

New York State Office for the Aging
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To: <input checked="" type="checkbox"/> Area Agency on Aging Directors <input type="checkbox"/> <input type="checkbox"/>	TECHNICAL ASSISTANCE MEMORANDUM
	Number: 95-TAM-05
FYI:	Date: October 5, 1995
Subject: Social Adult Day Care Monitoring Tool	Supersedes:
	Response Due Date:
Programs Affected: <input checked="" type="checkbox"/> Title III-B <input type="checkbox"/> Title III-C-1 <input type="checkbox"/> Title III-C-2 <input type="checkbox"/> Title III-D <input type="checkbox"/> Title III-G <input checked="" type="checkbox"/> CSE <input type="checkbox"/> SNAP <input type="checkbox"/> Energy <input checked="" type="checkbox"/> EISEP <input type="checkbox"/>	
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PURPOSE

The purpose of this Technical Assistance Memorandum is to transmit a copy of a model guide that can be used by Area Agencies for monitoring social adult day care services funded by the Area Agency.

BACKGROUND

In March, 1994, the State Office promulgated regulations with which Area Agencies must assure compliance if they provide social adult day care services (SADC) either directly or through a contract. These regulations were transmitted to Area Agencies via 94-PI-9 and were effective immediately. Where social adult day care is provided under contract, these regulations were to be applied to all contracts entered into or renewed on or after September 2, 1994, which was six months from the date the regulations were effective. As with all other regulations promulgated by this Office, Area Agencies are responsible for ensuring that their contractors are in compliance with these regulations.

Pursuant to 90-PI-47, Area Agencies are required to conduct annually at least one on-site monitoring visit of each contractor. This applies to all services under contract, including SADC.

To assist Area Agencies in fulfilling SADC monitoring responsibilities the attached guide has been developed.

The guide reflects the SADC service specific requirements only. It does not include general requirements that are relevant to all services as noted in 90-PI-47 or standards as noted in 92-TAM-2 under the Americans with Disabilities Act.

SUMMARY

The attached guide includes all of the requirements included in 9NYCRR 6654.20 Social Adult Day Care Programs. (Those that are optional are clearly marked as such.) It is designed in a format with headings and sub-headings that allow you to find a section of interest with relative ease. Generally, it follows the order of the regulations. The following are the headings used in the guide and examples of possible sources of documentation.

I. Program Standards: Service	<u>Sources of Documentation</u>
A. Admission and Discharge Sample of participant records
B. Service Plan Sample of participant records
C. Required Services Schedules/Observations/Policies and Procedures Manual
D. Optional Services Schedules/Observations/Policies and Procedures Manual
II. Program Standards: Administration	
A. Policies and Procedures Policies & Procedures Manual
B. Program Self-Evaluation Reports
C. Records Sample of participant records
D. Staffing Payroll records/Observation/ Personnel files
E. Volunteers Training records--agenda, attendance list, curriculum, Personnel files
F. Training Training records--agenda, attendance list, curriculum, Personnel files
G. Consultants Contracts/Agreements
H. Physical Environment Safety Observation/Written correspondence
I. Emergency Preparedness Policies & Procedures Manual/Sample of participant records/Other files
J. Insurance Insurance Policy(ies)
K. Participants' Rights Observation/Sample of participant records

SUGGESTED ACTION

This guide is provided for your use as you deem appropriate. **It is not required.** Area Agencies may choose to use all or parts of the guide, change its format to mirror an individual's style or preference, or move items around to best reflect an established process. Items may be added or deleted (e.g., those related to an optional service or activity) to reflect locally established requirements. Also, some Area Agencies require their SADC programs to meet standards that go beyond the scope of these regulations. These Area Agencies will want to modify this guide to incorporate these additional requirements.

