Assisted Living
State Regulatory Review
2003

May 2003

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National Center For Assisted Living
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Prepared by the
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The National Center for Assisted Living and the American Health Care Association represent nearly 12,000 non-profit and for-profit nursing facilities, assisted living residences, subacute centers and homes for persons with mental retardation or developmental disabilities. These facilities, residences, centers and homes provide care to more than one million elderly and disabled individuals nationally. Members of NCAL and AHCA are long term care providers who believe that the individuals they serve are entitled to a supportive environment in which professional and compassionate care is delivered in a safe and secure setting.
Assisted Living
State Regulatory Review 2003

Assisted living has reached a new level of recognition as a significant provider in the long term care spectrum, evidenced by the increased attention nationwide. Assisted living is no longer a “phenomenon” or a provider category “in its infancy.” It is clearly a long term care option that is preferred by many individuals and their families because of its emphasis on resident choice, dignity and privacy.

Oversight of assisted living occurs at the state level. The varying laws and regulations affecting these settings have created a diverse and fluid operating environment for providers and a mix of terminology, settings, and available services for consumers. Overall, these variations reflect the development of assisted living to meet the needs of the individuals in each particular state.

This report summarizes regulation of assisted living in each state and the District of Columbia. Because many states are developing and refining their assisted living rules and guidelines as this report is published, readers are encouraged to contact the identified state agencies for additional information.

This review is based on the applicable statutes and regulations in each state and specifically summarizes the following information:

- **Agency/Phone Number** is the name and general phone number of the state assisted living regulatory agency.
- **Contact Name/Phone Number/E-mail** is the name, direct phone number, and e-mail address of the state agency representative who is knowledgeable about state regulatory classifications and new initiatives regarding assisted living.
- **Licensure Term** is the term used by the state that most closely fits the general definition of “assisted living.”
- **Opening Statement** includes comments about new assisted living legislation or regulation that is being discussed, drafted, or proposed by the state.
- **Definition** summarizes the state’s definition of the licensure term.
- **Disclosure Items** includes specific information that must be provided to a prospective resident prior to signing a residence or services contract.
- **Facility Scope of Care** summarizes the nursing and personal care services that may be provided.
• **Third Party Scope of Care** indicates whether a third party, such as home health agencies or hospice providers, may provide services.

• **Move-in/Move-out Requirements** summarizes the types of resident conditions that would prevent move-in or mandate move-out.

• **Medication Management** indicates whether administration of medication is permitted and the extent to which assistance with administration is permissible.

• **Physical Plant Requirements** summarizes the square footage requirements for resident units and any other special physical plant requirements.

• **Residents Allowed Per Room** summarizes the maximum number of residents allowed per resident unit.

• **Bathroom Requirements** indicates whether bathrooms may be shared and how many toilets, lavatories, and/or bathing facilities are required per resident.

• **Alzheimer’s Unit Requirements** indicates whether facilities are permitted to care for residents with Alzheimer’s disease and/or summarizes special requirements for facilities that care for such residents.

• **Staff Training for Alzheimer’s Care** indicates any additional training that may be required for staff that provide care for individuals with Alzheimer’s disease or other forms of dementia.

• **Staffing Requirements** lists required staff and may list staff-to-resident ratios.

• **Administrator Education/Training** summarizes qualifications for administrators.

• **Staff Education/Training** summarizes qualifications for various staff positions.

• **Continuing Education (CE) Requirements** summarizes the number of hours of continuing education required annually of administrators and staff.

• **Entity Approving CE Program** lists the state entity that gives prior approval for continuing education courses, if applicable.

• **Medicaid Policy and Reimbursement** summarizes whether the state uses a Medicaid waiver to pay for services in assisted living.

Lyn Bentley
Senior Director of Policy
National Center for Assisted Living
## Alabama

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Department of Public Health, Division of Licensure and Certification  
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Eddie May  
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**E-mail** emay@adph.state.al.us

### Licensure Term

**Assisted Living Facilities**

### Opening Statement

The regulations were revised in November 2001. The revision included major changes to the areas of medication administration and special care units for residents with dementia.

### Definition

An assisted living facility provides room, board, meals, laundry, assistance with personal care, and other services for not less than 24 hours per week. Assisted living is sub-classified according to the number of residents.

### Disclosure Items

None specified.

### Facility Scope of Care

Assistance with activities of daily living such as bathing, oral hygiene, and grooming may be provided. A registered nurse (RN) may provide or supervise care during periods of temporary illness.

### Third Party Scope of Care

Home health services may be provided by a certified home health agency.

### Move-In/Move-Out Requirements

To be admitted, residents may not require restraints or confinement; require limitations on egress from the facility; be unable, because of dementia, to understand the unit dose medication system in use by the facility; or have chronic health conditions requiring extensive nursing care, daily professional observation, or the exercise of professional judgment from facility staff. Residents must be discharged when care "beyond the capabilities and facilities" of the facility is required.

### Medication Management

A resident may either manage, keep, and self-administer his or her own medications or receive assistance with the self-administration of medication by any staff member. Medications managed and kept under the custody and control of the facility shall be unit-dose packaged. In specialty care assisted living facilities that care for residents with dementia, medication must be administered by an RN, licensed practical nurse, or an individual licensed to practice medicine or osteopathy by the Medical Licensure Commission of Alabama.

### Physical Plant Requirements

Private resident units must be a minimum of 80 square feet and double occupancy resident units must be a minimum of 130 square feet.
<table>
<thead>
<tr>
<th><strong>Residents Allowed Per Room</strong></th>
<th>A maximum of two residents is allowed per resident unit.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>Bathrooms may be shared and resident rooms may have common toilets, lavatories, and bathing facilities.</td>
</tr>
<tr>
<td><strong>Alzheimer's Unit Requirements</strong></td>
<td>Facilities that are not licensed as specialty care facilities may neither admit nor retain residents with severe cognitive impairments and may not advertise themselves as a &quot;Dementia Care Facility,&quot; an &quot;Alzheimer's Care Facility,&quot; or as specializing in or being competent for care for individuals with dementia or Alzheimer's disease.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>All staff having contact with residents in specialty care dementia units must receive special training prior to any resident contact.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>There must be an administrator, RN consultants, and personal care staff as needed to provide adequate care and promote orderly operation of the facility. Specifically, there must be at least one staff person for every six residents in the facility per 24 hours (one per 18 average).</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>Administrators are required to be licensed by an Assisted Living Administrator Licensure Board.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>Staff are required to take a 16-hour course within their first year.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>Administrators must complete six hours of continuing education per year.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>At the time of publication, a Medicaid waiver application was pending and approval was expected in the near future. The waiver will provide up to 500 slots for residents in specialty dementia care assisted living facilities.</td>
</tr>
</tbody>
</table>
## Alaska

**Agency**  
Department of Administration, Division of Senior Services  
**Phone**  
(907) 269-3666

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Rik Stavale  
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(907) 269-3645

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Rik_Stavale@admin.state.ak.us

### Licensure Term

**Assisted Living Homes**

### Opening Statement

Alaska is unique due to its size and sparse population. Providers determine the level of care and services they will provide, but must provide the state with a list of these services. Revised regulations were implemented in April 2002.

### Definition

Assisted living homes (or "home") provide a system of care in a home-like environment for elderly persons and persons with mental or physical disabilities who need assistance with activities of daily living.

### Disclosure Items

None specified.

### Facility Scope of Care

Facilities may provide nursing care, assistance with activities of daily living, intermittent nursing services, and skilled nursing care by arrangement. A licensed nurse may delegate certain tasks, including non-invasive routine tasks, to staff.

### Third Party Scope of Care

A resident who needs skilled nursing care may, with the consent of the assisted living home, arrange for that care to be provided in the assisted living home by a licensed nurse if that arrangement does not interfere with the services provided to other residents.

### Move-In/Move-Out Requirements

There are no limits on admission. However, facilities must have a residential services contract in place for each resident. Twenty-four-hour skilled nursing care may not last for more than 45 consecutive days. Terminally ill residents may remain in the facility if a physician confirms their needs are being met. At least 30 days' notice is required before terminating a residential services contract.

### Medication Management

If self-administration of medications is included in a resident's assisted living plan, the facility may supervise the resident's self-administration of medications.

### Physical Plant Requirements

The home must assure that each resident has furniture typical for residents of homes in the community and neighborhood. Residents must have "reasonable privacy." The home must occupy a building that is used exclusively for assisted living, except that a home may be licensed in a building that has more than one occupancy if the other occupancy is consistent with the health, safety, comfort, and well-being of the residents of the...
assisted living home and the other users of the building comply with applicable fire and environmental health codes.

<table>
<thead>
<tr>
<th>Residents Allowed Per Room</th>
<th>No more than two residents may be assigned to a bedroom.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bathroom Requirements</td>
<td>None specified.</td>
</tr>
<tr>
<td>Alzheimer's Unit Requirements</td>
<td>The facility must provide a safe environment for residents with Alzheimer's disease.</td>
</tr>
<tr>
<td>Staff Training for Alzheimer's Care</td>
<td>None specified.</td>
</tr>
<tr>
<td>Staffing Requirements</td>
<td>The home must employ the type and number of care providers and other employees necessary to operate the home. The home must have a sufficient number of care providers and other employees with adequate training to implement the home's general staffing plan and to meet the needs of residents as defined in the residents' residential services contracts and assisted living plans. A care provider must be on duty who has CPR training and first aid training. A criminal background investigation is required of staff.</td>
</tr>
<tr>
<td>Administrator Education/Training</td>
<td>An administrator must be at least 21 years of age, complete an approved management or administrator training course, and have documented experience relevant to the population of residents in the home; or have sufficient documented experience in an out-of-home care facility and adequate education, training or other similar experience to fulfill the duties of an administrator for the type and size of home where the individual is to be employed. A criminal background investigation is required.</td>
</tr>
<tr>
<td>Staff Education/Training</td>
<td>Care providers in non-supervisory roles must be at least 16 years of age. Care providers working without direct supervision must be 18 years of age and care providers who are 21 years of age may supervise other care providers.</td>
</tr>
<tr>
<td>Continuing Education (CE) Requirements</td>
<td>Each administrator must complete 18 clock hours of continuing education annually. Each care provider must complete 12 clock hours of continuing education annually.</td>
</tr>
<tr>
<td>Entity Approving CE Program</td>
<td>None specified.</td>
</tr>
<tr>
<td>Medicaid Policy and Reimbursement</td>
<td>A Medicaid Home and Community Based Services Waiver covers services. A tiered payment system is used to reimburse for services.</td>
</tr>
</tbody>
</table>
Arizona

Agency  Arizona Department of Health Services, Division of Assurance and Licensure, Office of Assisted Living Licensure
Contact  Barbara Harbaugh
E-mail  bharbau@hs.state.az.us

Phone  (602) 674-9775
Phone  (602) 674-9786

Licensure Term  Assisted Living Facilities
Opening Statement  Regulations have been in effect since November 1998. The new licensure category consolidates the previous six licensure categories for residential care institutions (adult care homes, adult foster care homes, supportive residential living centers, supervisory care homes, and unclassified residential care institutions) into a universal assisted living license. This license is sub-classified based on size and level of services provided. All facilities are required to comply with resident rights, food service requirements, administration requirements abuse reporting, and resident agreements. Training requirements vary depending upon level of care. Physical plan requirements vary depending upon size.

Definition  An assisted living facility is a residential care institution that provides or contracts to provide supervisory care services, personal care services, or directed care services on a continuing basis.

Disclosure Items  None specified.

Facility Scope of Care  Facilities may provide personal care services, including assistance with activities of daily living, that can be performed by persons without professional skills or professional training. Facilities may also provide or coordinate intermittent nursing services and the administration of medications and treatment by a licensed nurse.

Third Party Scope of Care  None specified.

Move-In/Move-Out Requirements  A facility must not accept or retain a resident who requires physical or chemical restraints; behavioral health residential services; or services that the assisted living facility is not licensed or able to provide.

Medication Management  Medication administration is permitted by licensed nurses.

Physical Plant Requirements  Facilities must comply with all local building codes, ordinances, fire codes, and zoning requirements. Private resident units must be a minimum of 80 square feet and shared resident units must provide a minimum of 60 square feet per resident.
<table>
<thead>
<tr>
<th>Category</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Residents Allowed Per Room</strong></td>
<td>A maximum of two residents is allowed per resident unit.</td>
</tr>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>Shared bathrooms are permitted with at least one full bathroom for every eight residents.</td>
</tr>
<tr>
<td><strong>Alzheimer's Unit Requirements</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>The regulations require that supervisory care services, personal care services, or directed care services be consistent with the level of service for which the facility is licensed.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>Managers must be at least 21 years of age and certified as assisted living facility managers.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>All staff must be trained in first aid specific to adults. Caregivers must be at least 18 years of age; be trained at the level of service the facility is licensed to provide; and have a minimum of three months of health-related experience. Assistant caregivers must be at least 16 years of age.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>All staff must complete a minimum of 12 hours of continuing education per year in areas related to promotion of resident dignity, independence, self-determination, privacy, choice, and resident rights; fire safety and emergency procedures; infection control; and abuse, neglect, and exploitation prevention and reporting requirements.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid Home and Community Based Services Waiver covers services in assisted living.</td>
</tr>
</tbody>
</table>
**Arkansas**

**Agency**  
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**Licensure Term**  
Assisted Living Facilities, Level I and Level II

**Opening Statement**  
New regulations were adopted in 2002. Facilities are designated as Level I or Level II Assisted Living.

**Definition**  
An assisted living facility is a building or part of a building that undertakes through its ownership or management to provide assisted living services for a period exceeding 24 hours to more than three adult residents of the facility. Assisted living services may be provided either directly or through contractual arrangement. An assisted living facility provides, at a minimum, services to assist residents in performing all activities of daily living (ADLs) on a 24-hour basis.

**Disclosure Items**  
Facilities that have an Alzheimer's Special Care Unit must provide a facility-prepared statement to individuals or their families or responsible parties prior to admission that discloses the form of care, treatment, and related services especially applicable to or suitable for residents of the special care unit.

