Kentucky Department For Aging and Independent Living

DAIL-ALC-2, Assisted-Living Community Certification Check List

Edition 11/2015

Community Name: _____ Certification #_____

Address_____

_____Telephone #_____

Reviewer: _____ Date: _____

Review Type: Initial Certification _____ Annual Certification _____
Biennial Certification _____ Complaint _____

Number of Certified Units: _____ Number of Hospice Clients: _____
Number of Residents: _____ Reports of Abuse, Neglect or Exploitation: Yes / No
Number of Temporary Conditions: _____

Met (√)	Not Met (√)	
		I. Administration
		I.1. Application for certification received:
		(a) at least 60 days prior to planned opening; or
		(b) by July 1; and
		(c) includes all required documents
		I.2. A written policy and procedure that the ALC staff and management receive orientation as applicable to the employee's assigned duties. (KRS 194A.719(1))
		I.3. A written policy and procedure that the ALC shall provide a move-out notice in writing and assist the client upon being issued a move-out notice to find appropriate living arrangements, including providing information from the Department regarding options to alternative living arrangements. (KRS 194A.705(4))
		I.4. A written policy and procedure that assures reporting and recordkeeping of alleged or actual cases of abuse, neglect or exploitation of an adult under KRS 209.030 to include the date and time of the report, the reporting method, and a brief summary of the alleged incident. (KRS 194A.709(2))
		I.5. A written policy and procedure that any ALC staff member who has a reasonable cause to suspect that a client has suffered abuse, neglect, or exploitation shall report the abuse, neglect, or exploitation under KRS 209.030 (KRS 194A.709(3))
		I.6. A written policy and procedure that clients of the ALC shall meet the following criteria:
		(a) Be ambulatory or mobile non-ambulatory, unless due to a temporary condition. (KRS 194A.711(1))
		(b) Not be a danger. (KRS 194A.711(2))
		I.7. Evidence that the ALC shall provide to any interested person a copy of KRS 194A.700-729 and relevant administrative regulations. (KRS 194A.715(1))
		I.8. A written policy and procedure that ensures no employee who has an active communicable disease reportable to the Department for Public Health (902 KAR 2:020) shall be permitted to work in an ALC if the employee is a danger to the clients or other employees. (KRS 194A.717(4))
		I.9. A written policy that describes how each client has access to the following services according to the lease agreement: (KRS 194A.705(1))
		(a) Assistance with activities of daily living and instrumental activities of daily living;
		(b) Three (3) meals and snacks made available each day;

		(c) Scheduled daily social activities that address the general preferences of clients;
		(d) Assistance with self-administration of medications.
		I.10. A written policy on:
		(a) CPR to include the procedure if initiated by staff (KRS 194A.719(1)(d); and
		(b) How clients and prospective clients are informed of the policy. (KRS 194A.719 (1)(d))
		I.11. All applications for employment in an Assisted-Living Community (ALC) shall include in a conspicuous place, the following statement: "FOR THIS TYPE OF EMPLOYMENT STATE LAW REQUIRES A CRIMINAL BACKGROUND CHECK AS A CONDITION OF EMPLOYMENT." (KRS 216.793)
		I.12. A written policy:
		(a) Stating that clients may arrange for additional services under direct contract or arrangement with an outside agent, professional, provider or other individual designated by the client as permitted by ALC policies. (KRS194A.705(2))
		(b) That informs the client in writing of the policy (KRS 194A.705 (3))
		I.13. A written policy and procedure on the ALC's provision and practices related to KRS 194.A705 (910 KAR 1:240 Section 7 (2) (f) (1) (ALC's process for providing services
Comments:		

Met (√)	**Not Met (√)**	**II. Physical Plant**
		II.1. Each living unit must be at least 200 square feet for single occupancy or for double occupancy if the room is shared with a spouse or another individual by mutual agreement. (KRS 194A.703(1)(a)) *(Note: See Exemptions (KRS 194A.721(3))*
		II.2. Each living unit must have a private bathroom with a tub or shower. (KRS 194A.703(1)(b)) *(Note: See Exemptions (KRS 194A.721(1)(2)).*
		II.3. Each living unit must have at least one unfurnished room with a lockable door. (KRS 194A.703(1)(b))
		II.4. Each living unit must have a window to the outdoors. (KRS 194A.703(1)(b))
		II.5. Each living unit must have provisions for emergency response. (KRS 194A.703(1)(b))
		II.6. Each living unit must have a telephone jack. (KRS 194A.703(1)(b))
		II.7. Each living unit:
		(a) Must have an individual thermostat control if the ALC has more than twenty (20) units (KRS 194A.703(1)(c))
		(b) An ALC must have temperatures that are not under a client's direct control at a minimum of seventy-one (71) degrees Fahrenheit in winter conditions or no more than eighty-one (81) degrees Fahrenheit during summer conditions if the ALC has twenty (20) or fewer units. (KRS 194A.703(1)(d))
		II.8. Each Client has access to a laundry facility. (KRS 194A.703(2))
		II.9. Each Client has access to central dining. (KRS 194A.703(2))
		II.10. Each Client has access to a central living room. (KRS 194A.703(2))
		II.11. Documentation of compliance with applicable building and life safety codes as determined

