties as specified by rule of the department. 26 27 (7) Any facility more than 90 percent of whose 28 residents receive monthly optional supplementation payments is 29 not required to pay for the training and education programs 30 provided under this section. A facility that has one or more 31 such residents shall pay a reduced fee that is proportional to 45

1	the percentage of such residents in the facility. A facility			
2	that does not have any residents who receive monthly optional			
3	supplementation payments must pay a reasonable fee , as			
4	established by the department, for such training and education			
5	programs. A facility that has one or more such residents shall			
6	pay a reduced fee that is proportional to the percentage of			
7	such residents in the facility. Any facility more than 90			
8	percent of whose residents receive monthly optional state			
9	supplementation payments is not required to pay for the			
10	training and continuing education programs required under this			
11	section.			
12	(8) If the department or the agency determines that			
13	there are problems in a facility that could be reduced through			
14	specific staff training or education beyond that already			
15	required under this section, the department or the agency may			
16	require, and provide, or cause to be provided, the training or			
17	education of any personal care staff in the facility.			
18	(9) The department shall adopt rules to establish			
19	training programs, standards and curriculum for training,			
20	staff training requirements, procedures for approving training			
21	programs, and training fees.			
22	Section 19. Paragraph (c) is added to subsection (2)			
23	of section 400.474, Florida Statutes, to read:			
24	400.474 Denial, suspension, revocation of license;			
25	injunction; grounds			
26	(2) Any of the following actions by a home health			
27	agency or its employee is grounds for disciplinary action by			
28	the Agency for Health Care Administration:			
29	(c) Knowingly providing home health services in an			
30	unlicensed assisted living facility or unlicensed adult			
31	family-care home, unless the home health agency or employee			
	46			

1 reports the unlicensed facility or home to the agency within 72 hours after providing the services. 2 3 Section 20. Subsection (2) of section 400.618, Florida Statutes, is amended to read: 4 5 400.618 Definitions.--As used in this part ss. б 400.616-400.629, the term: 7 (2) "Adult family-care home" means a full-time, 8 family-type living arrangement, in a private home, under which 9 a person who owns or rents the home provides or persons 10 provide, for profit or not for profit, room, board, and one or 11 more personal services, on a 24-hour basis as appropriate for the level of functional impairment, for no more than five aged 12 persons or disabled adults who are not relatives. The 13 14 following family-type living arrangements establishments are not required to be licensed as an adult family-care home 15 homes: 16 17 An arrangement whereby the person who owns or (a) rents the home provides room, board, and establishment that 18 19 provides personal services for not more than two three or 20 fewer adults who do not receive optional state supplementation 21 under s. 409.212, but that does not hold itself out to the public to be an establishment that regularly provides such 22 services. The person who provides the housing, meals, and 23 24 personal services must own or rent the home and reside 25 therein. An arrangement whereby the person who owns or 26 (b) 27 rents the home provides room, board, and establishment in 28 which a person or persons provide personal services only to 29 their relatives. 30 (c) An establishment that is licensed as an assisted 31 living facility under part III. 47

1 Section 21. Paragraph (h) of subsection (3) of section 408.036, Florida Statutes, is amended to read: 2 3 408.036 Projects subject to review. --4 (3) EXEMPTIONS.--Upon request, supported by such 5 documentation as the agency requires, the agency shall grant б an exemption from the provisions of subsection (1): 7 (h) For the establishment of a Medicare-certified home 8 health agency by a facility certified under chapter 651; a retirement community, as defined in s. 400.404(2)(g)s. 9 10 400.404(2)(e); or a residential facility that serves only 11 retired military personnel, their dependents, and the surviving dependents of deceased military personnel. 12 13 Medicare-reimbursed home health services provided through such agency shall be offered exclusively to residents of the 14 facility or retirement community or to residents of facilities 15 or retirement communities owned, operated, or managed by the 16 17 same corporate entity. Each visit made to deliver Medicare-reimbursable home health services to a home health 18 19 patient who, at the time of service, is not a resident of the 20 facility or retirement community shall be a deceptive and unfair trade practice and constitutes a violation of ss. 21 501.201-501.213. 22 23 24 A request for exemption under this subsection may be made at 25 any time and is not subject to the batching requirements of this section. 26 27 Section 22. Subsection (3) is added to section 28 394.4574, Florida Statutes, to read: 29 394.4574 Department responsibilities for a mental 30 health resident who resides in an assisted living facility 31 that holds a limited mental health license.--48