**Facility Scope of Care**  
The facility may supervise and assist with activities of daily living. Level I facilities provide 24-hour staff supervision by awake staff; assistance in obtaining emergency care 24 hours a day; assistance with social, recreational, and other activities; assistance with transportation; linen service; three meals a day and medication assistance.

Level II facilities offer services that directly help a resident with certain routines and ADLs and assistance with medication only to the extent permitted by the state’s Nurse Practice Act. The assessment for residents with health needs must be completed by a registered nurse (RN).

**Third Party Scope of Care**  
In Level I facilities, home health services may be provided by a certified home health agency on a short-term basis.

**Move-In/Move-Out Requirements**  
The facility must not admit or retain residents whose needs are greater than the facility is licensed to provide.

Level I facilities may not provide services to residents who:

1. Need 24-hour nursing services except as certified by a licensed home health agency for a period of 60 days with one 30 day extension;
2. Are bedridden;
(3) Have transfer assistance needs that the facility cannot meet with current staffing;
(4) Present a danger to self or others or engage in criminal activities; or
(5) Require medication administration to be performed by the facility.

Level II facilities may not provide services to residents who:
(1) Need 24-hour nursing services;
(2) Are bedridden;
(3) Have a temporary (more than 14 consecutive days) or terminal condition unless a physician or advance practice nurse certifies the resident’s needs may be safely met by a service agreement developed by the attending physician or advance practice nurse and the resident;
(4) Have transfer assistance needs that the facility cannot meet with current staffing; or
(5) Present a danger to self or others or engage in criminal activities.

Medication Management
Level I facility staff must provide assistance to enable residents to self-administer medications.

In Level II facilities licensed nursing personnel may administer medication.

Physical Plant Requirements
All living units in assisted living facilities must be independent apartments, including a kitchen that is a visually and functionally distinct area within the apartment or unit. Each apartment or unit of new construction shall have a minimum of 150 square feet per person or 230 square feet for two persons.

A Level II facility must maintain physically distinct parts or wings to house individuals that receive or are medically eligible for the nursing home level-of-care separate and apart from those individuals who do not receive, or are not medically eligible for, the nursing home level-of-care.

Residents Allowed Per Room
An apartment or unit must be single occupancy except in situations where residents are husband and wife or are two consenting adults who have requested and agreed in writing to share an apartment or unit. An apartment or unit may be occupied by no more than two persons.

Bathroom Requirements
Each apartment or unit must have a separate and complete bathroom with a toilet, bathtub or shower, and sink.

Alzheimer's Unit Requirements
Level I and II facilities may have an Alzheimer’s special care unit. There are additional requirements in the areas of assessments, individual support plans for the residents, physical design, egress control, staffing, staff training, and
therapeutic activities.

**Staff Training for Alzheimer's Care**

All staff must be trained within five months of hiring, with no less than eight hours of training per month. The following subjects must be covered in the training: facility policies; etiology, philosophy and treatment of dementia; stages of Alzheimer's disease; behavior management; use of physical restraints, wandering and egress control; medication management; communication skills; prevention of staff burnout; activity programming; activities of daily living; individual-centered care; assessments; and creation of individual support plans. At least two hours of on-going in-service training is required every quarter.

**Staffing Requirements**

A full-time administrator (40 hours per week) must be designated by each assisted living facility. A second administrator must be employed either part-time or full-time depending on the number of beds in the facility.

Level I facilities must have sufficient staff to meet the needs of residents and must meet the staffing ratios specified in regulation. The ratios are based on number of residents and are designated for "day," "evening," and "night."

Level II facilities must employ or contract with at least one RN, licensed practical nurses, certified nursing assistants (CNAs), and personal care aides. The RN does not need to be physically present but must be available to the facility by phone or pager. The facility must have a minimum of one staff person per 15 residents from 7 a.m. to 8 p.m. and one staff person per 25 residents from 8 p.m. to 7 a.m. There must be at least one CNA on the premises per shift.

**Administrator Education/Training**

The administrator must be at least 21 years of age, have a high school diploma or a GED, successfully complete a state criminal background check, and be a certified Assisted Living Facility Administrator through a certification program approved by the state.

**Staff Education/Training**

All staff, including contracted personnel who provide services to residents (excluding licensed home health agency staff), must receive orientation and training on the following topics:

1. Within seven calendar days of hire: building safety and emergency measures; appropriate response to emergencies; abuse, neglect, and financial exploitation and reporting requirements; incident reporting; sanitation and food safety; resident health and related problems; general overview of the job’s specific requirements; philosophy and principles of independent living in an assisted living residence; Residents’ Bill of Rights;
Continuing Education (CE) Requirements

All staff must have six hours per year of ongoing education and training on the areas that were required to be covered during the first seven days of hire.

Entity Approving CE Program

None specified.

Medicaid Policy and Reimbursement

A Medicaid state plan service reimburses for personal care services. A Level II facility may provide care and services to individuals who are medically eligible for nursing home level-of-care and receive services through the Medicaid 1915 (c) Home and Community Based Services Waiver.

(2) Within 30 calendar days of hire: medication assistance or monitoring; communicable diseases; dementia and cognitive impairment; and
(3) Within 180 calendar days of hire: communication skills; review of the aging process and disability sensitivity training.
Licensure Term
Residential Care Facilities for the Elderly

Opening Statement
The Division of Community Care Licensing is currently in the process of reformatting and updating the regulations based on new legislative mandates and public policy. The most significant areas being amended include regulations covering facilities that provide care to residents with dementia; allowing residents who are permanently bedridden to be retained and/or to remain in the facility; use of "as needed" medications in the facility; and elimination of agency approval to care for incidental health care needs.

Definition
A Residential Care Facility for the Elderly (RCFE) is a housing arrangement chosen voluntarily where 75 percent of the residents are 60 years of age or older and where varying levels of care and supervision are provided, as agreed to at the time of admission or as determined at subsequent times of reappraisal. Younger residents must have needs compatible with other residents.

Disclosure Items
None specified.

Facility Scope of Care
The facility may provide assistance with activities of daily living, observation and reassessment, postural support that can be released by the resident, and other types of care. Recent revisions clarify "restricted health conditions" that may be cared for without prior department approval so long as the provider complies with the applicable RCFE regulations for that condition. These incidental medical services include administration of oxygen, catheter care, colostomy/ileostomy care, contractures, diabetes, enemas/suppositories, incontinence, injections, intermittent positive pressure breathing machine, Stage I and II dermal ulcers and wound care.

Third Party Scope of Care
Terminally ill residents may remain in the facility and receive services from a hospice agency. The facility staff, however, is still prohibited from providing services that would go beyond those allowed under the RCFE license.

Move-In.Move-Out Requirements
Residents may not be admitted if they require 24-hour skilled nursing care; are permanently bedridden or unable to leave the building unassisted; have a mental disorder resulting in ongoing
behavior that would upset the general resident group; would require a greater amount of care and supervision than the other residents; or cannot generally benefit from the program service available in the facility.

**Medication Management**
Facility staff may assist residents with the self-administration of medication.

**Physical Plant Requirements**
The regulations allow for private or semi-private resident rooms. Resident rooms must be furnished and of sufficient size to allow for easy passage of wheelchairs and walkers.

**Residents Allowed Per Room**
A maximum of two residents is allowed per resident unit.

**Bathroom Requirements**
Common toilets, bathing, and lavatory facilities are permitted.

**Alzheimer's Unit Requirements**
Secured perimeters are permitted for Alzheimer's or other dementia residents. Facilities may opt to install delayed egress doors or lock perimeters. Approval from the licensing authority is required for licensees serving this population. New regulations are expected to go into effect in 2003/2004 that will require those facilities that advertise that they specialize in Alzheimer's disease and dementia care to meet minimum training requirements on how to care for these residents.

**Staff Training for Alzheimer's Care**
Direct care staff in these types of facilities must receive six hours of dementia care orientation and eight hours of in-service training per year on the subject.

**Staffing Requirements**
Facility personnel must be sufficient to provide the services necessary to meet resident needs.

**Administrator Education/Training**
An administrator must complete a 40-hour approved certification program (nursing home administrators are exempt from this requirement); 15 college or continuing education units; and have at least one year of experience or equivalent (in facilities with 16-49 residents) or two years of college and at least three years of experience (in facilities with 50 or more residents). Nursing home administrators are exempt from the certification requirement, but are required to take 12 continuing education courses in RCFE administrator core curriculum subjects.

**Staff Education/Training**
Services requiring specialized skills are to be provided by qualified personnel in accordance with recognized professional standards.

**Continuing Education (CE) Requirements**
Administrators must complete 40 hours of CE every two years in areas related to aging and/or administration.

**Entity Approving CE Program**
State Department of Social Services, Community Care Licensing, Program Support Bureau
Medicaid Policy and Reimbursement

No Medicaid Home and Community Based Services Waiver at this time; however, legislation passed in 2000 provides for a demonstration project to test the effectiveness of this type of reimbursement in RCFEs. It has not yet been developed.
## Licensure Term
Assisted Living Residence

## Opening Statement
The regulations have been in effect since 1993. Revisions were made in 2002.

## Definition
Assisted living residences are residential facilities that make available to three or more adults who are unrelated to the owner, either directly or indirectly through an agreement between the provider and the resident: room and board and personal services; protective oversight; social care due to impaired capacity to live independently; and regular supervision available on a 24-hour basis, but not to the extent that regular 24-hour medical nursing care is required.

## Disclosure Items
None specified.

## Facility Scope of Care
The facility must make available, either directly or indirectly through a provider agreement, at least the following: a physically safe and sanitary environment; room and board; personal services; protective oversight; and social care sufficient to meet the needs of the resident.

## Third Party Scope of Care
A facility may choose to contract with home health agencies for services beyond what it provides.

## Move-In/Move-Out Requirements
A facility may not admit or keep any resident requiring a level of care or type of service that the facility does not provide or is unable to provide, but in no event may admit or keep a resident who is consistently, uncontrollably incontinent of bladder unless the resident or staff is capable of preventing such incontinence from becoming a health hazard; is consistently, uncontrollably incontinent of bowel unless the resident is totally capable of self care; is totally bedfast with limited potential for improvement; needs medical or nursing services on a 24-hour basis; needs restraints; or has a communicable disease or infection unless the resident is receiving a medical or drug treatment for the condition.

## Medication Management
All personal medication is the property of the resident and no resident shall be required to surrender the right to possess or self-administer any personal medication, except as otherwise specified in the board-and-care plan of a resident of a facility that is licensed to provide services specifically for the mentally ill. For residents who are unable to self-administer medications
Physical Plant Requirements
Private resident units must be a minimum of 100 square feet and double occupancy resident units must provide a minimum of 60 square feet per resident.

Residents Allowed Per Room
A maximum of two residents is allowed per resident unit. In facilities licensed prior to July 1, 1986, up to four residents are allowed per room, until either a substantial remodeling or a change of ownership occurs.

Bathroom Requirements
Shared bathrooms are permitted with at least one full bathroom for every six residents.

Alzheimer's Unit Requirements
Secured units for the purposes of serving residents with Alzheimer's disease are allowed and additional requirements are set forth in the regulations.

Staff Training for Alzheimer's Care
Staffing must be adequate and staff must be trained to meet residents' needs. For those facilities choosing to provide secure care, at least one trained staff member must be in the secured unit at all times.

Staffing Requirements
Staffing must be adequate to meet residents' needs and there is no specific staff ratio.

Administrator Education/Training
Operators must be at least 18 years of age and may meet the minimum educational, training, and experience standards in one of the following ways: completing a Department of Public Health-approved program or having previous, job-related experience equivalent to successful completion of such program. The administrator must have the equivalent of 30 hours of training in 15 required topics and 15 hours of training pertinent to the care needs of the residents served by the facility.

Staff Education/Training
Staff shall be given on-the-job training or have related experience in the job assigned to them. Additionally, staff must be provided with training in residents' rights, fire safety and emergency procedures, assessment skills, first aid, and dealing with difficult situations and behaviors.

Continuing Education (CE) Requirements
None specified.

Entity Approving CE Program
None specified.

Medicaid Policy and Reimbursement
A Medicaid Home and Community Based Services Waiver covers services in alternative care facilities. Facilities are...
reimbursed on a flat rate, per diem basis.
### Connecticut

**Agency**  
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(860) 509-7400

**Contact**  
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**E-mail**  
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<table>
<thead>
<tr>
<th>Licensure Term</th>
<th>Assisted Living Services Agencies</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Opening Statement</strong></td>
<td>The regulations have been in effect since November 1994 and only cover nursing services and assistance with activities of daily living (ADLs) provided to residents living within a managed residential community having supportive services. Physical plant/setting requirements are regulated by the state and local building and fire codes. Managed residential communities are required to register with the Department of Public Health but are not required to be licensed.</td>
</tr>
<tr>
<td><strong>Definition</strong></td>
<td>Assisted living services agencies provide nursing services and assistance with ADLs to clients living within a managed residential community having supportive services that encourages clients primarily age 55 or older to maintain a maximum level of independence.</td>
</tr>
<tr>
<td><strong>Disclosure Items</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Facility Scope of Care</strong></td>
<td>Nursing services and assistance with ADLs may be provided to residents with chronic and stable conditions as determined by a physician or health care practitioner.</td>
</tr>
<tr>
<td><strong>Third Party Scope of Care</strong></td>
<td>For residents whose conditions are unstable, either a home health agency must provide services or &quot;other appropriate arrangements&quot; must be made.</td>
</tr>
<tr>
<td><strong>Move-In/Move-Out Requirements</strong></td>
<td>There are no set discharge or admission requirements; however, each facility must develop written policies for the discharge of clients from the agency. The policies must include, but are not limited to, change in a resident's condition (when a resident is no longer chronic and stable); and what constitutes routine, emergency, financial, and premature discharge.</td>
</tr>
<tr>
<td><strong>Medication Management</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Physical Plant Requirements</strong></td>
<td>The managed residential community where services are offered must have private residential units that include a full bath, access to facilities, and equipment for the preparation and storage of food. A resident may choose to share a room. Common space in the facility must be sufficient to accommodate 50 percent of the residents at any given time.</td>
</tr>
<tr>
<td><strong>Residents Allowed Per Room</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>Each unit must include a full bath.</td>
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</tr>
<tr>
<td><strong>Alzheimer's Unit Requirements</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>Staffing must be adequate to meet residents' needs.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>The supervisor must be a registered nurse with at least two years experience in nursing, including one year in a home health agency or a high school diploma with four years' experience, including two in a home health agency. Assisted living aides must have a certified nursing assistant or certified home health aide certification.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>All staff must complete a 10-hour orientation program. Assisted living aides must pass a competency exam.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>Assisted living aides must complete 12 hours of continuing education per year.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid Home and Community Based Services Waiver covers services for eligible low-income residents.</td>
</tr>
</tbody>
</table>
Assisted Living Facilities

Assisted living facility regulations were updated and became effective in October 2002.

