

Assisted Living Training

**Utilizing Outside
Service Providers**

**Temporary Health
Condition**

**Functional Needs
Assessment**



Utilizing Outside Service Providers

KRS 194A.705 (2 – 3)

- 2) Clients of an assisted-living community may arrange 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 assisted living community; examples include:
- Home Health
 - Elder Companion
 - Private Duty Nurse
- 3) Upon entering into a lease agreement, an assisted-living community shall inform the client in writing about the policies relating to the contracting or arranging for additional services

Purpose: Clients may contract for services that are beyond those allowed by ALC staff, including but not limited to administration of medications, wound care, diabetic care.

Utilizing Outside Service Providers

- ❑ **KRS 194A.711 – Criteria to be met by ALC Clients**
 - Ambulatory; Non-ambulatory, mobile
 - ↳ Unless due to a temporary health condition for which health services are being provided in accordance with KRS 194A.705 (2) and (3)
 - Not be a danger (to self or others)

- ❑ Outside service providers are not to be used in order to 'make' an individual appropriate for assisted living
 - **Unless loss of mobility:**
 - ↳ Due to a **temporary health condition** for which health services are being provided; with the expectation of recovery
 - ↳ Due to a condition necessitating **Hospice or other end of life services**

Temporary Health Condition

Definition:

- A condition that affects a client and for which health services are being provided (by an outside service provider KRS 194A.711 and KRS 194A.705 (2)(3))

This means...

- Loss of mobility **before or after** entering into a lease, **expectation to regain mobility**, or
- Loss of mobility **after entering into a lease**, **no expectation of recovery**, end of life services are in place, i.e. Hospice



Purpose: To allow individuals to reside in ALC if the ability to regain ambulation is expected, or the right to die in place as long as they are not a danger to self/others.

Temporary Health Condition

- ❑ Temporary health conditions/Hospice or similar end of life services specifically relate to **mobility** per 910 KAR 1:240
- ❑ Clients cannot move-in to an ALC if they are a danger to self or others due to level of care need beyond the scope of assisted-living
- ❑ The allowance of a temporary health condition is **not** meant to be a long-term care alternative for a client in assisted-living

Hospice or End of Life Service

- ❑ Hospice or similar end of life services may be utilized by a client in an ALC **after** entering into a lease agreement; client is not expected to recover
- ❑ A client **may** move into an ALC with Hospice services already in place **if** the client **meets** the ALC client criteria independent of Hospice services
- ❑ A client **may not** move into an ALC with Hospice services already in place if the client **does not meet** ALC client criteria pursuant to KRS 194A.711

Hospice or End of Life Service

- ❑ ALC shall ensure that the client is not a danger to self/others while remaining at the ALC, **which applies to all clients at all times**
- ❑ Hospice or similar end of life services are **not** intended to be a long-term care alternative for clients beyond the level of care for assisted-living
- ❑ ALC shall have a **written plan** in place explaining how the client is not a danger to self/others [910 KAR 1:240 Sec7(2)(e)(3)(ii)b], including an **evacuation plan** and a **back-up plan**

Required Documentation

910 KAR 1:240 Section 7(2)(e)(3)

- Documentation in a client's file
- From a licensed health service provider
- Requested of the client by the ALC
- Stating that the client has a temporary health condition
- Plan from the ALC that ensures the client is not a danger, including if Hospice or similar end of life services are provided

Required Documentation

This means...

- ↪ A written plan, including evacuation and back-up plan, that ensures a client is not a danger to him/herself or others
- ↪ A client's **FNA** reflects the client's ongoing abilities
- ↪ Documentation of outside services that are in place regarding a temporary health condition, or if Hospice/end of life services are in place, and why (concerning mobility)
- ↪ Updated **FNA** documenting client's significant changes in functional status with ADLs and IADLs, such as client's progress/decline

Functional Needs Assessment (FNA)

910 KAR 1:240 Section 7(2)(c)1 – 2

(c) Review of client records including:

1. A completed client functional needs assessment to ensure that the client met the eligibility requirements for assisted-living pursuant to KRS 194A.711 prior to finalizing a lease agreement
2. A functional needs assessment that reflects a client's ongoing ability pursuant to KRS 194A.711 to perform activities of daily living and instrumental activities of daily living

FNA Purpose

FNAs are not just a regulatory requirement...

