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## BUDGET UNIT BRIEF – FY 2023

Fiscal Services Division

July 1, 2022



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Ground Floor, State Capitol Building

Des Moines, Iowa 50319

515.281.3566

## Health Facilities Division — Department of Inspections and Appeals

### Background

The Health Facilities Division of the Iowa Department of Inspections and Appeals is the designated State survey and certification agency responsible for inspecting and licensing or certifying various health care entities, health care providers, and health care suppliers operating in the State of Iowa. Entities subject to the Department's oversight and regulation include nursing facilities, skilled nursing facilities, residential care facilities, intermediate care facilities for individuals with intellectual disabilities, hospitals, hospices, home health agencies, programs and facilities caring for children, assisted living programs, and elder group homes.

Health Facilities Division personnel also investigate complaints alleging improper care or treatment of patients, residents, and tenants in licensed and certified entities. By law, the Division has the authority to investigate complaints alleging a violation by a health care entity of licensing rules under Iowa administrative rules or applicable federal regulations. Complaints are investigated on site by survey staff. Depending on the nature of the allegation, the complaint investigation process includes observations, resident interviews, and/or records review. The Division is also responsible for the following:

- Conducting investigations of alleged abuse and neglect of residents in health care facilities that receive Medicaid reimbursements from the federal government.
- Investigating complaints of hospitals violating licensing rules under Iowa Code chapter [135B](#). If the hospital is accredited by the Joint Commission (JC) on Accreditation of Health Care Organizations or the American Osteopathic Association (AOA), the Division must obtain the approval of the Centers for Medicare and Medicaid Services before initiating a complaint investigation, or the investigation of an accredited hospital cannot be initiated.
- Providing a direct care worker (DCW) webpage. The webpage provides certified nursing assistants access to the Iowa Direct Care Worker Registry to apply for registration and to edit and update registration information. It also provides access to the administrative rules with the training requirements for certified nursing assistants, certified medication aides, and nutritional assistants.
- Maintaining a list of certified nursing assistants (CNAs) qualified by education, training, and testing to work in federally certified long-term care facilities. The list is used by health care facilities to recruit workers. Federal regulations require Medicare- and Medicaid-certified facilities to check the Direct Care Worker Registry to verify that certified nursing assistants are eligible to work in those facilities.
- Maintaining inspection reports and final findings of complaint investigations for a wide variety of Iowa health care entities. Reports for nursing facilities, residential care facilities, intermediate care facilities, and assisted living programs are available online.

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### More Information

Department of Inspections and Appeals, Health Facilities Division: [dia.iowa.gov/health-facilities](http://dia.iowa.gov/health-facilities)  
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[The Direct Care Worker Registry and Health Facility Database](#) is used to access records for health facilities and for the Iowa Direct Care Worker Registry, which tracks the credentials of CNAs in the State.

The Health Facilities Division includes the following seven bureaus:

- Three Long-Term Care Bureaus — Responsible for surveying the long-term care facilities in the State.
- Complaint/Incident Bureau — Responsible for the review and triage of intakes for all health care facilities and programs, including self-reported incidents as outlined by federal regulations and State rules and complaints from residents/patients, family, friends, staff, or other health care providers.
- Medicare Services Bureau — Responsible for the survey and certification of provider and supplier types of Medicare-certified facilities, including hospitals, critical access hospitals, home health agencies, hospice programs, end-stage renal disease units, rural health clinics, and ambulatory surgery centers.
- Special and Adult Services Bureau — Includes the Adult Services Unit, which is responsible for surveying assisted living programs, assisted living programs for people with dementia, adult day services, and elder group homes. This Bureau also includes the Special Services Unit, which has regulatory oversight of intermediate care facilities for individuals with intellectual disabilities, residential care facilities, children's services, and psychiatric rehabilitation treatment facilities.
- Abuse Coordinating Unit — Responsible for the detection, investigation, and administrative prosecution of dependent adult abuse in facilities and programs.

### **Funding**

In addition to federal funding, the Health Facilities Division receives an annual General Fund appropriation, which comprises approximately one-third of the Division's revenues.

### **Related Statutes and Administrative Rules**

Iowa Code chapters [10A](#) and [135B](#)  
[481—IAC 50](#)

### **Budget Unit Number**

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