Assisted living is a special combination of housing, supportive services, supervision, personalized assistance and health care designed to respond to the individual needs of those who need help with activities of daily living and/or instrumental activities of daily living.

None specified.

Assisted living is designed to offer living arrangements to medically stable persons who do not require skilled nursing services and supervision. An individual who requires intermittent nursing care for a limited period of time may live in an assisted living facility. Additionally, there are specific conditions that prohibit a resident from being in an assisted living facility regardless if care is provided by staff or an outside entity (see Move-In/Move-Out Requirements below).

A resident may contract with a home health agency to provide services with prior approval of the facility’s executive director. A licensed hospice program may provide care for a resident. The hospice program must provide written assurance that, in conjunction with care provided by the assisted living facility, all of the resident’s needs will be met without placing other residents at risk.

An assisted living facility may not admit, provide services to, or permit the provision of services to individuals who, based on the uniform resident assessment, meet any of the following 13 conditions:

1. Require care by a nurse that is more than intermittent or for more than a limited period of time;
2. Require skilled monitoring, testing, and aggressive adjustment of medications and treatments where there is the presence of, or reasonable potential of, an acute episode unless there is a registered nurse to provide appropriate care;
3. Require monitoring of a chronic medical condition that is no essentially stabilized through available medications and treatments;
(4) Bedridden for more than 14 days;
(5) Have Stage III or IV skin ulcers;
(6) Require a ventilator;
(7) Require treatment for a disease or condition that requires more than contact isolation;
(8) Have an unstable tracheotomy or a stable tracheotomy of less than six months duration;
(9) Have an unstable PEG tube;
(10) Require an intravenous or central line;
(11) Wander such that the assisted living facility would be unable to provide adequate supervision or security arrangements;
(12) Exhibit behaviors that present a threat to the health or safety of themselves or others; and
(13) Are socially inappropriate as determined by the assisted living facility such that the facility would be unable to manage the behavior after documented reasonable efforts for a period of no more than 60 days.

The provisions above do not apply to residents under the care of a hospice program licensed by the Department of Health and Social Services as long as the hospice program provides written assurance that, in conjunction with care provided by the assisted living facility, all of the resident's needs will be met without placing other residents at risk.

**Medication Management**

Facilities must comply with the Nurse Practice Act. Residents may receive assistance with self-medication by designated care providers who have completed the "Assistance with Self Administration of Medicine" training course. Administration of medication may only be performed by a Registered Nurse (RN) or a Licensed Practical Nurses (LPN). The facility must establish and adhere to written medication policies and procedures that address a series of issues related to obtaining, storing, and administering medication. A quarterly pharmacy review is required.

**Physical Plant Requirements**

Resident kitchens must be available to residents either in their individual living unit or in an area readily accessible to each resident. For all new construction and conversions of assisted living facilities with more than 10 beds, there must be at least 100 square feet of floor space for each resident in a private bedroom and at least 80 square feet of floor space for each resident sharing a bedroom.

**Residents Allowed Per Room**

A maximum of two residents is allowed per resident unit.

**Bathroom Requirements**

Bathing facilities must be available either in an individual living unit or in an area readily accessible to each resident. If
bathroom facilities are shared by residents there must be at
least one working toilet, sink and tub/shower for every four
residents.

| Alzheimer's Unit Requirements | An assisted living facility that offers specialized care for
individuals with memory impairment must disclose its policies
and procedures that describe the form of care and treatment
provided that is in addition to the care and treatment required
by law and regulation. |
|-------------------------------|-----------------------------------------------------------------|
| Staff Training for Alzheimer's Care | Staff must be adequately trained, certified, and licensed to mee
the requirements of the residents. |
| Staffing Requirements | Each facility must have a director who is responsible for the
operation of the program. Facilities licensed for 25 beds or mo
must have a full-time nursing home administrator. Facilities
licensed for five through 24 beds must have a part-time nursing
home administrator on-site and on-duty at least 20 hours per
week. The director of a facility for four beds or fewer must be
on-site at least eight hours a week. Each facility must have a
Director of Nursing (DON) who is an RN. Facilities licensed fo
25 or more beds must have a full time DON; facilities licensed
for 5 to 24 beds must have a part-time DON on-site and on-duty
at least 20 hours a week; and a DON of a facility for four or
fewer beds must be on-site at least eight hours a week. |
| Administrator Education/Training | The nursing home administrator must maintain current
certification as required by state law. For facilities with four
beds or fewer, there are reduced requirements for the director,
the facility and for the on-site manager. |
| Staff Education/Training | Staff must be adequately trained to meet the needs of the
residents and the facility must provide and document staff
training. Resident assistants must receive facility-specific
orientation covering specified topics. |
| Continuing Education (CE) Requirements | The nursing home administrator must maintain current
certification as required by state law. On-site house managers o
facilities with four beds or fewer must receive a minimum of 12
hours in-service education annually. Resident assistants must
receive at least 12 hours of in-service education annually. |
Entity Approving CE Program
The Board of Nursing Home Examiners approves continuing education programs for assisted living facilities.

Medicaid Policy and Reimbursement
A Medicaid Home and Community Based Services Waiver covers assisted living services.
Community residence facilities are defined as any facility that provides safe, hygienic sheltered living arrangements for one or more individuals age 18 years or older, who are ambulatory and able to perform the activities of daily living (ADLs) with minimal assistance. This definition includes facilities that provide a sheltered living arrangement for persons who desire or require supervision or assistance within a protective environment because of physical, mental, familial, or social circumstances.

Opening Statement

The regulations have been in effect since 1995. The Assisted Living Residence Regulatory Act of 2000 was signed in March 2000 and transmitted to both houses of the U.S. Congress for review. D.C. law 13-127 became effective in June 2000. Presently, the Department of Health is developing a licensure and survey program for assisted living residences.

Facility Scope of Care

To provide 24-hour care and supervision of its residents and be responsible for facilitating all services for the residents.

Third Party Scope of Care

Under certain conditions, residents have the right to arrange directly for medical and personal care with an outside agency.

Move-In/Move-Out Requirements

Residents may not be admitted who are in need of professional nursing care, unable to perform ADLs with minimal assistance, incapable of proper judgment and disoriented to person and place.

Medication Management

Residents may store medication and facilities may assist residents with the self-administration of medication.

Physical Plant Requirements

The combined total of all community space provided by the community residence facility shall afford at least 25 square feet of space above the basement per resident.

Residents Allowed Per Room

A maximum of four residents is allowed per resident unit.

Bathroom Requirements

Toilets must be provided in the ratio of one to every 30 resident...
<table>
<thead>
<tr>
<th><strong>Alzheimer's Unit Requirements</strong></th>
<th>None specified.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>A residence director must be responsible for the daily overall management of the facility. There must be sufficient staff to provide for the welfare, comfort and safety of residents at all times of the day and night. Facilities with 50 or more residents must employ a full-time activities specialist. Facilities with more than 20 residents must provide the services of a social worker at least eight hours a week; facilities with more than 80 residents must provide the services of a social worker at least 20 hours a week; and facilities with 100 or more residents must employ a full-time social worker.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>The residence director must be at least 21 years of age. If there are 30 or more residents in the facility, the director must have a bachelor's degree or at least three years full-time experience in a field directly related to the administration of the program or services of the facility.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>There is no Medicaid Home and Community Based Services Waiver at this time.</td>
</tr>
</tbody>
</table>
Licensure Term: Assisted Living Facilities

Opening Statement: Regulations were revised in January 2002.

Definition: Assisted living facilities provide housing, food service, and one or more “personal services” (e.g., assistance with activities of daily living [ADLs] and self-administered medication).

Facility Scope of Care: Facilities may provide assistance with personal services, including medications. Facilities may hold one of three special licenses: an extended congregate care license allows facilities to provide more extensive ADL assistance and nursing services to frail residents; a limited nursing services license allows certain nursing services defined in the regulations; and a limited mental health license allows facilities to serve low-income, chronically mentally ill residents.

Third Party Scope of Care: Home health agencies may provide services under contract with residents.

Facility Scope of Care: Facilities may provide assistance with personal services, including medications. Facilities may hold one of three special licenses: an extended congregate care license allows facilities to provide more extensive ADL assistance and nursing services to frail residents; a limited nursing services license allows certain nursing services defined in the regulations; and a limited mental health license allows facilities to serve low-income, chronically mentally ill residents.

Move-In/Move-Out Requirements: To be admitted, a resident must be capable of performing ADLs with supervision or assistance; not require 24-hour nursing supervision; be free of Stage II, III, or IV pressure sores; be able to participate in social and leisure activities; be ambulatory; and not display violent behavior. A resident must be discharged if he or she is no longer able to meet the admission criteria or is bedridden for more than seven days.

Medication Management: Unlicensed staff may provide hands-on assistance with self-administered medications. Staff must have four hours of medication training by a registered nurse or registered pharmacist.

Physical Plant Requirements: Private resident units must provide a minimum of 80 square feet of usable floor space and multiple-occupancy resident room must provide a minimum of 60 square feet per resident. An additional minimum of 35 square feet of living and dining space per resident is required.

Residents Allowed Per Room: Prior to October 17, 1999, a maximum of four persons were permitted for multiple occupancy. Resident bedrooms designated for multiple occupancy in facilities newly licensed or renovated six months after October 17, 1999, shall have a
maximum occupancy of two persons.

<table>
<thead>
<tr>
<th><strong>Bathroom Requirements</strong></th>
<th>Shared bathrooms are permitted and a facility must provide one toilet and sink per six residents and one bathing facility per eight residents.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Alzheimer’s Unit Requirements</strong></td>
<td>Facilities that advertise special care for persons with Alzheimer’s disease or related disorders (special care units) must have a physical environment that provides for the safety and welfare of residents; offer activities specifically designed for these residents; have 24-hour staffing availability; and employ staff who have completed an eight-hour approved training course and four hours of continuing education per year.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer’s Care</strong></td>
<td>Staff in special care units must complete an eight-hour, approved training course and four hours of continuing education per year.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>Staffing requirements vary depending upon the numbers of residents (e.g., a total of 375 staff hours would be required each week at a facility with 46-55 residents.) At least one employee certified in first aid must be present at all times. Staffing must be sufficient to meet residents’ needs.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>Administrators must have a high school diploma or GED and complete a core training program and competency test.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>Direct-care staff must have six hours of initial training.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>Administrators must complete 12 hours of continuing education every two years. Staff in special care units must receive four hours of continuing education per year.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid Home and Community Based Services Waiver covers services for low-income residents.</td>
</tr>
<tr>
<td><strong>Licensure Term</strong></td>
<td>Personal Care Homes</td>
</tr>
<tr>
<td>-------------------</td>
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</tr>
<tr>
<td><strong>Opening Statement</strong></td>
<td>June 1994 regulations for Personal Care Homes remain in effect.</td>
</tr>
<tr>
<td><strong>Definition</strong></td>
<td>Personal care homes provide housing, food services, and one or more personal services, including supervision of self-administered medication; assistance with ambulation and transfers; and essential activities of daily living such as eating, bathing, grooming, dressing, and toileting.</td>
</tr>
<tr>
<td><strong>Disclosure Items</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Facility Scope of Care</strong></td>
<td>The personal services provided by the homes must include 24-hour responsibility for the well-being of the residents and protective care and watchful oversight.</td>
</tr>
<tr>
<td><strong>Third Party Scope of Care</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Move-In/Move-Out Requirements</strong></td>
<td>Residents must be ambulatory and may not require the use of physical or chemical restraints, isolation, or confinement for behavioral control. Residents must not be bedridden or require continuous medical or nursing care and treatment.</td>
</tr>
<tr>
<td><strong>Medication Management</strong></td>
<td>All medications must be self-administered by the resident except when the resident requires administration of oral or topical medication by or under the supervision of a functionally literate staff person.</td>
</tr>
<tr>
<td><strong>Physical Plant Requirements</strong></td>
<td>Private and shared resident units must provide a minimum of 80 square feet per resident.</td>
</tr>
<tr>
<td><strong>Residents Allowed Per Room</strong></td>
<td>A maximum of four residents is allowed per resident unit.</td>
</tr>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>Common toilets, lavatories, and bathing facilities are permitted.</td>
</tr>
<tr>
<td><strong>Alzheimer's Unit Requirements</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>At least one administrator, on-site manager, or responsible staff person, all of whom must be at least 21 years of age, must be on the premises 24 hours per day. There should be a minimum of one on-site staff person per 15 residents during awake hours.</td>
</tr>
</tbody>
</table>
and one staff person per 25 residents during non-awake hours.

<table>
<thead>
<tr>
<th>Administrator Education/Training</th>
<th>Not specified.</th>
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</thead>
<tbody>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>All persons working in the facility must receive work-related training acceptable to the state Department of Human Resources within the first 60 days of employment.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>All staff, including the administrator/on-site manager, who offer direct care to the residents must satisfactorily complete at least 16 hours of continuing education per year.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid Home and Community Based Services Waiver reimburses two models of personal care homes.</td>
</tr>
</tbody>
</table>
Definition
An assisted living facility consists of a building complex offering dwelling units to individuals and services to allow residents to maintain an independent assisted living lifestyle.