- Assess a client's appropriateness for ALC
- Identify client's functional abilities with ADLs and IADLs
- Identify client's assistance needs
- May be used to identify client's acuity level and cognitive status
- May be used to identify client's social or behavioral patterns
- Opportunity to obtain information that may affect client's ability to adjust to living in an ALC
- A tool to assist the ALC in determining staffing based upon client scheduled and unscheduled needs
- A tool to assist the ALC in determining activities that address IADLs, i.e. transportation and shopping

ADLS

ACTIVITIES OF DAILY LIVING (ADLS)

Definition:

KRS 194A.700 (1)

–“Activities of daily living” means normal daily activities including bathing, dressing, grooming, transferring, toileting, and eating



Assessing ADLS

- ❑ Most ALCs use a checklist or scoring mechanism when assessing the level of assistance needed with each ADL

Example 1:

- ↪ **Ability to Transfer** (to and from bed, chair, wheelchair - from laying, sitting, to standing)
 - 0 **Independent: Needs no assistance**
 - 1 **Needs assistance with encouragement/cueing**
 - 2 **Limited assistance: Needs some physical help maneuvering, minimal support**
 - 3 **Extensive assistance: Needs continual staff support during physical movement/maneuvering**

Assessing ADLS

- ❑ Most ALCs define assistance parameters based upon the amount of assistance ALC staff provides

Example 2:

↪ Dressing

- 0 No assistance required with dressing needs
- 10 Requires occasional assistance with mechanics of dressing (e.g. buttons, zippers, etc.)
- 10 Requires assistance with dressing and undressing 1x/day
- 20 Requires stand by assistance with clothing selection and/or help with dressing/undressing 2x/day
- 40 Requires stand by assistance with clothes selection and/or help with dressing/undressing 3 or more times a day

Assessing ADLS

- ❑ Some ALCs use a FNA that is a mixture of checklist/scoring mechanism and follow-up questions

Example 3:

- ↪ **Bathing** (how client takes fully body shower; includes transferring in/out)
 - **Independent** (0 pt)
 - **May need reminders or help in/out of shower or turning water on/off** (0 pt)
 - **Needs some help in/out of shower turning water on/off, washing feet and back, may need standby assistance** (0 pt)
 - **Needs encouragement, direction, and/or hands on assistance** (1 pt)
 - **Needs maximum assistance. Needs staff to stay in room** (2 pt)

Is client resistant to bathing (circle one) **No** (0 pt) **Yes** (2 pt)

Assessing ADLS

- ❑ Some ALCs use a FNA that is in a questionnaire format

Example 4:

↪ Bathroom Assistance

- | | | |
|---|----------|----|
| ▪Are you able to use the bathroom independently? | Yes / No | 0 |
| ▪Do you use protective undergarments or pads? | Yes / No | 0 |
| ▪Do you need reminders to independently use the bathroom or to change your protective undergarment or pads? | Yes / No | 3 |
| ▪Do you need staff assistance in the bathroom? | Yes / No | 15 |
| ▪With the use of protective undergarments or pads, do you have episodes of soiling clothes, bedding, furniture, or carpets? | Yes / No | 5 |
| ▪Do you need staff to empty a bedside commode? | Yes / No | 2 |

Assessing ADLS

- ❑ Some ALCs go beyond the basic ADLs to address cognitive status, mood, behavior, frequency of falls, nutritional needs, and wander risk

Example 5:

↪ **Sadness or Anxiety displayed by client:**

- **None:** Client does not display or verbalize sadness or anxiousness
- **Client verbally expresses hopelessness, grief, fears, negative statements**
- **Client tearful:** sighing, breathless without activity, repetitive questions/statements
- **Client is pacing:** wringing hands, picking at clothes, or displays anger with self/others
- **Client withdraws from self-care, does not eat, refuses medications**
- **Client expresses concern about imminent death, or impending doom**
- **Client expresses suicidal thoughts or plan of action**

Assessing ADLS

Example 6:



Wander Risk

- 0 Alert, no impairment. No assistance provided
- 20 Cognitive impairment, no wandering risk, may need redirection
- 600 Cognitive impairment, risk for wandering, redirection needed

Note: This FNA question is used as a rule-out; showing a score that would place the client over the maximum allowable score for residency in this ALC