1	(3) The Secretary of Children and Family Services			
2	shall annually require each district administrator to develop,			
3	with community input, detailed plans that demonstrate how the			
4	district will ensure the provision of state-funded mental			
5	health and substance-abuse-treatment services to residents of			
6	assisted living facilities that hold a limited mental health			
7	license. These plans must be consistent with the alcohol, drug			
8	abuse, and mental health district plan developed pursuant to			
9	s. 394.75 and must address case-management services; access to			
10	consumer-operated drop-in centers; access to services during			
11	evenings, weekends, and holidays; supervision of the clinical			
12	needs of the residents; and access to emergency psychiatric			
13	care.			
14	Section 23. This act shall take effect October 1,			
15	1998.			
16				
17				
18				
19				
20				
21				
22				
23				
24				
25				
26				
27				
28				
29				
30				
31				
	49			

1		STATEMENT OF SUBSTANTIAL CHANGES CONTAINED IN
2		COMMITTEE SUBSTITUTE FOR Senate Bill 1960
3		
4		
5	-	The term "applicant" is defined; existing definitions of "personal services" and "supervision of activities of
6		daily living" are amended to include the self-administration of medication; and the definitions of
7		"supervision of self-administration of medication" and "assistance with activities of daily living are deleted."
8	-	Regarding an unlicensed assisted living facility,
9		application within 10 days is an affirmative defense to the first offense rather than allowing 10 days in which to apply for the license.
10	_	No penalty is provided specifically for a health care
11		practitioner's knowledge of an unlicensed assisted living facility, though any person must report knowledge of an
12		unlicensed assisted living facility to the Agency for Health Care Administration (agency).
13	_	Agency action for denial, revocation, or suspension of a
14 15		license is permitted with one or more class I violations or three or more class II violations within the prior 2 years.
16	_	All references to background screening are removed.
17	_	New language is added to allow for licensure denial for
18		previous relevant violations in the prior 5 years.
19	-	The agency is directed to deny or revoke a license if an assisted living facility has two or more class I
20		violations which are similar or identical to violations previously identified in the prior 2 years.
21	-	A notice of moratorium is to be posted and visible to the public until the moratorium is lifted.
22	_	Provisions relating to class IV violation fines are
23		returned to current law.
24	-	The provision allowing the agency to double administrative fines for the same violation identified on
25		the previous inspection is deleted.
26	-	A home health license may be denied, suspended, or revoked if a party knowingly provides home health
27		services in an unlicensed assisted living facility or adult family care home and does not report the unlicensed
28		facility or home to the agency within 72 hours of providing the services.
29 20	_	A violation of s. 400.4195, F.S., rebates prohibited, is
30		considered patient-brokering and is punishable accordingly.
31	-	A new section is created to allow for the assistance with 50

1	1	
1		the self-administration of certain medications.
2	-	Section 400.442, F.S., is amended to require assisted living facilities with certain deficiencies related to
3		dispensing of medication to hire a professional consultant such as a licensed pharmacist, licensed
4		registered nurse, or a registered or licensed dietitian.
5	-	Staff training requirements are conformed to the
6		assistance with the self-administration of certain medications provisions to require certain training and
7		records management in this area.
8	_	A new subsection is added to s. 394.4574, F.S., to require district plans to ensure the provision of
9		services to residents of assisted living facilities
10		holding a limited mental health license.
11		
12		
13		
14		
15		
16		
17		
18		
19		
20		
21		
22		
23		
24		
25		
26		
27		
28		
29		
30		
31		
		51