



In proud partnership with  Empire State Association of Assisted Living
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NYS Adult Care Facilities/ Assisted Living Residence Regulatory Training

Date	Subject
<p>Tue 11/8</p>	<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</p> <p><u>Handouts</u> –</p> <ol style="list-style-type: none">1. Licensure and Program Diagram2. ALP Program Diagram3. Nursing Parameters <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
<p>Weds 11/9</p>	<p>DOH Survey Process</p> <p><u>Handouts</u> –</p> <ol style="list-style-type: none">1. DOH Survey Process2. Requested Items List <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

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

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

Tue 11/15

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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Tue 11/22

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. 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

Tue 11/29

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

Thurs 12/01

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. DAL 21-11 Electronic Incident Reporting April 29 2021

- 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



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Tue 12/06

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 Care Workers
10. 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

Thurs 12/08

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

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



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Tue 12/13

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

- 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

Thurs 12/15

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

Tue 12/20

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

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



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Thurs 12/22

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