		by the building code or life safety code authority with jurisdiction. (KRS 194A.703(3))	
		(a) Health department inspection	Date:
		(b) Fire marshal inspection.	Date:
		(c) Retail food service license	Date:
		(d) Elevator permit	Date:
		(e) Certificate of occupancy (for new or renovated ALC's)	Date:
		(f) Salon License	Date:
		(g) Beautician or barber license	Date:
		(h) Fire Systems	Date:
		(i) Other	Date:
		(j) Other	Date:
Comments:			

Met (√)	Not Met (√)	**III. Lease Agreement (KRS 194A.713(1) – (14))**
		III.1. Must be written in at least twelve- (12) point font. (KRS 194A.713)
		III.2. Emergency contact person's name. (KRS 194A.713(1)(a))
		III.3. Name of responsible party or legal guardian, if applicable. (KRS 194A.713(1)(b))
		III.4. Attending physician's name. (KRS 194A.713(1)(c))
		III.5. Information regarding personal preferences and social factors. (KRS 194A.713(1)(d))
		III.6. Advance Directive, if desired by the client. (KRS 194A.713(1)(e))
		III.7. ALC's policy regarding termination of the lease agreement. (KRS 194A.713(2))
		III.8. Terms of Occupancy. (KRS 194A.713(3))
		III.9. General Services and Fee Structure. (KRS 194A.713(4))
		III.10. Information regarding specific services provided, description of the living unit, and associated fees. (KRS 194A.713(5))
		III.11. Provisions for modifying client services and fees. (KRS 194A.713(6))
		III.12. Minimum thirty- (30) day notice provision for a change in the community's fee structure. (KRS 194A.713(7))
		III.13. Minimum thirty- (30) day written move-out notice provision for client non-payment, subject to applicable landlord & tenant laws. (KRS 194A.713(8))
		III.14. Provisions for: (a) Assisting any client that has received a written move-out notice to find appropriate living arrangements prior to the actual move-out date.
		(b) Informing the client in writing of the policy (KRS 194A.705(3))
		III.15. Refund and Cancellation policies. (KRS 194A.713(10))
		III.16. Description of special programming, staffing, or training if an ALC is marketed as providing special programming, staffing, or training on behalf of clients with particular needs or conditions. (KRS 194A.713(11))
		III.17. Other rights and responsibilities of the client, including compliance with:
		(a) Arranging for additional services under direct contract or arrangement with an outside agent, professional, provider, or other individual designated by the client if permitted by the policies of the ALC. (KRS 194A.713 (13) and KRS194A.705(2)); and
		(b) Informing the client in writing about policies relating to contracting or arranging for additional services. (KRS 194A.713(13) and KRS 194A.705(3))

		III.18. Other community rights, policies, practices, and conditions. (KRS 194A.713(12))
		III.19. Grievance policies that minimally address issues related to confidentiality of complaints and the process for resolving grievances between the clients and the ALC. (KRS 194A.713(14))
Comments:		

