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## NYS Adult Care Facilities/ Assisted Living Residence Regulatory Training

Date	Subject
<p>Tuesday May 14</p>	<p><b>Adult Care and Assisted Living in NYS</b> <b>Levels of Licensure and Certifications</b></p> <p><u>PowerPoint</u> – 0. Adult Care and Assisted Living in NYS <u>Handouts</u> – 1. Licensure and Program Diagram 2. ALP Program Diagram 3. Nursing Parameters</p> <ul style="list-style-type: none"><li>• Discuss the social model roots of the Adult Care/Assisted Living level of care</li><li>• Review the history of Adult Care Facilities and the evolution of Assisted Living</li><li>• Compare the various levels of licensure and certified programs</li><li>• Outline the specific limitations that exist in the social model</li><li>• Review the boundaries of observation versus assessment</li><li>• Review the various titles for Caregivers</li></ul> <p><b>How to Locate the Appropriate Regulations</b> <u>Handout</u> – 4. Searching Regulations</p> <ul style="list-style-type: none"><li>• Provide guidance to searching and referencing NYS regulations</li></ul>
<p>Tuesday May 21</p>	<p><b>DOH Survey Process</b> <u>Handouts</u> – 1. DOH Survey Process 2. Requested Items List</p> <ul style="list-style-type: none"><li>• Review the DOH surveillance process, resident rights during surveillance, types of surveillance, enforcement, and civil penalties</li><li>• Logistics and accommodation of DOH surveyors</li><li>• Accessibility of documentation, resident, and program records</li><li>• Management of professional relationships with DOH staff</li></ul>



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### **Policies and Procedures**

#### Handout – 3. Policy and Procedure Statements Guide

- Best practices for creating policies and procedures
- Making policies and procedures effective and meaningful
- Staff training
- Policy and procedure review

### **Waivers and Equivalencies**

#### Handout – 4. Waivers and Equivalencies Guide

5. DAL 19-08 Revised Equivalency List Letter
6. DAL 19-08 Attachment 2019 Equivalency Index
7. DAL 22-22 Medical Equipment Waiver Process 3-3-22
8. DAL 22-34 Medical Equipment Waiver Process Automation

- Difference between full waivers and equivalencies
- Review the current Equivalencies List
- Discuss Medical Equipment Waivers

Thursday  
May 23

### **Admission and Retention Standards and Persistent Efforts**

#### Modules – 1. Admission Standards 487.4 - 1001.7

2. Resident Services General Requirements 487.7 - 1001.10 (m-n)
3. Personal Care 487.7(e) - 1001.10(j-k)
4. Activity Services 487.7(h)-1000.10(n)(8)

#### Handouts – 5. EALR Feeding Assistance Guidance from ESAAL Nov 2017

6. 1998 Q&A – Unmanaged Incontinence Definition
7. DAL 13-01 Guidance on the Definition of SMI

- Admission and retention standards by level of licensure
- Best practices for pre-admission and screening
- Persistent efforts and transfer of residents
- Notice of termination process



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Tuesday  
May 28

### **Case Management**

Module – 1. Case Management 487.7(g) – 494.6(b) – 1001.10(i)

Handouts – 2. DAL 18-15 HCBS Final Rule

3. DAL 21-12 Home and Community Based Settings Final Rule Guidance

4. DAL 23-21 Federally Compliant Person Centered Planning 7/14/23

5. DAL 23-21 Attachment 1 Model ISP 2014 7/14/23

6. DAL 23-21 Attachment 2 Person-Centered Service Planning Template 7/14/23

7. Case Note Guide

- Regulatory requirements (Case Management, Personal Care, and Activities Services)
- Best practices for managing challenging situations
- Best practices for documentation
- Collaboration with and facilitation of third-party services
- HCBS Final Rule compliance

Thursday  
May 30

### **Resident Rights, Protections, Funds and Valuables**

Modules – 1. Resident Protections 487.5 - 1001.8

2. Resident Funds and Valuables 487.6 - 1001.9

- Regulatory requirements
- Review of resident rights
- Resident and family organizations
- Review of the grievance and recommendation process
- Resident rights with termination of Admission Agreements and involuntary termination
- Handling resident funds and personal allowance
- Handling resident property and valuables

Tuesday  
June 4

### **Supervision and Incident Reporting**

Module – 1. Supervision 487.7(d) - 1001.10(g)