Facility Scope of Care
The facility must provide 24-hour on-site direct care staff to meet the needs of the residents; services to assist residents in performing all activities of daily living; and nursing assessment, health monitoring, and routine nursing tasks.

Third Party Scope of Care
The facility may arrange access to ancillary services for medically related care (e.g., physician, podiatrist) and social work services.

Move-In/Move-Out Requirements
There are no specific limitations on the admission of residents. A resident must receive a written 14-day notice of discharge if his or her behavior imposes an imminent danger to him/herself or others, or if the facility cannot meet the resident’s needs for services.

Physical Plant Requirements
Facilities must provide each resident an apartment unit with the following: a bathroom, refrigerator, and cooking capacity, including a sink; a unit that is a minimum of 220 square feet, not including the bathroom; a cooking capacity that may be removed or disconnected depending on the individual needs of the resident; a separate and complete bathroom with a sink, shower, and toilet; accommodations for the physically challenged and wheelchair-bound persons, as needed; a call system monitored 24 hours per day by staff; and wiring for telephones and televisions.

Residents Allowed Per Room
Not specified.

Bathroom Requirements
Each resident unit shall have a separate bathroom.
<table>
<thead>
<tr>
<th><strong>Alzheimer's Unit Requirements</strong></th>
<th>None specified.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>Licensed staff shall be available seven days a week.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>The administrator or director must have at least two years of experience in a management capacity in the housing, health care services, or personal care industries. The completion of an assisted living facility administrator's course or equivalent is required.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>All facility staff must complete orientation and a minimum of six hours annually of regularly scheduled in-service training.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid Home and Community Based Services Waiver covers services in assisted living facilities.</td>
</tr>
</tbody>
</table>
Idaho

Agency  Department of Health and Welfare  Phone  (208) 334-6626
Contact  Virginia Loper  Phone  (208) 364-1871
E-mail  loperv@idhw.state.id.us

Licensure Term  Residential and Assisted Living Facilities
Opening Statement  New regulations went into effect in March 2000.
Definition  Residential and assisted living facilities provide 24-hour care for three or more adults who need personal care or assistance and supervision essential for sustaining activities of daily living (ADLs) or for the protection of the individual.
Disclosure Items  None specified.
Facility Scope of Care  The facility must supervise residents, provide assistance with ADLs and instrumental activities of daily living, and deliver services to meet the needs of residents.
Third Party Scope of Care  Residents are permitted to contract for services with third parties.
Move-In/Move-Out Requirements  Residents may not be admitted or retained if they require ongoing skilled nursing, intermediate care, or care not within the legally licensed authority of the facility. In addition, residents who are in need of restraints or have physical, emotional, or social needs not homogenous with the facility’s population may not be admitted.
Medication Management  Staff who attend an assistance-with-medications course are permitted to assist residents with the self-administration of medication. A nurse is required to check on a monthly basis the medication regimen for residents.
Physical Plant Requirements  Private resident units must be a minimum of 100 square feet and shared resident units must provide a minimum of 80 square feet of floor space per resident.
Residents Allowed Per Room  a maximum of two residents is allowed per resident unit.
Bathroom Requirements  one toilet must be provided for every six persons, residents or personnel.
Alzheimer’s Unit Requirements  Idaho has fairly extensive requirements for the care of Alzheimer’s residents such as the provision of an unrestrictive environment and a supervised lifestyle that is safe, secure, structured but flexible, stress-free and encourages physical activity. Separate Alzheimer’s units are permitted in facilities.
<table>
<thead>
<tr>
<th>Staff Training for Alzheimer's Care</th>
<th>None specified.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>A full-time licensed administrator must ensure that there is sufficient personnel to provide care during all hours as required in each resident’s negotiated service plan. Staffing patterns shall be based on resident need rather than the number of residents. In addition, there must be one employee within the facility at all times who has a certification in CPR and an approved first aid course.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>Administrators must be licensed by the state and must have sufficient physical, emotional and mental capacity.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>Staff providing unsupervised personal assistance to residents must complete a minimum of eight hours of job-related training.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>Administrators must complete 12 hours of continuing education per year. Staff who provide personal assistance to residents must complete eight hours of continuing education per year.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>The Board of Examiners of Residential Care Facility approves courses that are relevant to residential care administration. There is no application process.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid state plan service and a Medicaid Home and Community Based Services Waiver reimburses for personal care.</td>
</tr>
</tbody>
</table>
The Assisted Living and Shared Housing Establishment Act went into effect in January 2001. The act created two committees: the Assisted Living and Shared Housing Advisory Board in the Department of Public Health and the Quality of Life Advisory Committee in the Department of Aging. The act allows two levels of housing: assisted living (more than 12 residents) and shared housing (12 or fewer residents). In the act, assisted living is recognized as a rightful place in the continuum of care, while also ensuring that those with complex medical needs move to a more appropriate setting where those needs can be met. Regulations were finalized in December 2001.

An assisted living establishment provides community-based residential care for at least three unrelated adults (at least 80 percent of whom are 55 years of age or older) who need assistance with activities of daily living (ADLs), including personal, supportive and intermittent health-related services available 24 hours per day, if needed, to meet the scheduled and unscheduled needs of a resident.

A shared housing establishment provides community-based residential care for 12 or fewer unrelated adults (at least 80 percent of whom are 55 years of age or older) who need assistance with housing, ADLs, and personal, supportive, and intermittent health-related services. This care must be available 24 hours per day, if needed, to meet the scheduled and unscheduled needs of a resident.

A facility must fill out an Alzheimer's Special Care Disclosure Form if they offer care to Alzheimer’s residents in a special unit.
<table>
<thead>
<tr>
<th><strong>Medication Management</strong></th>
<th>All medications must be self-administered or administered by licensed personnel. Facility staff may give medication reminder and monitor residents to make sure they follow the directions on the container.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Residents Allowed Per Room</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>Assisted living units shall have a bathroom that provides privacy and contains an operational toilet, sink, mirror, means of ventilation or operable window, and assistive devices, if identified in the resident's service plan. Shared housing establishments shall provide one tub or shower for every six residents and one operational toilet for every four residents.</td>
</tr>
<tr>
<td><strong>Alzheimer's Unit Requirements</strong></td>
<td>A facility must complete an Alzheimer's Special Care Disclosure Form if they offer care to Alzheimer's residents in a specialized Alzheimer's unit.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>A full-time manager must be employed along with staff sufficient in number and qualification. Staff must be on duty all hours of each day to provide services that meet the scheduled and unscheduled needs of the residents. There must be a minimum of one CPR-certified staff member awake and on duty at all times in assisted living establishments.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>The administrator must be a high school graduate or equivalent and at least 21 years of age.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>All personnel must have training and/or experience in the job assigned to them. An ongoing in-service training program is required to ensure staff have the necessary skills to perform job duties.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>No Medicaid Home and Community Based Services Waiver at this time.</td>
</tr>
</tbody>
</table>
Indiana

Agency  Department of Health, Division of Regulations and Information Services (ISDH) and Bureau of Aging and In-Home Services (BAIS)  Phone  (317) 233-1325
Contact  Sue Hornstein (ISDH)  Sandy Owens (BAIS)  Phone  (317) 233-7289 (317) 232-7017
E-mail  shornste@isdh.state.in.us  sowens@fssa.state.in.us

Licensure Term  Residential Care Facilities
Opening Statement  The Housing with Services Establishments Act has been in effect since September 1998 and requires any residential care facility or any entity providing assisted living services that do not require licensure to register with the Bureau of Aging and In-Home Service of the Family and Social Services Administration (FSSA) and disclose its name, address, and phone. This is not a certification process, but instead helps the FSSA to learn about the number and types of facilities in Indiana. Housing with services establishments provide sleeping accommodations to at least five residents and offer or provide for a fee at least one regularly scheduled health related service, or at least two regularly scheduled supportive services, whether offered or provided directly by the establishment or by another person arranged for by the establishment.

Definition  Residential care facility means a health care facility that provides residential nursing care. Residential nursing care may include, but is not limited to, the following:
(1) Identifying human responses to actual or potential health conditions;
(2) Deriving a nursing diagnosis;
(3) Executing a minor regimen based on a nursing diagnosis or executing minor regimens as prescribed by a physician, physician assistant, chiropractor, dentist, optometrist, podiatrist, or nurse practitioner;
(4) Administering, supervising, delegating, and evaluating nursing activities.

Disclosure Items  None specified.

Facility Scope of Care  A health facility that provides residential nursing care or administers medications prescribed by a physician must be licensed as a residential care facility. A residential care facility may not provide comprehensive nursing care except to the extent allowed under this rule. A facility that provides services such as room, meals, laundry, activities, housekeeping, and limited assistance with activities of daily living (ADLs) without
providing administration of medication or residential nursing care is not required to be licensed. The provision by a licensed home health agency of medication administration or residential nursing care in a facility that provides room, meals, laundry, activities, housekeeping, and limited assistance with ADLs does not require the facility to be licensed, regardless of whether the facility and the home health agency have common ownership, provided, however, that the resident is given the opportunity to contract with other home health agencies at any time during the resident's stay at the facility. A resident is not required to be discharged if receiving hospice services through an appropriately licensed provider of the resident's choice. A residential care facility that retains appropriate professional staff may provide comprehensive nursing care to residents needing care for a self-limiting condition.

**Third Party Scope of Care**

None specified.

**Move-In/Move-Out Requirements**

The resident must be discharged if the resident:

1. Is a danger to self or others;
2. Requires 24-hour, comprehensive nursing care or comprehensive nursing oversight;
3. Requires less than 24-hour comprehensive nursing care, comprehensive nursing oversight or rehabilitative therapies and has not entered into a contract with an appropriately licensed provider of the resident's choice to provide those services; or
4. Is not medically stable and meets any two of the following three criteria:
   a. Requires total assistance with eating;
   b. Requires total assistance with toileting;
   c. Requires total assistance with transferring.

**Medication Management**

Each facility shall choose whether it administers medication and/or provides residential nursing care. These policies shall be outlined in the facility policy manual and clearly stated in the admission agreement. The administration of medications and the provision of residential nursing care shall be as ordered by the resident's physician and shall be supervised by a licensed nurse on the premises or on call. Medication shall be administered by licensed nursing personnel or qualified medication aides. Administration of medications means preparation and/or distribution of prescribed medications. This does not include reminders, cues, and/or opening of medication containers or assistance with eye drops, when requested by a resident.

**Physical Plant Requirements**

Private resident units must be a minimum of 100 square feet and multiple-occupancy resident units must provide a minimum of 80 square feet per resident. The facility shall have living areas with sufficient space to accommodate the dining, activity,
Residents Allowed Per Room

For facilities and additions to facilities for which construction plans are submitted for approval after July 1, 1984, resident rooms shall not contain more than four residents’ beds per room.

Bathroom Requirements

One toilet must be provided for every eight residents. Bathing facilities must be provided as follows:

- 3 to 22 residents: 1 bathtub or shower
- 23 to 37 residents: 2 bathtubs or showers
- 38 to 52 residents: 3 bathtubs or showers
- 53 to 67 residents: 4 bathtubs or showers
- 68 to 82 residents: 5 bathtubs or showers
- 83 to 97 residents: 6 bathtubs or showers

Alzheimer's Unit Requirements

Recommended/voluntary guidelines ask that, if a facility advertises to the public that it is offering a special care unit, it must file a disclosure statement that includes information on ownership, management, number of beds in the unit, special staffing requirements, special education/training requirements for staff, and cost of care (e.g., base rate).

Staff Training for Alzheimer's Care

For facilities with distinct dementia units, staff who have contact with such residents shall have (additionally) a minimum of six hours of dementia-specific training within six months and three hours annually thereafter to meet the needs of cognitively impaired residents.

Staffing Requirements

Staff shall be sufficient in number, qualifications, and training in accordance with applicable state laws and rules to meet the 24-hour scheduled and unscheduled needs of the residents and services provided. The number, qualifications, and training of staff shall depend on skills required to provide for the specific needs of the residents.

A minimum of one awake staff person, with current CPR and first aid certificates, shall be on-site at all times. If 50 or more residents of the facility regularly receive residential nursing services and/or administration of medication, at least one nursing staff person shall be on-site at all times. Residential facilities with more than 100 residents regularly receiving residential nursing services and/or administration of medication shall have at least one additional nursing staff person awake and on duty at all times for every 50 residents.

Any unlicensed employee providing more than limited assistance with ADLs must be either a certified nurse aide (CNA) or a home health aide (HHA). Existing facilities that are not licensed on the date of adoption of this rule and that seek licensure within one year of adoption of this rule, have two
months in which to ensure that all employees in this category are either a CNA or an HHA.

**Administrator Education/Training**

Administrators must have:
(1) A baccalaureate or higher degree from an accredited institution of higher learning approved by the board, and completion of a required administrator-in-training program; or,
(2) An associate degree in health care from an accredited institution of higher learning approved by the board, completion of a specialized course of study in long-term health care administration approved by the board, and completion of a required administrator-in-training program; or,
(3) Completion of a specialized course of study in long-term health care administration prescribed by the board, and completion of a required six-month administrator-in-training program.

**Staff Education/Training**

There shall be an organized in-service education and training program planned in advance for all personnel in all departments at least annually. For nursing personnel, this shall include at least eight hours per calendar year; for non-nursing personnel, it shall include at least four hours per calendar year.

**Continuing Education (CE) Requirements**

Administrators must complete 40 hours of continuing education biannually.