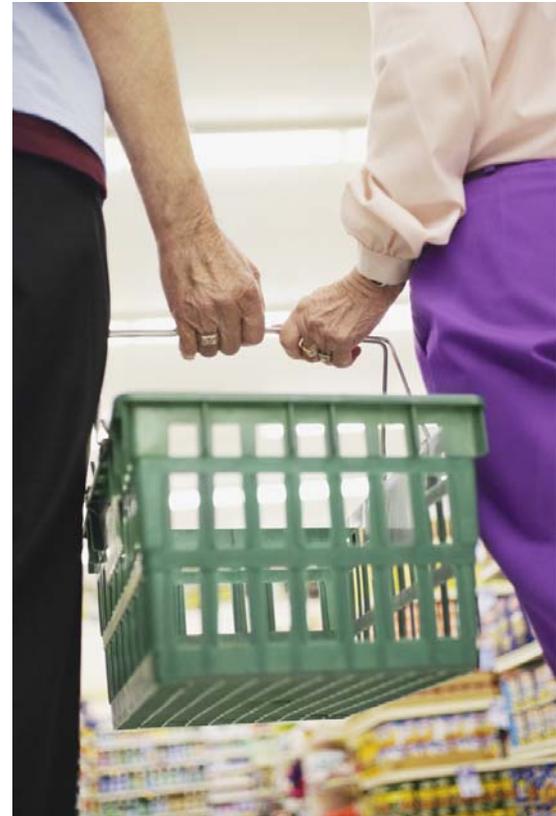
IADLS

INSTRUMENTAL ACTIVITIES OF DAILY LIVING (IADLS)

Definition:

KRS 194A.700 (7)

–“Instrumental activities of daily living” means activities to support independent living including but not limited to housekeeping, shopping, laundry, chores, transportation, and clerical assistance



Assessing IADLs

- ❑ Most ALCs assess client ability in managing only the specific IADLs listed in KRS 194A.700(7): housekeeping, shopping, laundry, chores, transportation, and clerical assistance

Example 1:

↪ Laundry

- 0 **Receives weekly linen service and independently manages additional laundry needs**
- 0 **Requires additional laundering beyond basic services 1x/week**
- 20 **Requires additional laundering beyond basic services 2-4X per week**
- 30 **Requires laundry services 5-7X per week**

Assessing IADLS

- ❑ Some ALCs assess the level of family/friend support to the client with IADLS

Example 2:

- **What is the level of family/responsible party participation with the client?**
 - Family/responsible party communicates with staff and other care providers
 - Occasionally family/responsible party requests staff to intercede with other care providers (personal services)
 - Family/responsible party requires assistance to coordinate outside care visits/resolve concerns
 - Frequent communication/assistance is required between family, staff, and outside providers
 - Family circumstances make communication/participation with client care challenging

Assessing IADLS

- ❑ Some ALCs allow pets and include pet care as an IADL

Example 3:

↪ Pet Care

- 0 Does not require assistance with pet care
- 2 Requires assistance with pet care 1-2 times per week
- 15 Requires assistance with pet care 1 time per day
- 30 Requires assistance with pet care 2 or more times per day



Assessing IADLS

- ❑ Most ALCs include assessment components that address hearing/vision impairments

Example 4:

↪ Visual Abilities

- Partial blindness left or right, but does not require assistance OR Total blindness left or right but does not require assistance (0 pt)
- Needs occasional reminders to wear glasses (1 pt)
- Needs frequent reminders to wear glasses and some assistance due to poor eyesight (2 pt)
- Needs assistance finding lost glasses and/or identifying objects due to visual deficit (3 pt)
- Needs daily assistance due to severe visual deficit (4 pt)

FNAs for Special Programming

910 KAR 1:240 Section 7 (2)(e) 4 a – b

- a. Ensures a client's functional needs assessment that:
 - i. Reflects the client's ongoing abilities as specified in paragraph (c) 2 of this subsection; and
 - ii. Shall be updated at least annually

- b. Complies with the requirements of KRS 216.595

FNAs for Special Programming

KRS 216.595 (2) (a – g)

- (2) The community or facility shall maintain and update written information on the following:
- (a) The assisted-living community's or long-term care facility's mission or philosophy statement concerning the needs of residents with Alzheimer's disease or related disorders;
 - (b) The process and criteria the assisted-living community or long-term care facility uses to determine placement into services for persons with Alzheimer's disease or related disorders;
 - (c) The process and criteria the assisted-living community or long-term care facility uses to transfer or discharge persons from special services for Alzheimer's or related disorders;
 - (d) The supervision provided for residents 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

Frequent FNA Problem Areas

1. FNAs that do not detail client functional abilities/limitations

Example:



Grooming

Independent _____ Client Needs Assistance _____ Other _____

2. FNAs that detail amount of assistance in frequency but not with the type of assistance required

Example:



Bathing

- 1 to 2 times per week
- 3 to 4 times per week
- 5 to 6 times per week
- 6 to 7 times per week
- More than one time daily

Frequent FNA Problem Areas

3. FNA questions that appear to be health services related without specifying service limits of ALC staff, i.e. set-up of materials only

Example:

↪ Assistance with Glucose Checks

of times/day (___) x # days/week (___) = _____

(Each assistance = 2 pts) Total _____

4. FNAs that do not address IADLs
5. FNAs partially completed
6. Staff that are not properly trained to perform FNAs

Frequent FNA Problem Areas

7. Staff that may complete the FNA form correctly but then cannot identify when a client is beyond level of care for ALC
8. Most FNAs do not reflect when a client's functional ability with ADLs and IADLs is affected by a temporary health condition
9. FNAs that do not reflect a client's actual ongoing functional status
10. FNAs conducted only because of the requirement and not used for determining service provision or appropriate level of care

FNA Language

Watch your language!



