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

**Tuesday, February 17**

### **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, February 19**

### **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



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## 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

## Tuesday, February 24

### 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

## Thursday, February 26

### 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



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## **Tuesday, March 3**

### **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

## **Thursday, March 5**

### **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

## **Tuesday, March 10**

### **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**



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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, March 17**

### **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, March 19**

### **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(l)
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



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## **Tuesday, March 24**

### **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

## **Thursday, March 26**

### **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

## **Tuesday, March 31**

### **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