**Entity Approving CE Program**

Health Facility Administrators Board

**Medicaid Policy and Reimbursement**

Medicaid Home and Community Based Services Waiver (limited number of slots) allowed for licensed facilities only. Other reimbursement is private pay or limited funding through the state Residential Assistance Care Program.
Iowa

Agency Department of Inspections and Appeals
Contact Beverly Zylsta (DIA); Mary Ann Young (DEA)

Licensure Term Assisted Living Programs
Opening Statement Regulations were revised in July 2002.
Definition Assisted living programs provide housing with services that may include, but are not limited to, health-related care, personal care, and assistance with instrumental activities of daily living (IADLs) to six or more tenants in a physical structure that provides a homelike environment. Assisted living also includes encouragement of family involvement, tenant self-direction, and tenant participation in decisions that emphasize choice, dignity, privacy, individuality, shared risk, and independence.

Disclosure Items None specified.
Facility Scope of Care Programs may provide assistance with activities of daily living (ADLs) and IADLs. Health-related care may be provided on a part-time or intermittent basis only.
Third Party Scope of Care A facility may contract for personal care or health-related services from a certified home health agency.
Move-In/Move-Out Requirements A program may not knowingly admit or retain a resident who requires more than part-time or intermittent health-related care; is bed-bound; is under the age of 18; is dangerous to self or others; or is in an acute stage of alcoholism, drug addiction, or mental illness. Part-time or intermittent means licensed nursing services and professional therapies that are provided no more than five days per week; licensed nursing services and professional therapies that are provided six or seven days per week for temporary periods of time with a predictable end within 21 days; or licensed nursing services and professional therapies in combination with nurse-delegated assistance with medication or ADLs that do not exceed 28 hours per week.
Medication Management Tenants are allowed to self-administer medications unless the physician orders otherwise or the tenant delegates the administration to the facility. The regulations defer to the Iowa Nurse Practice Act, which allows nurses to delegate medication administration to unlicensed staff (injections are not included in allowable nurse delegation to unlicensed assistive personnel).
<table>
<thead>
<tr>
<th>Physical Plant Requirements</th>
<th>Private tenant single occupancy units must be a minimum of 240 square feet for new construction or a minimum of 190 square feet for a structure being converted or rehabilitated for assisted living. Double occupancy tenant units must be a minimum of 340 square feet for new construction and a minimum of 290 square feet for a structure being converted or rehabilitated for assisted living.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Residents Allowed Per Room</td>
<td>A maximum of two residents is allowed per resident unit.</td>
</tr>
<tr>
<td>Bathroom Requirements</td>
<td>Each tenant unit must have a bathroom, including a toilet, sink and bathing facilities.</td>
</tr>
<tr>
<td>Alzheimer's Unit Requirements</td>
<td>A program must be designed to meet the needs of residents with Alzheimer's disease. Service plans must include planned and spontaneous activities based on the tenant's abilities and personal interests.</td>
</tr>
<tr>
<td>Staff Training for Alzheimer's Care</td>
<td>Dementia-specific education or training is required for all employees.</td>
</tr>
<tr>
<td>Staffing Requirements</td>
<td>A qualified manager must be employed by the facility. Sufficiently trained staff must be available at all times to fully meet tenants' identified needs.</td>
</tr>
<tr>
<td>Administrator Education/Training</td>
<td>The manager must be at least 21 years of age and be adequately trained to carry out duties.</td>
</tr>
<tr>
<td>Staff Education/Training</td>
<td>All personnel must be able to implement the program's accident fire safety, emergency procedures and assigned tasks.</td>
</tr>
<tr>
<td>Continuing Education (CE) Requirements</td>
<td>In programs that serve individuals with dementia, six hours annually for direct care staff, and two hours annually for others</td>
</tr>
<tr>
<td>Entity Approving CE Program</td>
<td>None specified.</td>
</tr>
<tr>
<td>Medicaid Policy and Reimbursement</td>
<td>A Medicaid Home and Community Based Services Waiver covers services through a consumer-directed attendant care agreement in assisted living programs. Although the program applies to be a Waiver provider, the actual agreement for services is established between the facility and the tenant.</td>
</tr>
</tbody>
</table>
### Kansas

**Agency**  Department of Health and Environment  
**Phone**  (785) 296-1240  
**Contact**  Gary Ingenthron  
**Phone**  (785) 296-1253  
**E-mail**  gingenth@kdhe.state.ks.us

<table>
<thead>
<tr>
<th>Licensure Term</th>
<th>Assisted Living Facilities/Residential Health Care Facilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opening Statement</td>
<td>New regulations for adult care homes, of which assisted living facilities are a subset, went into effect in October 1999. Changes will occur July 1, 2003 when the Kansas Department of Health and Environment moves some programs to the Department on Aging.</td>
</tr>
<tr>
<td>Definition</td>
<td>An assisted living facility is a place caring for six or more individuals who may need personal care and/or supervised nursing care to compensate for limitations of activities of daily living (ADLs).</td>
</tr>
<tr>
<td>Disclosure Items</td>
<td>None specified.</td>
</tr>
<tr>
<td>Facility Scope of Care</td>
<td>Direct care staff may provide assistance with ADLs. Skilled nursing services are not prohibited; however, they must be limited, intermittent, or routine in scope. Wellness and health monitoring is required.</td>
</tr>
<tr>
<td>Third Party Scope of Care</td>
<td>The negotiated service agreement can include a provision for hospice services.</td>
</tr>
<tr>
<td>Move-In/Move-Out Requirements</td>
<td>Residents may be admitted if the facility can meet their needs. Residents will be discharged if their safety, health, or welfare is endangered. Residents with one or more of the following conditions shall not be admitted or retained, unless the negotiated service agreement includes 24-hour hospice or family support services: unmanageable incontinence; immobility; a condition requiring a two-person transfer; ongoing skilled nursing intervention needed 24 hours per day; unmanageable behavioral symptoms; and conditions requiring the use of physical restraints. Resident functional capacity screens are conducted before admission and annually after admission or upon significant change. The facility must give the resident a 30 day notice of transfer or discharge.</td>
</tr>
<tr>
<td>Medication Management</td>
<td>Facilities can manage their residents' medication, allow residents to engage in the self-administration of medication, or provide residents with assistance of self-administration of medication.</td>
</tr>
<tr>
<td>Physical Plant Requirements</td>
<td>Facilities consist of apartments that meet minimum dimensions as specified in the Uniform Building Code, section 1204. The apartments must contain a living area, storage area, full bath,</td>
</tr>
</tbody>
</table>
kitchen, and lockable door. If the facility is a designated Residential Health Care Facility, the living area is not required to have a kitchen.

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Residents Allowed Per Room</td>
<td>None specified.</td>
</tr>
<tr>
<td>Bathroom Requirements</td>
<td>None specified.</td>
</tr>
<tr>
<td>Alzheimer's Unit Requirements</td>
<td>In facilities that admit residents with dementia, in-service education on treatment of behavioral symptoms must be provided.</td>
</tr>
<tr>
<td>Staff Training for Alzheimer's Care</td>
<td>None specified.</td>
</tr>
<tr>
<td>Staffing Requirements</td>
<td>A full-time operator (not required to be a licensed administrator if less than 61 residents in facility) must be employed by the facility and sufficient numbers of qualified personnel are required to ensure that residents receive services and care in accordance with negotiated service agreements.</td>
</tr>
<tr>
<td>Administrator Education/Training</td>
<td>Operators must be 21 years of age, possess a high school diploma or equivalent, and hold a Kansas license as an adult care home administrator or engage in an operator training program.</td>
</tr>
<tr>
<td>Staff Education/Training</td>
<td>Orientation is required for all new employees and regular in-service education regarding the principles of assisted living is required for all employees. Disaster and emergency preparedness training is required for all staff.</td>
</tr>
<tr>
<td>Continuing Education (CE) Requirements</td>
<td>Administrators must complete 50 hours of continuing education every two years.</td>
</tr>
<tr>
<td>Entity Approving CE Program</td>
<td>None specified.</td>
</tr>
<tr>
<td>Medicaid Policy and Reimbursement</td>
<td>A Medicaid Home and Community Based Services Waiver covers services in assisted living only to residents who meet the nursing home level-of-care criteria. A &quot;care plan&quot; is used to pay for services.</td>
</tr>
</tbody>
</table>
# Kentucky

**Agency**  Cabinet for Health Services, Office of Aging Services  
**Phone**  (502) 564-6930  
**Contact**  Gail Lightner  
**Phone**  (502) 564-6930  
**E-mail**  gail.lightner@mail.state.ky.us

<table>
<thead>
<tr>
<th>Licensure Term</th>
<th>Assisted Living Communities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opening Statement</td>
<td>New assisted living community regulations were finalized in November 2000.</td>
</tr>
<tr>
<td>Definition</td>
<td>An assisted living community is a series of living units on the same site operated as one business entity to provide services for five or more adults.</td>
</tr>
<tr>
<td>Disclosure Items</td>
<td>None specified.</td>
</tr>
<tr>
<td>Facility Scope of Care</td>
<td>Facilities may provide assistance with activities of daily living and instrumental activities of daily living, three meals a day, scheduled daily social activities and assistance with self-administration of medication.</td>
</tr>
<tr>
<td>Third Party Scope of Care</td>
<td>Residents 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 facility.</td>
</tr>
<tr>
<td>Move-In/Move-Out Requirements</td>
<td>Residents must be ambulatory or mobile non-ambulatory, unless due to a temporary health condition for which health services are being provided and must not be a danger to themselves or others. The assisted living community must have provisions for assisting any client who has received a discharge notice to find appropriate living arrangements prior to the actual discharge date.</td>
</tr>
<tr>
<td>Medication Management</td>
<td>Medication administration is not permitted.</td>
</tr>
<tr>
<td>Physical Plant Requirements</td>
<td>Private and multiple-occupancy resident units in new facilities must be a minimum of 200 square feet.</td>
</tr>
<tr>
<td>Residents Allowed Per Room</td>
<td>A maximum of two residents is allowed per resident unit and only by mutual agreement.</td>
</tr>
<tr>
<td>Bathroom Requirements</td>
<td>Each living unit in new facilities must provide a private bathroom equipped with a tub or shower. Shared bathing facilities in facilities under construction on or before July 14, 2000, shall have a minimum of one bathtub or shower for each five clients.</td>
</tr>
<tr>
<td>Alzheimer's Unit Requirements</td>
<td>An assisted living community shall provide any interested person with a description of any special programming, staffing or training if it markets itself as providing special</td>
</tr>
</tbody>
</table>
programming, staffing or training on behalf of clients with particular needs or conditions.

<table>
<thead>
<tr>
<th>Staff Training for Alzheimer's Care</th>
<th>The assisted living community must maintain a description of dementia-specific staff training that is provided, including at a minimum 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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staffing Requirements</td>
<td>A designated manager who is at least 21 years of age, has at least a high school diploma or a GED, and has demonstrated management or administrative ability to maintain the daily operations. One awake staff member shall be on site at all times and staffing shall be sufficient in number and qualification to meet the 24-hour scheduled and unscheduled needs of the residents.</td>
</tr>
<tr>
<td>Administrator Education/Training</td>
<td>None specified.</td>
</tr>
<tr>
<td>Staff Education/Training</td>
<td>All staff and management must receive orientation and in-service education on topics applicable to their assigned duties.</td>
</tr>
<tr>
<td>Continuing Education (CE) Require</td>
<td>None specified.</td>
</tr>
<tr>
<td>Entity Approving CE Program</td>
<td>None specified.</td>
</tr>
<tr>
<td>Medicaid Policy and Reimbursement</td>
<td>No Medicaid Home and Community Based Services Waiver at this time.</td>
</tr>
</tbody>
</table>
Facility Scope of Care 

Facilities may provide personal assistance with activities of daily living (ADLs) and supervision of self-administered medication.

Third Party Scope of Care 

Residents may provide or arrange for care in the facility. Health-related services above those allowed for by these regulations shall not be arranged for or contracted by a facility.

Move-In/Move-Out Requirements 

Residents must be discharged if they are a danger to themselves or others or if the resident is transferred to another institution during which payment is not made to retain their bed at the facility. Facilities may accept or retain residents in need of additional care beyond routine personal care if the resident can provide or arrange for his/her own care and this care can be provided through appropriate private-duty personnel. Additionally, the level of care required in order to accommodate the resident’s additional needs must not amount to continuous nursing care (e.g., does not exceed 90 days).

Medication Management 

Staff may supervise the self-administration of prescription and non-prescription medication. This assistance shall be limited to reminders, cueing, opening containers, and pouring medication. Residents may contract with an outside source for medication administration; however, facilities may not contract for this service.

Physical Plant Requirements 

Efficiency/studio living units must have a minimum of 250 net square feet of floor space, excluding bathrooms and closets.

Living units with separate bedrooms must have a living area (living/dining/kitchenette) of at least 180 net square feet, excluding bathroom and closets. Each separate bedroom must have a minimum of 120 net square feet, excluding bathroom and
closet or wardrobe space. Bedrooms designed for two individuals must have a minimum of 200 net square feet, excluding bathrooms and closet or wardrobe space.

**Residents Allowed Per Room**

A maximum of two residents is allowed per resident unit. Both individuals must agree in writing to this arrangement.

**Bathroom Requirements**

Common toilets, lavatories, and bathing facilities are permitted. Facilities must provide public restrooms of sufficient number and location to serve residents and visitors.

**Alzheimer's Unit Requirements**

If a facility accepts residents with dementia or residents at risk of wandering, an enclosed area must be provided adjacent to the facility so that the residents may go outside safely.

**Staff Training for Alzheimer's Care**

None specified.

**Staffing Requirements**

Facilities must be staffed to properly safeguard the health, safety, and welfare of the residents. At a minimum, a director, designated recreational/activity staff person, and a direct care staff person are required; however, one person may occupy more than one position.

**Administrator Education/Training**

Administrators must be at least 21 years of age.

**Staff Education/Training**

Direct-care workers must complete in-service training each year in areas relating to the facility’s policies and procedures; emergency and evacuation procedures; residents’ rights; procedures and legal requirements concerning the reporting of abuse and critical incidents; resident care services; infection control; and any specialized training to meet residents’ needs.