Met (√)	**Not Met (√)**	**IV. Special Programming**
		IV.1. Assisted-living community description of: (KRS 194A.713(11))
		(a) special programming
		(b) staffing
		(c) training
		IV.2. Assisted-living community provides services within the limitations of KRS 194A.700 through 729
		If special programming relates to Alzheimer's disease or related disorders: (KRS 216.595 (1) (a))
		IV.3. Maintains a written and current manual in the office of the Director; and
		(a) made available for inspection upon request of any person
		(b) shall make a copy of any program or service information contained in the manual at no cost to the person making the request.
		IV.4. Any advertisement of the community or facility shall contain the following statement: "Written information relating to this community's or facility's services and policies is available upon request." (KRS 216.595 (1) (b))
		IV.5. Shall post statement in the entrance or lobby as follows: "Written information relating to this community's or facility's services and policies is available upon request." (KRS 216.595 (1) (c))
		IV.6. The community or facility shall maintain and update written information on the following: (KRS 216.595 (2) (a - i))
		(a) The ALC's mission or philosophy statement concerning the needs of clients with Alzheimer's disease or related disorders;
		(b) The process and criteria the ALC uses to determine placement into services for persons with Alzheimer's disease or related disorders;
		(c) The process and criteria the ALC uses to transfer or discharge persons from special services for Alzheimer's or related disorders;
		(d) The supervision provided for clients with a medical diagnosis of Alzheimer's disease or related disorders;
		(e) The family's role in care;
		(f) The process for assessing, planning, implementing, and evaluating the plan of care for persons with Alzheimer's disease or related disorders;
		(g) A description of any special care services for persons with Alzheimer's disease or other related disorders;
		(h) Any costs associated with specialized services for Alzheimer's disease or related disorders; and
		(i) A description of dementia-specific staff training that is provided, including but not limited

		to the content of the training, the number of offered and required hours of training, the schedule for training and the staff who are required to complete the training.
Comments:		

Met (√)	Not Met (√)	V. Staff Qualifications and Requirements
		V.1. Manager must 1) be at least 21 years of age, 2) have high school diploma or a GED, and 3) have demonstrated management or administrative ability to maintain the daily operations. (KRS 194A.717(3))
		V.2. Staff member completing the functional needs assessment shall have one of the following:
		(a) A bachelor's degree in health or human services, or a related field;
		(b) An associate's degree in health or human services or a related field and one (1) year experience working with the elderly or conducting assessments; or
		(c) A high school diploma or its equivalency and two (2) years of experience working with the elderly or conducting assessments.
		V.3. One (1) awake staff member shall be on site in the assisted living community at all times documented by the work schedule. (KRS 194A.717(2))
		V.4. Staffing in an ALC shall be sufficient in number and qualification to meet the twenty-four (24) hour scheduled needs of each client pursuant to the lease agreement and functional needs assessment. (KRS 194A.717(1))
		V.5. Criminal records check obtained from the Kentucky Justice Cabinet or the Administrative Office of the Courts evidencing that applicants who are employed on or after July 14, 2000 have not been convicted of a felony offense related to theft; abuse; or sale or illegal drugs; or a sexual crime; or a felony or misdemeanor offense related to abuse, neglect, or exploitation of an adult. (KRS 216.789(3) and KRS 216.785(2))
		V.6. If the assisted-living community knowingly employed a person convicted of a felony offense or misdemeanor described in V.4., the community shall immediately terminate the employee upon the finding.
		V.7. The assisted-living community has not had a repeat violation for hiring an individual described in V.4 in the last 3 years.
Comments:		

VI. PERSONNEL RECORDS &TRAINING REQUIREMENTS						
	Employee: ___ Positions: ___ Date of Hire: ___		Employee: ___ Positions: ___ Date of Hire: ___		Employee: ___ Positions: ___ Date of Hire: ___	
VI. Personnel Records	**Check if met**		**Check if met**		**Check if met**	
VI.1. Completed application with criminal record check notice pursuant to KRS 216.793(1)						
VI.2.(a) Criminal Record Check applied for no sooner than forty-five (45) days prior to but no later than seven (7) days following an employee's first day of work.						
(b) Checked every other year through the Kentucky Justice Cabinet, or Administrative Office of the Courts, and a criminal record check from any state the employee lived, if lived outside of KY in the last three years.						
(c) A criminal record check upon hire from any state the employee lived outside of KY in the last three years;						
(d) A criminal record check at least every other year from the state the employee resides if the employee maintains residency outside of Kentucky ;						
VI.3. New employees upon their initial date of hire and at least annually thereafter, shall be checked and not be found on the:						
(a) Central Registry:						
(b) Adult Protective Services Caregiver Misconduct Registry; and						
(c) Nurse Aide abuse registry.						
VI 4. Use of Kentucky's national background check program established by 906 KAR 1:190 to satisfy VI. 2 (b)-(c) and VI 3(a)-(c) annually as applicable.						
VI 5. Verification that employee reads and agrees to policy on communicable disease pursuant to KRS 194A.717(4).						
VI.6. Written documentation of required training for each employee to be completed within ninety (90) days of hire and at least four (4) topics annually as applicable to the employee's assigned duties (KRS 194A.719 (1)(2))	90 day Due Date:___	Annual Training	90 day Due Date:___	Annual Training	90 day Due Date:___	Annual Training
VI.7 (a) Client Rights.						
(b) ALC Policies.						
(c) Adult First Aid.						

