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Empire State Association
of Assisted Living
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NYS Adult Care Facilities/ Assisted Living Residence Regulatory Training

Date	Subject
Tuesday February 16	<p>Adult Care and Assisted Living in NYS Levels of Licensure and Certifications</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">• 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 <p>How to Locate the Appropriate Regulations</p> <p><u>Handout</u> – 4. Searching Regulations</p> <ul style="list-style-type: none">• Provide guidance to searching and referencing NYS regulations
Thursday February 18	<p>DOH Survey Process</p> <p><u>Handouts</u> – 1. DOH Survey Process 2. Requested Items List</p> <ul style="list-style-type: none">• 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



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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

- Difference between full waivers and equivalencies
- Review the current Equivalencies List

Tuesday
February 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)

Handout – 5. EALR Feeding Assistance Guidance from ESAAL Nov 2017

- 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

Thursday
February 25

Case Management

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

Handouts – 2. DAL 18-15 HCBS Final Rule

3. 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



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Tuesday
March 9

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

Thursday
March 11

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

- 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

Tuesday
March 16

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 00-1 Guidelines LTC Immunization Law
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



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- 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

Thursday
March 18

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

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

Quality Assurance

Handout - 4. DAL 16-12 Guide for Quality Assurance in Adult Care Facilities

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

Thursday
March 25

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

- 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



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Tuesday
March 30

Food Service

Module – 1. Food Service 487.8 - 1001.10 (h&n)
2. DOH Expectations with COVID – Food Service

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

Thursday
April 1

Emergency Disaster, Evacuation, and eFINDS

Modules – 1. Disaster and Emergency Planning 487.12 - 1001.14
Handout – 2. DAL 15-13 Evacuation Planning

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

Tuesday
April 6

Environmental Services

Module - 1. Environmental Standards 487.11 - 1001.13

- 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