**Continuing Education (CE) Requirements**

Administrators must complete 12 hours of continuing education per year in areas related to the field of geriatrics, assisted living concepts, specialized training in the population served, and/or supervisory/management techniques.

**Entity Approving CE Program**

None specified.

**Medicaid Policy and Reimbursement**

No Medicaid Home and Community Based Services Waiver at this time; however, legislation was recently passed to design a pilot project to cover adult residential care facilities for elderly Medicaid beneficiaries who no longer can live at home because they require assistance with ADLs.
Definition
An assisted living program may provide assisted living services to residents in private apartments in buildings that include a common dining area. Services are provided either directly by the assisted living program or indirectly through contracts with persons, entities or agencies. Residential Care Facility I, II or III (six or fewer residents) or Residential Care Facility IV (seven or more residents) may provide assisted living services, including housing and assistance with activities of daily living (ADLs) and instrumental activities of daily living (IADLs.)

Opening Statement
In 2002, legislation was passed that changed the umbrella name from assisted living to assisted housing programs. This term includes independent housing with services, assisted living programs and residential care facilities. Changes to these regulations are expected to be implemented in 2003.

Facility Scope of Care
Assisted living services may include, but are not limited to, personal supervision; protection from environmental hazards; assistance with ADLs and IADLs; administration of medications; and nursing services.

Disclosure Items
Facilities must disclose such things as grievance procedures and tenancy obligations and supply residents with information packets that contain such things as a contract listing rates charged and information about advance directives. If the facility has an Alzheimer's unit, it is required to disclose certain information.

Medication Management
Administration of medication is permitted and includes reading labels for residents; observing residents taking their medications; checking dosage; removing the prescribed dosage; and the maintenance of a medication record for each resident.
Physical Plant Requirements

Facilities must be designed to meet the special needs of the population served. Private resident units must be a minimum of 100 square feet and shared resident units must provide a minimum of 80 square feet per resident. There is no minimum requirement for private apartments in assisted living programs.

Residents Allowed Per Room

A maximum of two residents is allowed per resident unit.

Bathroom Requirements

Shared bathrooms are permitted at a ratio of at least one toilet per six users. Shared bathing facilities are also permitted at a ratio of one bathing facility for every 15 users.

Alzheimer’s Unit Requirements

All facilities with Alzheimer’s/dementia care units must offer special weekly activities such as gross motor, self-care, social, outdoor, spiritual, and sensory enhancement activities. The regulations also require specific physical plant design for Alzheimer’s units. Facilities with an Alzheimer’s unit are required to disclose certain information.

Staff Training for Alzheimer’s Care

Pre-service training is required for staff who work in Alzheimer’s or dementia units.

Staffing Requirements

An on-site administrator must be employed by the facility. Facilities with 10 or fewer beds are required to have, at a minimum, one responsible adult present at all times to perform resident care and provide supervision. Facilities with more than 10 beds are required to have at least two responsible adults at all times. The regulations also have specific staff-to-resident ratios, depending upon time of day.

Administrator Education/Training

Administrators must be at least 21 years of age. While providers in Level I, II, and III facilities need only to have sufficient education, experience, and training to meet residents needs, Level IV administrators must either complete an approved training program or have a nursing home or residential facility administrator license.

Staff Education/Training

For Level IV facilities, Maine requires that staff complete a six-day training course. If staff administers medications, they must complete a 24-hour medication course.

Continuing Education (CE) Requirements

Administrators must complete 12 hours of continuing education per year in areas related to the care of the population served by the facility.

Entity Approving CE Program

Licensing staff determine at time of survey the adequacy of continuing education.
Medicaid Policy and Reimbursement  

A Medicaid Home and Community Based Services Waiver and state plan option cover assisted living services. A cost-based reimbursement system is currently used; however, a case-mix, adjusted pricing system is being considered for residential care facility residents based on functional abilities and other data collected on residents.
Licensure Term

Assisted Living Programs

Opening Statement

The regulations for assisted living programs were updated in July 2002.

Definition

An assisted living program is a residential- or facility-based program that provides housing and supportive services, supervision, personalized assistance, health-related services, or a combination that meets the needs of residents who are unable to perform, or who need assistance in performing, the activities of daily living or instrumental activities of daily living.

Disclosure Items

None specified.

Facility Scope of Care

Facilities may provide one of three levels of care: low, moderate or high. The levels of care are defined by varying service requirements pertaining to health and wellness; assistance with functioning; assistance with medication and treatment; management of behavioral issues; management of psychological or psychiatric conditions; and social and recreational concerns. If a facility wishes to continue to serve a resident requiring a higher level of care than that for which the facility is licensed for more than 30 days, the facility must obtain a resident-specific waiver. A waiver requires a showing that the facility can meet the needs of the resident and not jeopardize other residents. Waivers to care for residents at the moderate and high levels are limited to 50 percent of licensed beds. Waivers to exceed the high level are limited to 20 percent of licensed beds, up to a 20-bed maximum.

Third Party Scope of Care

Home health agencies may provide services under contract with residents.

Move-In/Move-Out Requirements

Facilities may not admit individuals who require more than intermittent nursing care; treatment of stage three or four skin ulcers; ventilator services; skilled monitoring, testing, and aggressive adjustment of medications and treatments where there is the presence of, or risk for, a fluctuating acute condition; monitoring of a chronic medical condition that is not controllable through readily available medications and treatment; treatment for an active, reportable communicable disease; or treatment for a disease or condition that requires more than contact isolation.
In addition to these seven conditions, individuals may not be admitted if they are dangerous to self or others and are at high risk for health and safety complications that cannot be adequately managed. When two individuals who are in a long term or otherwise significant relationship wish to be admitted to a program together and one requires one of the above services, the Department of Health and Mental Hygiene may grant a waiver (known as the "Buddy Exception.")

**Medication Management**
Medication may be administered by staff who complete a 16-hour medication administration course. Staff who cue, coach, and monitor residents who self-administer medications with or without assistance must watch a video produced by the Department of Health and Mental Hygiene and complete a test on the video.

**Physical Plant Requirements**
Private rooms must provide a minimum of 80 square feet of functional space and double occupancy rooms must provide a minimum of 120 square feet per resident.

**Residents Allowed Per Room**
A maximum of two residents is allowed per resident unit; however, this limit may be waived by the state agency.

**Bathroom Requirements**
Toilets with locks must be provided to residents. Facilities must have a minimum ratio of one toilet to every four residents. Buildings with nine or more residents must have a minimum ratio of one toilet on each floor where a resident is located. There must be a minimum of one bathtub or shower for every eight residents.

**Alzheimer's Unit Requirements**
None specified.

**Staff Training for Alzheimer's Care**
None specified.

**Staffing Requirements**
An assisted living manager must be on-site or available on call. On-site staff must be sufficient in number and qualification to meet the 24-hour scheduled and unscheduled needs of the residents. An alternate assisted living manager must be available when the assisted living manager is unavailable.

**Administrator Education/Training**
The assisted living manager must be at least 21 years of age and possess a high school diploma or equivalent.

**Staff Education/Training**
Staff must be at least 21 years of age (unless supervised on-site at all times by another staff person who is at least 21 years of age) and must have the ability to provide the services listed for each level of care. Staff providing delegated nursing functions (other than medication administration) must be certified nursing assistants.
| **Continuing Education (CE) Requirements** | None specified. |
| **Entity Approving CE Program** | None specified. |
| **Medicaid Policy and Reimbursement** | A Medicaid Home and Community Based Services Waiver and a state funded program covers services in assisted living. Participants in the program must be nursing-home eligible and pass a medical rather than functional test (e.g., must need 24-hour-per-day nursing care). |
Definition

An assisted living residence is any entity that provides room and board and personal care services for three or more adults and collects payments from or on behalf of residents for the provision of assistance with activities of daily living (ADLs).

Opening Statement

Regulations have been in effect since January 1996. Revised regulations have been in effect since December 2002.

Facility Scope of Care

The facility must provide for the supervision of and assistance with ADLs and instrumental activities of daily living; self-administered medication management for all residents whose service plans so specify; timely assistance to residents and response to urgent/emergency needs; and up to three regularly scheduled meals daily (at a minimum, one meal).

Third Party Scope of Care

The facility may arrange for the provision of ancillary health services by a certified provider of ancillary health services or licensed hospice.

Move-In/Move-Out Requirements

An assisted living residence shall not provide, admit, or retain any resident in need of skilled nursing care unless (1) the care will be provided by a certified provider of ancillary health services or by a licensed hospice; and (2) the certified provider of ancillary health services does not train the assisted living residence staff to provide the skilled nursing care.

Medication Management

Self-administered medication management is permitted. Limited medication administration may only be provided by a family member, a practitioner as defined in state law, or a nurse registered or licensed under the provisions of state law. Nurses employed by the assisted living residence may administer non-injectible medications prescribed or ordered by an authorized prescriber to residents by oral or other routes (e.g. topical, inhalers, eye and ear drops, medicated patches, as necessary oxygen, or suppositories).

Physical Plant Requirements

Facilities must provide either single- or double-occupancy resident units with lockable doors and either a kitchenette or access to cooking facilities.
<table>
<thead>
<tr>
<th><strong>Residents Allowed Per Room</strong></th>
<th>A maximum of two residents is allowed per resident unit.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>For facilities constructed after 1995, each living unit must provide a private bathroom equipped with one lavatory, one toilet, and one bathtub/shower. All other residences must provide a private half-bathroom for each living unit equipped with one lavatory and one toilet, and at least one bathing facility for every three residents.</td>
</tr>
<tr>
<td><strong>Alzheimer's Unit Requirements</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>All staff must receive at least two hours of training on the topic of dementia/cognitive impairment, including a basic overview of the disease process, communication skills and behavioral management as part of the general orientation. The manager and service coordinator shall receive an additional two hours of training (at least four hours total) on these topics. In addition, as part of the ongoing in-service training, all staff must receive at least one hour per year of training on dementia/cognitive impairment topics.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>The facility must have a manager and service plan coordinator on staff. A staff person must be on the premises 24 hours per day.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>The manager of a facility must be at least 21 years of age; hold a bachelor’s degree or have equivalent experience in human services, housing, or nursing home management; and have administrative experience, and supervisory and management skills.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>Personal care staff must be licensed nurses, certified nursing assistants, certified home health aides, or qualified personal care homemakers or complete a 54-hour training course. The service coordinator must have at least two years’ experience working with the elderly or disabled and hold a bachelor’s degree or have equivalent experience and knowledge of aging and disability issues. All staff having direct contact with residents and all food service personnel must receive a seven-hour orientation prior to active employment.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>A minimum of 10 hours per year of ongoing education and training is required for all employees.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid state plan covers personal care services.</td>
</tr>
</tbody>
</table>
Michigan

Agency  Department of Consumer and Industry Services, Bureau of Family Services
Contact  Janice Tribble
E-mail  jtribb@michigan.gov

Phone  (517) 241-3839  Phone  (517) 335-6068

Licensure Term  Homes for the Aged; Adult Foster Care

Opening Statement  In 2001, the Department of Consumer and Industry Services (DCIS) gained approval to amend the Homes for the Aged (HFA) administrative rules. A committee of consumer and provider advocates drafted rule revisions in May 2002. In August 2002, an informal public hearing was held for providers and other stakeholders to hear comments on the proposed rule revisions. The committee held its final meeting in November 2002. Proposed rules are now ready to proceed in the formal rule promulgation process.

In January 2001, the governor signed a law that prohibits DCIS from ordering the removal of an HFA resident if the resident's family, physician, facility owner, operator, and governing body consent to the resident's continued stay and agree to cooperate in providing the needed level of care.

Effective January 2001, all adult foster care (AFC) interpretative guidelines were rescinded, requiring consultants to review and inspect AFC facilities based purely on the rule requirements. DCIS determined that the interpretative guidelines may have changed the essence of the rule.

Definition  An HFA is a supervised personal care facility, other than a hotel, adult foster care facility, hospital, nursing home, or county medical care facility that provides room, board, and supervised personal care to 21 or more unrelated, non-transient individuals who are 60 years of age or older.

AFC homes are residential settings that provide 24-hour personal care, protection, and supervision for individuals who are developmentally disabled, mentally ill, physically handicapped or aged who cannot live alone but who do not need continuous nursing care.

Disclosure Items  None specified.

Facility Scope of Care  HFAs may provide assistance with activities of daily living (ADLs).

AFC facilities are required to provide supervision, protection,
and personal care in accordance with the individual’s written assessment plan and include, but not limited to, medication administration, social activities, and assistance with ADLs.

**Third Party Scope of Care**

If a hospice agency cares for a resident in either an HFA or AFC, it must be available to assess, plan, monitor, direct, and evaluate the resident’s care in conjunction with the resident’s physician and in cooperation with the facility. Adequate and appropriate care must be provided.

**Move-In/Move-Out Requirements**

Facilities may not admit persons requiring nursing care beyond the services provided by a home health agency or persons with mental condition that is disturbing to other residents or personnel. Residents with serious mental disturbances or who require intensive or 24-hour nursing care must be transferred from the facility.

**Medication Management**

In HFA rules, medication management is not addressed. Trained personnel who are not required to be licensed may assist residents who self-administer medication. In an AFC, a licensee, with a resident’s cooperation, shall follow the instructions and recommendations of a resident’s physician or other health care professional with regard to medication. AFCs are prohibited from providing continuous nursing care.

**Physical Plant Requirements**

HFA: Private resident units must be a minimum of 80 square feet for existing buildings and 100 square feet for new construction. Multiple-occupancy resident units must provide a minimum of 70 square feet per resident for existing buildings and 80 square feet per resident for new construction.

AFC: A single bedroom must have at least 80 square feet of usable floor space. An AFC multi-bed room must have at least 65 square feet of usable floor space per bed.

**Residents Allowed Per Room**

For new construction, an HFA bedroom can have no more than four beds.

AFC: A maximum of 2 beds are allowed per bedroom unless the facility has been continuously licensed since the effective date of the rules. There are additional exceptions for instances when there has been a change in licensee.