We have opted to include much of the detail that is in the regulations, thereby lengthening it, so that the individual monitoring the service will have little need to go back to the regulations for further information. An Area Agency may choose to eliminate some of the detail in the actual guide, thus making the document smaller. The possible disadvantage to this may be the frequent need to go back to the regulations for additional information.

We hope Area Agencies find this helpful in meeting their ongoing responsibilities. If you have any questions concerning this TAM, please contact Andrea Hoffman at (518) 474-5444.

ADULT DAY CARE ASSESSMENT AND TECHNICAL ASSISTANCE MONITORING TOOL

Date _____

Agency being evaluated _____

Agency staff present _____
 Title _____

AAA Representative _____

NOTE: The following monitoring tool contains several questions (See questions ID1a-d and IIG1) regarding standards which pertain to services not specifically required of service providers under NYS Adult Day Services guidelines. These areas are listed in the monitoring tool as **(OPTIONAL)**. **Additional local program requirements will vary and should be taken into consideration when making reports and/or recommendations.**

	Yes/No	Supportive Documentation	Comments
<p>I. PROGRAM STANDARDS: SERVICES</p> <p>A. Admission and Discharge</p> <p>1. Participants meet eligibility requirements (functional impairment, presumption of benefit from program and needs can be met and managed by the program.)</p> <p>2. An assessment of each individual's functional capacities and impairments has been conducted prior to admission.</p> <p>3. Those individuals who can no longer be served safely or adequately by the program are discharged.</p>			

4. Where appropriate, discharged participants are assisted in making other arrangements.

B. Service Plan

1. Each participant receives services only in accordance with an individualized written service plan.
2. Each participant's service plan is developed by program staff in conjunction and/or consultation with the participant and, if applicable, with the participant's authorized representative and/or informal caregivers.
3. Participant service plans are developed no later than 30 days after participant admission to the program.
4. Participant service plans are reviewed as necessary, or at least once annually.
5. Participant service plans are based on the assessment conducted and consistent with the needs of the participant.

Yes/No	Supportive Documentation	Comment

6. To the extent possible, the participant service plan seeks to attain and maintain the physical, mental and psychosocial well-being of the participant including the optimal capacity for independence and self-care.

7. To the extent possible, the participant service plan encourages the participant to use existing capacities, develop new capacities and interests and compensate for existing or developing impairments in capacities.

8. Individual outcomes for each participant are specified in his or her service plan.

Required Services

1. Socialization

- a) Includes planned and structured activities which are designed to utilize the participant's skills to the extent possible, respond to the participant's interests, capabilities and needs, and minimize impairments in capacity
- b) Includes social, intellectual, cultural, educational, and physical group activities.

Yes/No	Supportive Documentation	Comments

	Yes/No	Supportive Documentation	Comments
<p>c) Encourages participant interaction, and seeks to establish, maintain or improve a sense of usefulness, stimulate a desire to use one's physical and mental abilities to the fullest, and promote a sense of self-respect.</p>			
<p>2. Supervision and Monitoring</p>			
<p>a) Staff are observant and aware of the participants' whereabouts, activities and current needs during attendance of the program.</p>			
<p>b) Staff protect the safety and welfare of participants and provide ongoing encouragement and assistance as necessary.</p>			
<p>3. Personal Care Services</p>			
<p>a) Some or total assistance for the participant with toileting, mobility, transfer and eating is provided.</p>			
<p>b) Some or total assistance for the participant with dressing, bathing, grooming, the self-administration of medication, routine skin care, changing simple dressings, or use of supplies and adaptive or assistive equipment is provided.</p>			

	Yes/No	Supportive Documentation	Comments
<p>4. Nutrition</p> <p>a) Nutritious meals are provided at normal meal times, as well as snacks and liquids at appropriate times during the day.</p> <p>b) Meals comply with standards for a nutrition program for the elderly and as established by SOFA unless meals are brought by the participant or the program participates in the USDA Child and Adult Day Care Food Program, or the meals are prepared by participants and/or staff as part of the planned activity of the program.</p>			
<p>D. Optional Services</p> <p>(OPTIONAL) Consistent with the needs of the participant, the program provides the following:</p> <ol style="list-style-type: none"> 1. Maintenance and enhancement of daily living skills, including activities which supplement/maintain/enhance the participants' own, and/or training which assists participants to learn or relearn self-care skills. These include instrumental activities of daily living, self-care skills, use of supplies and adaptive and assistive equipment and other appropriate skills. 2. Transportation between the home and the program. 			