Language

Assisted-Living Communities are not Healthcare Facilities or Nursing Homes...

There are no KRS or KAR components specifically disallowing certain terminology, however ALC KRS and KAR references imply that ALCs should be distinct from health care services

↪ **KRS 194A.709 Delivery of health services by staff...**

- (1) The department shall report to the Division of Health Care Facilities and Services any alleged or actual cases of health services being delivered by the staff of an assisted-living community.

Language

Total or Complete Assistance

- Use of total or complete assistance is a contradiction
 - ↪ **Complete** - **a**: fully carried out : thorough **b** : total, absolute
(www.merriam-webster.com/)
 - ↪ **Total** -
 - 1 : comprising or constituting a whole : entire
 - 2 : absolute, utter
 - 3 : involving a complete and unified effort especially to achieve a desired effect (www.merriam-webster.com/)
 - ↪ **Assistance** - the act of assisting or the help supplied : to give support or aid (www.merriam-webster.com/)

- Clients in an Assisted-Living must be able to participate in their ADLs and IADLs
 - ↪ KRS 194A.705 (1)(a) **Assistance** with activities of daily living and instrumental activities of daily living

Language

Client vs. Resident

KRS 194A.700 (4)
“**Client**” means an adult person who has entered into a lease agreement with an assisted-living community;

910 KAR 1:240 Sec 7 (1)(b)

A confidential interview with a **client** or access to a **client’s** living unit shall be subject to the **client’s** oral or written consent.

Language

Move-In/Move-Out

vs.

**Admit, Transfer,
Discharge**

KRS 194A.705 (4)

Each assisted-living community shall assist each client upon a **move-out** notice to find appropriate living arrangements...

KRS 194A.713

Contents of **Lease Agreement**.

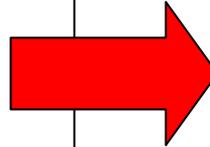
(3) Terms of **occupancy**;

KRS 194A.713 (8)

Minimum thirty (30) day **move-out** notice provision for client nonpayment, subject to applicable landlord or tenant laws;

Language

**Assist Client
vs.
Monitor or Supervise**



KRS 194A.705 (1)

The assisted-living community shall provide each client with the following services according to the lease agreement:

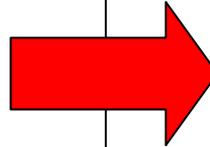
(a) **Assistance** with activities of daily living and instrumental activities of daily living

Language

**Assist with
Self-Administration
of Medication**

vs.

**Give, Monitor,
Supervise, or
Responsibility for
Medications**



KRS 194A.700 (2)

“Assistance with self-administration of medication” means:

- (a) Reminding the client to take medications;
- (b) Reading the medication’s label
- (c) Confirming that medication is being taken by the client for whom it is prescribed;
- (d) Opening the dosage packaging or medication container, but not removing or handling the actual medication;
- (e) Storing the medication in a manner that is accessible to the client; and
- (f) Making available the means of communicating with the client’s physician and pharmacy for prescriptions by telephone, facsimile, or other electronic device;

Language

**Client Data, Records,
or File
vs.
Charts**

910 KAR 1:240 Sec 7(2)

- (c) Review of **client records** including...
- (e)3. Documentation in a **client's file**...

KRS 194A.713

A lease agreement, in no smaller type than twelve (12) point font, shall be executed by the client and the assisted-living community and shall include:

- (1) **Client data**, for the purpose of providing service,...

Language

**Apartment or Unit
vs.
Bed**

KRS 194A.700 (8)

“**Living unit**” means a portion of an assisted-living community occupied as the living quarters of a client under a lease agreement;

KRS 194A.713 (8)

Minimum thirty (30) day move-out notice provision for client nonpayment, subject to applicable **landlord or tenant laws**;

KRS 194A.703 (1-3)

Requirements for **living units**...

FNAs = Documentation

Documentation is **CRITICAL!**

- ❑ Verifies client eligibility
- ❑ Ensures clients' needs are being met
- ❑ Ensures compliance with KRS and KAR requirements
- ❑ Verifies that the ALC operated in compliance
- ❑ Verifies that clients received services as outlined in the legal lease agreement
- ❑ Assists ALC owners/managers in staff oversight and client satisfaction