**Bathroom Requirements**

HFA: One lavatory and water closet for every eight resident beds per floor. A bathing facility shall be provided for every 15 residents.

AFC: There shall be a minimum of one toilet, one lavatory, and one bathing facility for every eight occupants of the home. At least one toilet and one lavatory that are available for resident use shall be provided on each floor that has resident bedrooms.
**Alzheimer's Unit Requirements**

HFA and AFC: If facilities advertise or market themselves as providing specialized Alzheimer’s or dementia care, prospective resident families must be provided with a written description of the care and services provided.

**Staff Training for Alzheimer's Care**

None specified.

**Staffing Requirements**

HFA: A sufficient number of attendant personnel shall be on duty on each shift to assist residents with their personal care under the direction of the supervisor of resident care.

AFC: There must be direct care staff on duty at all times for the supervision, personal care, and protection of residents and to provide the services specified in the resident’s care agreement and assessment plan.

**Administrator Education/Training**

In an HFA, administrators must be competent and at least 21 years of age. For AFC group homes, administrators must have at least one year of experience working with persons who are mentally ill, developmentally disabled, physically handicapped, or aged. MDCIS can prescribe additional training if substantial noncompliance with the act or rules is evident.

**Staff Education/Training**

In an HFA, all staff in supervisory positions must be at least 21 years of age. In AFC group homes, all staff must go through training to learn how to work with the population for which they are caring. The AFC group home licensee or administrator must provide in-service training in the following areas: nutrition, reporting requirements, first aid, CPR, personal care supervision, protection, resident rights, safety and fire prevention, prevention and containment of communicable diseases.

**Continuing Education (CE) Requirements**

HFA: None specified.

AFC: Both the licensee of the home and the administrator must annually complete either 16 hours of training approved by DCIS or 6 hours at an accredited college or university in an area approved by DCIS.

**Entity Approving CE Program**

HFA: None specified.

AFC: DCIS.

**Medicaid Policy and Reimbursement**

The Medicaid state plan covers personal services.
Opening Statement

In 1995, the legislature separated housing from services, requiring a facility to obtain a home care license in order to provide health-related services (e.g. medication administration). Minnesota then created a registration category called Housing with Services Establishments that applies to facilities that provide sleeping accommodations to residents ages 55 or older and one or more health-related services or two or more supportive services. Minnesota has a number of home health licensure categories, including the "assisted living home care provider" category, which is most appropriate for housing with services establishments.

Definition

Housing with Services Establishments provide sleeping accommodations to one or more adult residents, at least 80 percent of whom are 55 years of age or older. These facilities offer or provide, for a fee, one or more regularly scheduled health-related services or two or more regularly scheduled supportive services.

Disclosure Items

Housing with services establishments must comply with specific contract requirements that specify information that must be included.

Housing with services establishments that secure, segregate, or provide a special program or special unit for residents with a diagnosis of probably Alzheimer's disease or a related disorder or that advertise, market, or otherwise promote the establishment as providing specialized care for Alzheimer's disease or a related disorder are considered a "special care unit." All special care units shall provide a written disclosure to the following:

(1) The commissioner of health, if requested;
(2) The office of ombudsman for older Minnesotans; and
(3) Each person seeking placement within a residence, or the person's authorized representative, before an agreement to provide care is entered into.

Written disclosure shall include, but is not limited to, the following:

(1) a statement of the overall philosophy and how it reflects the special needs of residents with Alzheimer's disease or other
(2) the criteria for determining who may reside in the special care unit;
(3) the process used for assessment and establishment of the service plan or agreement, including how the plan is responsive to changes in the resident’s condition;
(4) staffing credentials, job descriptions, and staff duties and availability, including any training specific to dementia;
(5) physical environment as well as design and security features that specifically address the needs of residents with Alzheimer’s disease or other dementias;
(6) frequency and type of programs and activities for residents of the special care unit;
(7) involvement of families in resident care and availability of family support programs;
(8) fee schedules for additional services to the residents of the special care unit; and
(9) a statement that residents will be given a written notice 30 days prior to changes in the fee schedule.

Facility Scope of Care
The facility may only provide housing and either food, social services, or transportation to non-medical appointments and arrangements for medical health-related services.

Third Party Scope of Care
The establishment may contract with a fully licensed home care agency or use its own fully licensed home care agency to provide assistance with activities of daily living, arrange for health-related, supportive, and medical services (e.g., professional nursing services, home health aide and care tasks, central storage of medication).

Move-In/Move-Out Requirements
Providers must reference federal and local laws such as the Fair Housing Act, Americans with Disabilities Act, and Local Vulnerable Adult Act.

Medication Management
Home care licensure laws must be followed.

Physical Plant Requirements
Facilities must comply with local building codes. There are no specific square footage requirements specified in the regulation.

Residents Allowed Per Room
None specified.

Bathroom Requirements
None specified.

Alzheimer's Unit Requirements
Other than specific disclosure items (see above) there are none specified.

Staff Training for Alzheimer's Care
None specified.

Staffing Requirements
Not specified.
<table>
<thead>
<tr>
<th>Administrator Education/Training</th>
<th>Not specified.</th>
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</thead>
<tbody>
<tr>
<td>Staff Education/Training</td>
<td>None specified.</td>
</tr>
<tr>
<td>Continuing Education (CE) Requirements</td>
<td>None specified.</td>
</tr>
<tr>
<td>Entity Approving CE Program</td>
<td>None specified.</td>
</tr>
<tr>
<td>Medicaid Policy and Reimbursement</td>
<td>A Medicaid Home and Community Based Services Waiver covers services in assisted living.</td>
</tr>
</tbody>
</table>
Mississippi

Agency  Department of Health, Health Facilities Licensure and Certification Division  Phone  (601) 576-7300
Contact  Dale Carr  Phone  (601) 576-7302  (601) 576-7340
E-mail  dale.carr@ohr.doh.ms.gov

Licensure Term  Personal Care Homes
Opening Statement  New regulations for personal care homes, residential living and personal care homes, assisted living went into effect in October 2001.
Definition  Personal care homes are licensed facilities that provide assistance to residents in performing one or more of the activities of daily living (ADLs), including, but not limited to, bathing, walking, excretory functions, feeding, personal grooming and dressing.
Disclosure Items  None specified.
Facility Scope of Care  Facilities may provide assistance with ADLs that may extend beyond providing shelter, food, and laundry. Assistance may include, but is not limited to, bathing, walking, toileting, feeding, personal grooming, dressing, and financial management.
Third Party Scope of Care  Limited home health services may be provided in facilities.
Move-In/Move-Out Requirements  Personal care homes/residential living facilities may only admit persons who are ambulatory; on a regular diet; continent of bowel and bladder; non-violent to self and others; not in need of care beyond the capabilities of a licensed facility; and free of communicable disease. Residents may require oral medication assistance and/or medication monitoring.
Medication Management  Facilities may monitor the self-administration of medication. Only licensed personnel are allowed to administer medication.
Physical Plant Requirements  Private and shared resident units must provide a minimum of 80 square feet per resident.
<table>
<thead>
<tr>
<th><strong>Residents Allowed Per Room</strong></th>
<th>A maximum of four residents is allowed per resident unit.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>Separate toilet and bathing facilities must be provided on each floor for each sex in the following ratios as a minimum: one bathtub/shower for every 12 or fewer residents; and one lavatory and one toilet for every six or fewer residents.</td>
</tr>
<tr>
<td><strong>Alzheimer's Unit Requirements</strong></td>
<td>Only personal care homes/assisted living facilities may establish a separate Alzheimer’s/dementia care units for no more than 24 residents (more than one unit per licensed facility is allowed). A registered nurse or licensed practical nurse must be present on all shifts and a minimum of two staff members must be on the unit at all times. Facilities are only permitted to house persons with up to Stage II Alzheimer’s disease.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>A full-time operator must be designated to manage the facility. Detailed staffing ratios apply.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>Operators must be at least 21 years of age and must be able to read and write.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>Direct care staff must be at least 18 years of age and shall receive training on a quarterly basis on topics and issues related to the population being served.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>No Medicaid Home and Community Based Services Waiver at this time; however, the state has applied for a waiver to cover services in personal care homes.</td>
</tr>
<tr>
<td><strong>Missouri</strong></td>
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<tr>
<td><strong>Agency</strong></td>
<td>Department of Health and Senior Services, Division of Health Standards and Licensure</td>
</tr>
<tr>
<td><strong>Phone</strong></td>
<td>(573) 751-3082</td>
</tr>
<tr>
<td><strong>Contact</strong></td>
<td>David Morgan</td>
</tr>
<tr>
<td><strong>Phone</strong></td>
<td>(573) 526-8553</td>
</tr>
<tr>
<td><strong>E-mail</strong></td>
<td><a href="mailto:morgijc@dssda.state.mo.us">morgijc@dssda.state.mo.us</a></td>
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<thead>
<tr>
<th><strong>Licensure Term</strong></th>
<th>Residential Care Facilities</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Opening Statement</strong></td>
<td>Legislation passed in May 1999 that revised the residential care facilities regulations. In January 2001, emergency regulations for residential care facilities Level II went into effect, allowing this level of facility to keep residents who are mentally incapable of negotiating a path to safety due to Alzheimer's disease or dementia if they complied with extra requirements for staff training, physical plant, and more.</td>
</tr>
</tbody>
</table>

| **Definition** | Residential care facilities Levels I and II provide three or more residents with shelter, board, and protective oversight. In addition to these, Level II facilities provide supervision and assistance with personal care. |

| **Disclosure Items** | None specified. |

| **Facility Scope of Care** | Levels I and II may provide shelter, board, protective oversight and care during short-term illness or recuperation. Level II facilities may provide additional services such as dietary supervision, personal care assistance, and supervision of health care under the direction of a licensed physician. |

| **Third Party Scope of Care** | Home health services may be provided in facilities. |

| **Move-In/Move-Out Requirements** | All residents must be physically and mentally capable of evacuation and must be discharged if their needs cannot be met by the facility. Residents may remain in the facility if they are temporarily incapacitated, for a period not to exceed 45 days. There is a movement in the legislature to allow mentally incapacitated residents to remain in facilities longer, under the condition that the facility have higher staff-to-resident ratios. |

| **Medication Management** | Administration of medication by licensed or certified personnel is permitted. |

| **Physical Plant Requirements** | Private and shared resident units must provide a minimum of 70 square feet per resident. |

| **Residents Allowed Per Room** | A maximum of four residents is allowed per resident unit. |

| **Bathroom Requirements** | Shared bathrooms are permitted. One tub or shower must be provided for every 20 residents and one toilet and lavatory mus |
be provided for every six residents.

<table>
<thead>
<tr>
<th>Alzheimer's Unit Requirements</th>
<th>None specified.</th>
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</thead>
<tbody>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>Staff involved in the delivery of care to individuals with Alzheimer's disease or related dementia must receive dementia specific training covering five areas specified in regulations. Staff who do not provide direct care for but may have daily contact with persons with Alzheimer's disease or related dementia must receive dementia-specific training covering two areas specified in regulations. All dementia-specific training must be incorporated into each facility's new employee orientation and ongoing in-service training.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>An administrator must be employed by the facility and one staff member must be on duty at all times. At a minimum, one employee must be on duty for every 40 residents.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>The administrator of a Level II facility must be a licensed nursing home administrator. In a Level I facility, the administrator must either be a licensed nursing home administrator or attend at least one continuing education workshop per year. All administrators must complete a course in medication administration.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>Staff who administer medication must be certified as a Level I Medication Aide, which requires the completion of a 16-hour approved course.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid state plan covers personal care and advanced personal care services in residential care facilities.</td>
</tr>
<tr>
<td><strong>Licensure Term</strong></td>
<td>Personal Care Facilities</td>
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</tr>
<tr>
<td><strong>Opening Statement</strong></td>
<td>The regulations were last updated in October 2002.</td>
</tr>
<tr>
<td><strong>Definition</strong></td>
<td>A personal care facility is a home or facility that is licensed to provide Category A personal care services to residents at least 18 years old or no more than five residents requiring Category B services. A 30-day limitation with no more than 120 days per year is allowed for provision of temporary nursing services in Category A facilities. Full nursing services are allowed in Category B facilities to no more than five residents in need of Category B services.</td>
</tr>
<tr>
<td><strong>Disclosure Items</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Facility Scope of Care</strong></td>
<td>Category A facilities must provide personal care assistance with the activities of daily living (ADLs). Nursing care can be provided by contract with a third-party provider. Category B facilities may provide full nursing care and assistance with ADLs to no more than five residents in need of Category B services.</td>
</tr>
<tr>
<td><strong>Third Party Scope of Care</strong></td>
<td>Third-party providers are permitted to provide skilled nursing care in Category A or B facilities.</td>
</tr>
<tr>
<td><strong>Move-In/Move-Out Requirements</strong></td>
<td>Residents in Category A facilities may obtain third-party provider skilled nursing services for no more than 30 consecutive days &quot;at one time&quot; and no more than 120 total days per year. Residents of Category B facilities must have a signed statement from their physicians agreeing to their admission to the facility if the residents are in need of skilled nursing care, in need of restraints, non-ambulatory or bedridden, incontinent, unable to self-administer medication. In Category A facilities, an annual review of residents receiving skilled nursing care must be done by an independent licensed professional. A licensed health professional must complete a quarterly review of residents in Category B facilities.</td>
</tr>
<tr>
<td><strong>Medication Management</strong></td>
<td>Category A residents must be able to self-medicate. Category B residents must be supervised by facility staff if the resident self medicates.</td>
</tr>
<tr>
<td><strong>Physical Plant Requirements</strong></td>
<td>Private resident units must be a minimum of 100 square feet and shared units must provide a minimum of 80 square feet per...</td>
</tr>
<tr>
<td><strong>Residents Allowed Per Room</strong></td>
<td>A maximum of four residents is allowed per resident unit in existing facilities and no more than two residents in new construction.</td>
</tr>
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</tr>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>Common toilet, bathing, and lavatory facilities are permitted. In addition, each resident must have access to a toilet room without entering another resident’s room or the kitchen, dining or living areas.</td>
</tr>
<tr>
<td><strong>Alzheimer's Unit Requirements</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>An administrator must be employed by the facility and at least one staff member must be present on a 24-hour basis. Adequate staff must be present to meet the needs of the residents.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>Administrators must have a high school diploma or GED and have successfully completed the assisted living training system for administrators offered by the Assisted Living Federation of America.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>Owners of facilities must make sure that noncertified aides receive proper on-the-job orientation and training.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>Administrators must complete at least 16 hours of continuing education per year. If aides are certified, they must receive 15 hours of continuing education per year.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid Home and Community Based Services Waiver cover services in personal care facilities. There are a limited number of Home and Community Based Services slots.</td>
</tr>
</tbody>
</table>
**Nebraska**

**Agency**  Department of Health and Human Services, Division of Regulations and Licensure  
**Phone**  (402) 471-2133

**Contact**  Nancy Brown  
**Phone**  (402) 471-4970

**E-mail**  nancy.brown@hhss.state.ne.us

**Licensure Term**  Assisted Living Facilities

**Opening Statement**  Revisions to the regulations were made in January 2001.

**Definition**  Assisted living facilities provide shelter, food and care for remuneration for a period of more than 24 consecutive hours to four or more persons who require or request such services due to age, illness or physical disability.