	Yes/No	Supportive Documentation	Comments
<p>3. Caregiver Assistance</p> <p>a) Facilitates caregiver support and understanding of the participant and his or her condition, the service plan, and how to maximize participant skills at home; and</p> <p>b) Identifies sources of assistance and facilitates access for the informal caregiver including support groups, respite and other related assistance.</p>			
<p>4. Case Coordination and Assistance</p> <p>a) Establishes and maintains effective linkages, coordinates services, and makes and accepts referrals to and from other service providers; and</p> <p>b) Advises and assists participants and their caregivers in relation to benefits, entitlements, and other information and assistance as necessary.</p>			
<p>II. PROGRAM STANDARD: ADMINISTRATIVE</p>			
<p>A. Policies and Procedures</p>			
<p>1. Written policies and procedures are established, followed and on file in regards to the following:</p> <p>a) Participant eligibility</p> <p>b) Admission and discharge</p> <p>c) Service plan</p>			

Yes/No	Supportive Documentation	Comments
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- d) Staffing plan, including paid and volunteer staff
- e) Participants' rights
- f) Services delivery
- g) Program self-evaluation
- h) Records
- i) Emergency preparedness

B. Program Self-Evaluation

The program conducts and has on file for review annual self-evaluations of its administrative, fiscal and program operations, including feedback from participants and caregivers.

C. Records

1. The following information is maintained on file by the program:
 - a) Administrative and financial records;
 - b) Participant personal records containing identifying, emergency and medical information including physician name, diagnosis and medications; and
 - c) Services records including the individual assessment, the service plan, and documentation of delivery of services.
2. All information is treated confidentially.

	Yes/No	Supportive Documentation	Comments
<p>D. Staffing</p> <p>1. General Requirements</p> <p>a) The program has an adequate number of qualified staff, which may include volunteers, to follow regulations as stated and ensure the health, safety and welfare of the participants.</p> <p>b) During the program day, there are at least two program staff, one of whom is a paid staff person, with the participants.</p> <p>c) The program ensures that:</p> <ol style="list-style-type: none"> 1) The health status of each staff person who may have contact with (including the program director) is assessed and documented annually; 2) The health status of each new staff person is assessed and documented prior to beginning participant contact; and 3) Each staff person who may have contact with participants is given a ppd (Mantoux) skin test for tuberculosis no less than every two years following their initial pre-employment screening (or more frequently as determined by the State Office for the Aging.) 			

	Yes/No	Supportive Documentation	Comments
<p>2. Personnel</p> <p>a) Director:</p> <p>1) The program has a paid director with appropriate educational qualifications and work experience.</p> <p>2) The duties of the Director include:</p> <p>a) The authority and responsibility necessary to manage and implement the program;</p> <p>b) Ensuring compliance and conformity with all applicable local, State and Federal laws and regulations;</p> <p>c) Submission of program reports as necessary; and</p> <p>d) Responsibility for policies and procedures as required.</p> <p>b) Service Staff:</p> <p>Service staff are responsible for carrying out the individualized service plan for participants.</p>			
<p>E. Volunteers</p> <p>1. Volunteers are trained in accordance with the types of tasks which they are assigned and those they may perform occasionally.</p>			

2. Volunteers who have contact with the participants meet the same requirements as do service staff under SOFA regulations including the health status assessment.