Handouts – 2. Supervision Staffing Requirements

3. DOH Special Needs Overview and Requirements

4. DOH Reporting Timelines Guide

5. DAL 18-19 Reporting of Deaths and Attempted Suicide and Felony Crimes

6.a. DAL 23-02 Incident Reporting Manual March 2023

6.b. DAL 23-02 Incident Reporting Slides - Drupal Submission

7. DOH-5789 Incident Report - Resident Comment

8. ACF Directive 2-92 Oct. 28, 1992 - Weight Changes



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- Regulatory requirements
- Appropriate levels of supervision based on level of licensure
- Best practices for and types of resident supervision
- Incident reporting requirements to DOH, Justice Center, and authorities
- Best practices for incident investigation, documentation and reporting

Thursday  
June 6

### **Personnel, On-boarding, and CHRC**

Module – 1. Personnel 487.9 - 1001.11

Handouts – 2. Staffing Requirements by Licensure

3. DAL 10-10 Staffing Changes to EALR-SNALR
4. ESAAL Guidance on Flu Reporting
5. DAL 00-10 Statutory Requirement re Influenza and Pneumo Vaccination
6. DAL 09-07 Influenza Flu Reporting
7. DAL NH 13-04 Flu Mask Requirements
8. DAL 19-26 Administration of Influenza and Pneumococcal Immunization
9. DAL DHCBS 20-09 Reducing Annual Tuberculosis Testing of Health CareWorkers
10. DAL DHCBS 21-05 TB Testing 4.6.21
11. TB Testing FAQs 10.26.2021

- Regulatory requirements
- Staffing requirements by level of licensure
- CHRC process
- Timing of CHRC clearance, on-boarding and supervision requirements
- Management of CHRC determination letters
- Confidentiality and management of CHRC records

Tuesday  
June 11

### **Records and Reports**

Module – 1. Records and Reports 487.10 – 1001.12

Handout – 2. Required Forms by Licensure

3. DAL 20-09 Mental Health Evaluation Form
4. DAL 22-13 MOLST Clarification for ACFs

- Regulatory requirements
- Identify appropriate documents by level of licensure
- Review best practices for accurate and effective documentation



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### **Quality Assurance**

- Handout - 5. DAL 16-12 Guide for Quality Assurance in Adult Care Facilities  
6. DAL 22-19 AH QI Committee Requirements

- Regulatory requirements
- Best practices for consistent and effective QA auditing
- Use of QA audit tools and effective follow-up to audit results

**Thursday**  
**June 13**

### **Medication Management**

Module – 1. Medication Management 487.7(f) - 1001.10(l)

Handouts – 2. 2005 Regulatory Interpretations for ACFs

3. DAL 05-07 Medication Assistance FAQs 2005
4. Class 3A Drop Box Guidance 2022
5. DAL 20-05 HCBS 20-02 Medication Assistance for Residents on Hospice

- Regulatory requirements
- Best practices for managing your medication program
- Availability of medications, resident refusals, and missed medications
- Auditing for compliance
- Delegation of responsibilities and staff training

**Tuesday**  
**June 18**

### **Food Service**

Module – 1. Food Service 487.8 - 1001.10 (h&n)

2. Searching NYS Sanitary Code
3. Common Food Service Violations

- Regulatory requirements
- Menu Planning
- Storage, preparation, and resident safety
- Common sanitary code violations

**Tuesday**  
**June 20**

### **Emergency Disaster, Evacuation, and eFINDS**

Modules – 1. Disaster and Emergency Planning 487.12 - 1001.14

Handouts – 2. DAL 15-13 Evacuation Planning

3. DAL 21-20 Evacuation Preparedness Planning
4. DAL 21-23 Fire Protection System Maintenance



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5. DAL 22-18 Health Commerce System Role Assignments
6. Letter HCS Communications Directory Backup Role Assignments

- Regulatory requirements
- Disaster and emergency planning
- Staff training, fire drills, and reviews/updates of plans
- DOH notification requirements
- Health Commerce System (HCS)

Thursday  
June 25

**Environmental Services**

Module - 1. Environmental Standards 487.11 - 1001.13

2. DAL 21-22 Resident Safety Plan
3. DAL 21-22 Resident Safety Plan PowerPoint Attachment

- Regulatory requirements
- Smoke and fire protection
- Electrical systems
- Safety procedures
- Use of Resident Safety Plans
- Furnishings and equipment
- Housekeeping and maintenance
- Space requirements
- Heating systems and extreme weather