(d) CPR (per ALC Policy) (KRS 194A.719(1)(d))						
(e) Adult Abuse & Neglect.						
(f). Alzheimer's disease & other types of dementia.						
(g) Emergency Procedures.						
(h) Aging Process.						
(i) Assistance in Activities of Daily Living and Instrumental Activities of Daily Living.						
(j) Particular needs or conditions if ALC markets itself as providing special programming, staffing or training on behalf of clients with particular needs or conditions.						
(k) Assistance with Self-Administration of Medications.						

COMMENTS:

VII. CLIENT RECORDS					
	Client:_____ Move in: _____ Unit Number: _____	Client:_____ Move in: _____ Unit Number: _____	Client:_____ Move in: _____ Unit Number: _____	Client:_____ Move in: _____ Unit Number: _____	Client:_____ Move in: _____ Unit Number: _____
	Check if met	**Check if met**	**Check if met**	**Check if met**	**Check if met**
VII.1. lease agreement executed by the client and the assisted living community (KRS 194A.713)					
a) Lease with all attachments included					
VII.2. Client functional needs assessment in file					
a) Pertains to client's ability to perform activities of daily living and instrumental activities of daily living.					
b) Ensures client meets eligibility for assisted living (mobile or ambulatory non mobile and not be a danger) (KRS 194A.711) and 194A.700(2) the client has at least minimal ability to verbally direct or physically participate in the activity with which assistance is being provided.					
d) Initial FNA completed and documentation of copy given to client upon move-in (KRS 194A.705(5)(a))					
c) Annual FNA completed and documentation of copy given to client after move-in (annually) (KRS 194A.705(5)(b))					
d) Administered by qualified individual as follows:					
1. A bachelor's degree in health or human service, or a related field; or					
2. An Associate's Degree in health or human service and one (1) year experience working with the elderly or conducting assessments; or					
3. A high school diploma or its equivalency and two years' experience working with the elderly or conducting assessments.					
VII.3. Personal preferences and social factors updated at least every two years. (KRS 194A.705(1)(c))					
a) completed and					

b) identifies preferences					
VII.4. Other information as applicable:					
a) temporary condition documented (KRS 194A.711(1))					
b) how ensure not a danger					
VII.5. Documentation of client designated representative if applicable					
VII.6. Documentation that client received copy of ALC's CPR policy (KRS 194A.719(1)(d))					
VII.7. Interview to assess client meets eligibility criteria established pursuant to KRS 194A.711 and 194A.700(2).					

Comments:

Yes (√)	No (√)	VIII. Statement of Danger
		VIII.1. During the review did the department find a client(s) to be a danger? If yes complete this section.
		(a) Did reviewer notify ALC of findings of danger during on site review?
		(b) Did reviewer provide a copy of the DAIL-ALC-4 Statement of Danger to the ALC
		VIII.2. Did the ALC comply with 910 KAR 1:240 Section 9(10) and Section 10(2)(e)1. as follows:
		(a) Within forty-eight (48) hours
		(b) If on a Friday and then by 4:30pm E.S.T. the next business day, of receiving the DAIL-ALC-4 the assisted-living community shall submit a written response to the department that confirms:
		(1) The client has been issued move-out notice and assisted with finding alternative living arrangements; or
		(2) How the danger has been eliminated; or
		(3) Why the danger is disputed
		VIII.3. Did the ALC fail to initiate one of the above requirements?
		VIII.4. (a) Did ALC receive Statement of Danger citation within one (1) year of previous certification review? (KRS 194A.707(2)(c)1.)
		(b) Did ALC receive findings substantiated by the Cabinet that the ALC delivered a health service? (KRS 194A.707(2)(c)2.)
		VIII. 5 (a). Was the ALC issued more than two (2) Statements of Danger on separate dates within a six (6) month period that were not withdrawn by the Department? (KRS 194A.724)
		(b) Was a fine imposed and collected by the Department? (KRS 194A.724)

Comments:

Yes (√)	No (√)	IX. Implementation of Plan of Correction
		IX. 1. Was the most recent approved plan of correction implemented?
		(a) Under current ownership
		(b) Within the plan of corrections specified timeframe on the DAIL-ALC-3.

Comments: