April 29, 2020

TO: ALL HOME CARE ORGANIZATION LICENSEES

*Original signed by Pamela Dickfoss*

FROM: PAMELA DICKFOSS
Deputy Director
Community Care Licensing Division

SUBJECT: NOTICE OF REMOTE INSPECTIONS AND INVESTIGATIONS FOR HOME CARE ORGANIZATIONS

Provider Information Notice (PIN) Summary

PIN 20-04-HCS provides notice to Home Care Organization (HCO) licensees that, effective April 29, 2020, inspections and investigations may be conducted through remote means as part of the Community Care Licensing Division’s (CCLD) emergency response to the spread of Coronavirus Disease (COVID-19).

Consistent with the California Department of Social Services’ (CDSS) authority under Governor Newsom’s March 4, 2020 Proclamation of a State of Emergency, CDSS has determined, following current public health guidance, that in order to best protect our employees, avoid harm to higher-needs populations, support providers, and help slow the spread of COVID-19, CCLD’s Home Care Services Bureau (HCSB) will implement inspections and investigations through remote means.

**INSPECTION AND INVESTIGATION AUTHORITY**

Health and Safety Code (HSC) section 1522, as well as HSC section 1796.19 et seq., requires CDSS to conduct a background check of HCO licensees, staff, employees, volunteers and affiliated Home Care Aides, and if needed, investigate the information received. HSC section 1796.52 requires CDSS to verify through inspections that an
HCO is in compliance with applicable laws. CDSS may also review and, if it
determines necessary, investigate complaints against HCOs regarding any violations
of applicable laws. An inspection or investigation may include, but is not limited to,
ispection of the books, records, or premises of an HCO.

**Note:** Current California law states that a refusal to make records, books, or premises
available shall constitute cause for the revocation of the HCO’s license.

**REMOTE INSPECTIONS AND INVESTIGATIONS**

During the COVID-19 health crisis, inspections of HCOs may be conducted through
remote means. A remote inspection may include, but is not limited to:

- Phone Calls
- Emails
- Virtual Video Conferencing (see Appendix for sample platforms)
- U.S. Mail

To the extent possible, complaint investigations will also be conducted using the
remote formats listed above.

CDSS representatives may also conduct in-person inspections and complaint
investigations, as necessary, to protect the health and safety of clients.

When necessary, a licensee or designee must be available for telephone calls or
virtual video conferencing with CDSS representatives on an agreed upon date and
time. CDSS understands the hardships caused by the COVID-19 outbreak and will
make every reasonable accommodation when scheduling telephone calls or virtual
video conferencing with licensees or designees.

A licensee should ensure the contact information, including mailing address, phone
number and email address, on file with CDSS is current and correct. If any
information needs to be updated, a licensee should contact the assigned HCSB
analyst. Licensees should test and identify now, prior to any virtual video conferencing
taking place, the best virtual video conferencing resource to use on a mobile device in
order to ensure the success of a remote inspection.

**HCO Notice and Requested Information**

A licensee will receive a notice from the HCSB informing the licensee of the pertinent
records that must be submitted to complete the remote inspection. These records
may include, but are not limited to:

1. Administrative records
2. Personnel records
3. Financial information, i.e., payroll records, profit & loss summary report, Quarterly Contribution Return and Report of Wages (EDD form DE 9), tax information
4. Documentation of valid insurance policies and active dishonesty bond
5. Documentation of completed training, tuberculosis (TB) clearance, and registration requirements for affiliated Home Care Aides
6. Suspected abuse reports
7. Proof of posted HCO license, business hours and secured files
8. Any other information required for the proper administration and enforcement of applicable laws.

A licensee will be required to submit the specified records to the HCSB within seven (7) business days of the notice.

Record Review

After review of the submitted records, if no deficiency is found, CDSS will provide the licensee a summary report of the inspection. If, after review of the HCO’s records, the CDSS representative determines a deficiency(ies) exists, a notice of deficiency will be issued. The licensee and the CDSS representative will discuss any deficiencies noted and will jointly develop a plan for correcting each deficiency and establish a date by which each deficiency must be corrected. The licensee is responsible for correcting any deficiencies within the specified timeframe.

A follow-up inspection, either by remote means or in-person, may be conducted to determine compliance with the plan of correction.

COMPLAINT INVESTIGATIONS

Depending on the nature of the complaint, CDSS may conduct all or part of the investigation through remote means, as described above. CDSS will provide the nature of the complaint to the licensee at the time of the investigation and will inform the licensee of the pertinent records that need to be submitted within seven (7) business days in order to continue with the investigation. If, during the investigation, CDSS determines there may be a risk to the health and safety of clients, CDSS will conduct an in-person visit to complete the investigation.

If you have any questions regarding this PIN, please contact the Home Care Service Bureau.
APPENDIX: VIRTUAL VIDEO CONFERENCING RESOURCES

The following are all free video chat applications that are also available for mobile devices. All applications require the user to create or sign in with an account. The mobile application can be download through Google Play Store, Apple Store, or Microsoft Store.

CDSS representatives will work with the licensee or any other participant to confirm the best platform to complete a virtual video conference.

**WhatsApp** – Features include: a web and desktop version that uses and synchronizes to your phone account number. Group videos with up to 256 people at once. Uses your phone number and address book to connect with your contacts who also have WhatsApp.

**Zoom Meeting** – Features include: a web and desktop version, a free Basic plan that allows up to 100 participants with a 40 minutes limit on group meetings. Prices change with plans. Ability to record meetings. Host provides meeting ID or link to participants.

**Skype** – Features include group videos up to 24 people on HD video call. Available by Microsoft for all mobile devices. Web and desktop version available.

**Google Duo** or **Google Hangouts** – Features include: the ability to sign in using Google account and use participants’ email to video conference.

**Facetime** – Only available for Apple iOS and MacOS devices. Group video calls with other iOS users.