F. Training

1. The program provides all staff with:
 - a) An orientation to the program provider, the community and the program itself;
 - b) Training on working with the elderly, participants' rights, safety and accident prevention;
 - c) At least six hours of in-service training annually to develop, review or expand skills or knowledge; and
 - d) Training at least annually in the use of fire extinguishers, written procedures concerning evacuation, emergency situations, and emergency telephone numbers.
2. The program provides training to staff appropriate to tasks assigned.
3. The program maintains documentation of all appropriate training provided to staff.
4. Training Requirements for Service Staff
 - a) Prior to delivering any services, all service staff must complete basic training or have equivalent knowledge and skills in the following:

Yes/No	Supportive Documentation	Comments

	Yes/No	Supportive Documentation	Comments
1) Orientation to personal care skills; 2) Body mechanics; and 3) Behavioral management.			
b) Additional training is provided to staff (and volunteers) within three months of employment:			
1) Training is directed by a registered professional nurse, social worker, home economist, and/or appropriate professional with at least a Bachelor's degree or four years professional experience in an area related to the delivery of human services or education.			
2) Training totals at least twenty hours of group, individual and/or on-the-job training.			
3) Training covers the following topics:			
a) Socialization skills and activities;			
b) Supervision and monitoring;			
c) Personal care skills taught by a registered nurse;			
d) Family and family relationships;			

	Yes/No	Supportive Documentation	Comments
<ul style="list-style-type: none"> e) Mental illness and mental health; and f) Cardiopulmonary resuscitation (CPR). c) Training of staff includes evaluation of each individual for competency in the required content areas. d) Program provides periodic on-the-job training as necessary to ensure the safety and competency of its workers. 			
<p>5. Equivalent Training for Service Staff</p>			
<ul style="list-style-type: none"> a) The following are acceptable equivalents for the training requirements noted under 4.a)-c): <ul style="list-style-type: none"> 1) Personal care training approved by SDSS; 2) Home health aide or nurses aide training approved by SDoH; or 3) Employed for at least 3 months prior to Sept. 1, 1994 by a social adult day care program which has been funded by an AAA. b) Persons who have completed adult day care worker training approved by OMRDD may be considered to have met those portions of the training requirements which the program judges as equivalent. c) Documentation of equivalent training is maintained in personnel records. 			

G. Consultants

(OPTIONAL) Program arranges for consultants to assist in education, staff training, and other appropriate tasks.

H. Physical Environment and Safety

1. The facility is large enough to accommodate program activities and services.
2. The program maintains and operates buildings and equipment in a manner which acts to prevent fire and other hazards to personal safety.
3. The program has provided written notification of its presence and hours of operation to local fire department.

I. Emergency Preparedness

1. The program maintains current written procedures for handling emergencies (such as flood, fire, choking, and fainting).
2. There is a file on each participant that is easily located listing identifiable information including physician's name and telephone number and family members name and telephone numbers, needed in emergencies.
3. The program conducts and documents at least two fire drills a year.

Yes/No	Supportive Documentation	Comments

J. Insurance

The program has sufficient insurance coverage, including personal and professional liability.

K. Participants' Rights

1. The program provides a copy of participants' rights and an explanation of rights to the participants and/or caregivers at the time of admission to program.
2. The following participant rights are protected and promoted by the program:
 - a) Participants are treated with dignity and respect;
 - b) Participants are not subjected to verbal, sexual, mental, physical, or financial abuse, corporal punishment or involuntary work or service;
 - c) Participants are protected from chemical or physical restraint;
 - d) Participants are not subjected to coercion, discrimination or reprisal;
 - e) Participants' are free to make personal choice in regards to accepting or refusing services and/or activities offered; and
 - f) Participants' personal information is kept confidential.

Yes/No	Supportive Documentation	Comments

3. Program posts participants' rights and information on AAA and SOFA in a public place clearly visible to participants, families and program staff.

Yes/No	Supportive Documentation	Comments