NYS Adult Care Facilities/Assisted Living Residence Regulatory Training

Tuesday, May 13

Adult Care and Assisted Living in NYS
Levels of Licensure and Program Certifications

- Discuss the social model roots of the Adult Care/Assisted Living level of care
- Review the history of Adult Care Facilities and the evolution of Assisted Living
- Compare the various levels of licensure and certified programs
- Outline the specific limitations that exist in the social model
- Review the boundaries of observation versus assessment
- Review the various titles for Caregivers

  Handouts

  1. Adult Care and Assisted Living in NYS (PowerPoint)
  2. Licensure and Program Diagram
  3. ALP Program Diagram
  4. Nursing Parameters

How to Locate the Appropriate Regulations

- Provide guidance to searching and referencing NYS regulations

  Handout

  5. Searching Regulations
  6. NYSDOH and HCS
  7. NYS Learning Management System

Thursday, May 15

DOH Survey Process

- Review the DOH surveillance process, resident rights during surveillance, types of surveillance, enforcement, and civil penalties
- Logistics and accommodation of DOH surveyors
- Accessibility of documentation, resident, and program records
- Management of professional relationships with DOH staff

  Handouts

  1. DOH Survey Process
  2. ACF DOH Requested Items List
  3. LHCSA Requested Items List

Policies and Procedures

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

  Handout

4. Policy and Procedure Statements Guide

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

Handouts
5. Waivers and Equivalencies Guide
6. DAL 19-08 Revised Equivalency List Letter
7. DAL 19-08 Attachment 2019 Equivalency Index
8. DAL 22-22 Medical Equipment Waiver Process 3-3-22
9. DAL 22-34 Medical Equipment Waiver Process Automation
10. DOH Contact Information and BMLs

Thursday, May 22

Admission and Retention Standards and Persistent Efforts
- 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

Handouts
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)
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
8. DAL 24-19 PHL LTCF Bill of Rights Amendment
9. EALR Workgroup Q&As 6.26.2014

Tuesday, May 27

Case Management
- 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

Handouts
1. Case Management 487.7(g) – 494.6(b) – 1001.10(i)
2. DAL 18-15 HCBS Final Rule
3. DAL 21-12 HCBS Final Rule Guidance
4. DAL 23-21 Federally Compliant Person Centered Planning 7/14/23
5. Case Note Guide

Thursday, May 29

Resident Rights, Protections, Funds and Valuables
- 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
  Handouts
    1. Resident Protections 487.5 - 1001.8
    2. Resident Funds and Valuables 487.6 - 1001.9

Tuesday, June 3

Supervision and Incident Reporting
- 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
  Handouts
    1. Supervision 487.7(d) - 1001.10(g)
    2. ACF Directive 2-92 Oct. 28, 1992 - Weight Changes
    3. Supervision Staffing Requirements
    4. DOH Special Needs Overview and Requirements
    5. DOH Reporting Timelines Guide
    6. DAL 18-19 Reporting of Deaths and Attempted Suicide and Felony Crimes
    7. DAL 23-02 Incident Reporting Manual March 2023
    8. DAL 23-02 Incident Reporting Slides - Drupal Submission
    9. DOH-5789 Incident Report - Resident Comment

Thursday, June 5

Personnel, On-boarding, and CHRC
- Regulatory requirements
- Staffing requirements by level of licensure
- Influenza and pneumococcal vaccinations
- TB testing and screening requirements
- CHRC process
- Timing of CHRC clearance, on-boarding and supervision requirements
- Management of CHRC determination letters
- Confidentiality and management of CHRC records

Handouts

1. Personnel 487.9 - 1001.11
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 25-14 Communicable Disease Reporting 01-29-25
7. DAL 19-26 Administration of Influenza and Pneumococcal Immunization
8. DAL DHCBS 20-09 Reducing Annual Tuberculosis Testing of Health CareWorkers
9. DAL DHCBS 21-05 TB Testing 4.6.21
10. TB Testing FAQs 10.26.2021
11. DAL 20-04 CHRC Requirements and Best Practices
12. DOH CHRC Training Dec 2014 with FAQ's

Tuesday, June 10

Records and Reports

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

Handouts

1. Records and Reports 487.10 – 1001.12
2. Required Forms by Licensure
3. DAL 20-09 Mental Health Evaluation Form
4. DAL 24-20 Mental Health Eval Updated Form
5. DAL 24-20 Mental Health Eval Form Slide Deck
6. DAL 22-13 MOLST Clarification for ACFs

Quality Assurance

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

Handouts

7. DAL 16-12 Guide for Quality Assurance in Adult Care Facilities
8. DAL 22-19 AH QI Committee Requirements

Thursday, June 12

Medication Management

- 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

Handouts

1. Medication Management 487.7(f) - 1001.10(I)
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

Tuesday, June 17

Food Service

- Regulatory requirements
- Menu Planning
- Storage, preparation, and resident safety
- Sanitary Code
- Common food service violations

Handouts

1. Food Service 487.8 - 1001.10 (h&n)
2. Searching NYS Sanitary Code
3. Common Food Service Violations

Tuesday, June 24

Emergency Disaster, Evacuation, and eFINDS

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

Handouts

1. Disaster and Emergency Planning 487.12 - 1001.14
2. DAL 15-13 Evacuation Planning
3. DAL 21-20 Evacuation Preparedness Planning
4. DAL 21-23 Fire Protection System Maintenance
5. Fire Protection Systems Maintenance Slide Deck
6. DAL 22-18 Health Commerce System Role Assignments
7. Letter HCS Communications Directory Backup Role Assignments

Thursday, June 26

Environmental Services

- 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

Handouts

1. Environmental Standards 487.11 - 1001.13
2. DAL 21-22 Resident Safety Plan
3. DAL 21-22 Resident Safety Plan PowerPoint Attachment
4. Heat Producing Appliances Slide Deck 07.2022
5. Common Environmental/Physical Plant Violations