**Disclosure Items**  None specified.

**Facility Scope of Care**  The facility may provide:
1. Personal care;
2. Health maintenance activities (i.e., non-complex nursing interventions that can safely be performed according to exact directions);
3. Transportation;
4. Laundry;
5. Housekeeping;
6. Financial assistance/management;
7. Behavioral management;
8. Case management;
9. Shopping;
10. Beauty/barber services; and
11. Spiritual services.

**Third Party Scope of Care**  If residents assume responsibility, they may arrange for care through a licensed home health or hospice agency or appropriate private duty personnel.

**Move-In/Move-Out Requirements**  Residents requiring complex nursing interventions or whose conditions are not stable or predictable will not be admitted, readmitted, or retained by the facility unless the resident has sufficient mental ability to understand the situation; assumes responsibility for arranging for care from a third party; or has care needs that do not compromise the facility operations, or create a danger to others in the facility.

**Medication Management**  Residents may self-administer medications. When medication administration is provided by the facility, it must be administered by licensed staff or medication assistants approved by the Department.
| **Physical Plant Requirements** | In existing facilities, private resident units must be a minimum of 80 square feet and double-occupancy units must provide a minimum of 60 square feet per resident. In new facilities, private resident units must be a minimum of 100 square feet and double-occupancy units must be a minimum of 160 square feet. |
| **Residents Allowed Per Room** | In existing facilities, a maximum of four residents is allowed per resident unit. In new facilities, a maximum of two residents is allowed per resident unit. |
| **Bathroom Requirements** | Facilities must provide a bathing facility adjacent to each room or central bathing facilities. In existing facilities, at least one bathing facility must be provided for every 16 residents. In new facilities, one bathing facility must be provided for every eight residents. |
| **Alzheimer's Unit Requirements** | Facilities serving special populations must assess each resident to identify his/her abilities and needs, provide specially trained staff, prepare service agreements, and provide a physical environment that conforms to and accommodates the special needs. |
| **Staff Training for Alzheimer's Care** | Direct care staff must be trained in the facility or unit's philosophy and approaches to providing care and supervision for persons with Alzheimer's disease; the Alzheimer's disease process; and the skills necessary to care for and intervene and direct residents who are unable to perform ADLs, personal care or health maintenance and who may exemplify behavior problems or wandering tendencies. |
| **Staffing Requirements** | The facility must have an administrator who is responsible for the overall management of the facility and who shall ensure staffing is appropriate to meet the needs of the residents. |
| **Administrator Education/Training** | None specified. |
| **Staff Education/Training** | Direct-care staff must complete an initial orientation and ongoing training. |
| **Continuing Education (CE) Requirements** | All staff must complete at least 12 hours of continuing education per year on topics appropriate to the employee’s job duties, including meeting the physical and mental special care needs of residents in the facility. |
| **Entity Approving CE Program** | None specified. |
| **Medicaid Policy and Reimbursement** | A Medicaid Home and Community Based Services Waiver covers services in assisted living. |
**Licensure Term**
Residential Facilities for Groups

**Opening Statement**
Regulations for residential facilities for groups have been in effect since October 1997 and were revised in 1999 to meet new state statutes. The regulations establish Care Categories I and II. Care Category I residents are ambulatory and can evacuate with minimal assistance in the event of a fire. Only one wheelchair-bound resident is permitted in unsprinklered facilities in this category. Care Category II residents are physically or mentally incapable of evacuation and require the assistance of another person.

**Definition**
A residential facility for groups furnishes food, shelter, assistance, and limited supervision to an aged, infirm, mentally retarded, or disabled person on a 24-hour basis.

**Disclosure Items**
None specified.

**Facility Scope of Care**
Facilities must provide residents with assistance with activities of daily living and protective supervision as needed. Facilities must also provide nutritious meals and snacks, laundry, and housekeeping and must meet the needs of the residents. Facilities must provide 24-hour supervision.

**Third Party Scope of Care**
Home health and hospice agencies may provide services under contract with residents and medical treatment must be provided by medical professionals who are trained to provide that service.

**Move-In/Move-Out Requirements**
Facilities may not admit or retain persons who are bedfast; require chemical or physical restraints; require confinement in locked quarters; require skilled nursing or other medical supervision on a 24-hour basis; require gastrostomy care; or have complex medical needs or conditions (e.g., colostomy or ileostomy care, use of an indwelling catheter).

**Medication Management**
Direct care staff may administer medication (except injections) upon the completion of an approved training program and passing of an exam.

**Physical Plant Requirements**
Private resident units must be a minimum of 80 square feet and shared resident units must provide a minimum of 60 square feet of floor space per resident.
| **Residents Allowed Per Room** | A maximum of three residents is allowed per resident unit. |
| **Bathroom Requirements** | A toilet and lavatory must be provided for every four residents and a tub or shower must be provided for every six residents. |
| **Alzheimer's Unit Requirements** | Eight hours of training is required for staff supervising residents with Alzheimer's disease. Locked quarters are allowed in Alzheimer's units. In addition, alarms, buzzers, horns, or other audible devices activated when a door is opened are to be installed on all exit doors. At least one member of the staff must be awake and on duty at all times. |
| **Staff Training for Alzheimer's Care** | None specified. |
| **Staffing Requirements** | An administrator and a sufficient number of caregivers must be employed by the facility. Facilities with more than 20 residents shall ensure that at least one employee is awake and on duty at all times. |
| **Administrator Education/Training** | Administrators must be licensed by the Nevada State Board of Examiners for Administrators of Facilities for Long Term Care. An administrator for an Alzheimer's facility must have three years experience in caring for residents with Alzheimer's disease or related dementia. |
| **Staff Education/Training** | Caregivers must be at least 18 years of age; have personal qualities enabling them to understand the problems of the aged and disabled; be able to read, write, speak, and understand English; and possess knowledge, skills, and abilities to meet residents' needs. |
| **Continuing Education (CE) Requirements** | All staff must complete eight hours of continuing education per year. Training must be related to the care of the elderly and, depending upon the facility's population, related to specific populations (e.g., dementia-related training for those who supervise persons with Alzheimer's disease). |
| **Entity Approving CE Program** | Bureau of Licensure and Certification |
| **Medicaid Policy and Reimbursement** | A Medicaid Home and Community Based Services Waiver covers personal care services in group residential settings. |
## New Hampshire

**Agency**  
Department of Health and Human Services, Office of Program Support, Health Facilities Administration

**Contact**  
Theresa "Terry" Jarvis  
tjarvis@dhhs.state.nh.us

**Phone**  
(603) 271-4592

## Licensure Term
Assisted Living Facilities

## Opening Statement
New assisted living facility regulations are being developed and are expected to be finalized in 2003. The new regulations will reflect the fact that nursing-home-eligible residents may remain in assisted living facilities if appropriate care and services are provided.

## Definition
Residential care home facilities are non-medical and non-institutional; public or privately owned and operated; or community-based living arrangements providing shelter, food, and protective oversight to a population of adult, elderly, disabled, special needs, and/or special care residents.

## Disclosure Items
None specified.

## Facility Scope of Care
Facilities may provide protective services including supervision of activities of daily living (ADLs), nutrition, and medication.

## Third Party Scope of Care
If a resident’s health status changes permanently to non-mobile or the resident requires ongoing medical or nursing care, the resident may remain, provided their needs are met either by facility staff or through a third party.

## Move-In/Move-Out Requirements
Facilities may only admit persons who are able to initiate and accomplish most ADLs but who may require supervision and physical assistance.

## Medication Management
Residents may self-administer medications with or without staff supervision or licensed staff may administer medication.

## Physical Plant Requirements
Private resident units must be a minimum of 80 square feet and shared resident units must be a minimum of 140 square feet.

## Residents Allowed Per Room
A maximum of two residents is allowed per resident unit.

## Bathroom Requirements
The number of sinks, toilets, and tubs/showers are in a ratio of one to every six residents.

## Alzheimer's Unit Requirements
None specified.
<table>
<thead>
<tr>
<th><strong>Staff Training for Alzheimer's Care</strong></th>
<th>None specified.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>Facilities must employ a full-time administrator who is responsible for day-to-day operations. Personnel levels are determined by the administrator and based on the services required by residents and the size of the facility (e.g., at least one staff member must be on duty at all times when there are more than four residents in the facility).</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>Administrators must be at least 21 years of age and have three letters of reference attesting to their knowledge, skills, and ability to run a facility. Administrators of facilities with four to 16 residents must also have a high school diploma or equivalent plus one year of work experience in a health or human services field, or an associate's degree in a health field. Administrators of facilities with 17 or more residents must additionally have a high school diploma plus five years of direct care experience, an associate's degree plus three years experience in a health or human services field, or a bachelor's degree in a health field.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>Direct-care staff must be at least 18 years of age. All personnel must have orientation and training in the performance of their duties and responsibilities.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>Administrators must complete a minimum of 12 hours of continuing education per year relating to resident plan of care; characteristics of client disabilities; nutrition, basic hygiene, and dental care; first aid; medication management; dementia; resident assessment; aging; and resident rights.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid Home and Community Based Services Waiver covers services in assisted living.</td>
</tr>
</tbody>
</table>
Licensure Term
Assisted Living Residences/Comprehensive Personal Care Homes and Assisted Living Programs

Opening Statement
New regulations (with no major revisions) went into effect November 1999.

Definition
An assisted living residence provides apartment-style housing and congregate dining and assures that assisted living services are available when needed for four or more adult persons. There are three categories of assisted living: assisted living residences (new construction), comprehensive personal care homes (converted/residential boarding home that may not meet all building code requirements) and assisted living programs (services provided).

Facility Scope of Care
Facilities provide a coordinated array of supportive personal and health services 24 hours per day, including assistance with personal care, nursing, pharmacy, dining, activities, recreational, and social work services to meet the individual needs of each resident.

Third Party Scope of Care
Facilities may contract with licensed home health agencies.

Move-In/Move-Out Requirements
New Jersey has no entry requirements or restrictions. Mandatory discharge is required if a resident requires specialized long term care, such as respirators, ventilators, or severe behavior management. Facilities may specify other discharge requirements, such as if the resident is bedridden for more than 14 consecutive days; requires 24-hour nursing supervision; is totally dependent on assistance with four or more activities of daily living; or is a danger to self or others.

Medication Management
Staff who have completed a medication aid course and passed a certifying exam are permitted to administer medication to residents under the delegation of a registered nurse (RN). The only injections allowed in this case are pre-drawn insulin injections.

Physical Plant Requirements
Private resident units must provide a minimum of 150 square feet of clear and usable floor area and semi-private resident units must provide a minimum of 80 square feet of clear floor area per resident.
| **Residents Allowed Per Room** | A maximum of two residents is allowed per resident unit. |
| **Bathroom Requirements** | Bathrooms may be shared but a bathroom with a toilet, bathtub/shower, and sink must be located in each resident unit. Additional toilet facilities must be provided to meet the needs of residents, staff, and visitors to the facility. |
| **Alzheimer's Unit Requirements** | None specified. |
| **Staff Training for Alzheimer's Care** | None specified. |
| **Staffing Requirements** | Staffing must be sufficient to meet residents' needs. At least one awake personal care assistant and one additional employee must be on site 24 hours per day. An RN must be available 24 hours per day. |
| **Administrator Education/Training** | Administrators must be at least 21 years of age and possess a high school diploma or equivalent. Administrators must also either hold a current New Jersey license as a nursing home administrator, be eligible to take the exam to become a licensed nursing home administrator, or complete an approved training course and examination. |
| **Staff Education/Training** | Personal care assistants must either successfully complete an approved nurse aide training course, an approved homemaker/home health aide training program, or other equivalent approved training program. |
| **Continuing Education (CE) Requirements** | Administrators must complete a minimum of 20 hours of continuing education every two years relating to assisted living concepts and related topics. Personal care assistants must complete at least 20 hours every two years of continuing education in assisted living concepts and related topics including cognitive and physical impairment and dementia. Medication aides must complete an additional 10 hours of continuing education related to medication administration and elderly drug use every two years. |
| **Entity Approving CE Program** | The New Jersey Nursing Home Administrators Licensing Board approves courses. |
| **Medicaid Policy and Reimbursement** | A Medicaid Home and Community Based Services Waiver covers services in assisted living. |
Licensure Term: Adult Residential Care Facilities

Opening Statement: The regulations were last updated in August 2000 and a workgroup is currently developing recommended changes.

Definition: An adult residential care facility provides programmatic services, room, board, assistance with one or more activities of daily living (ADLs), and/or general supervision to two or more adults who have difficulty living independently or managing their own affairs.

Disclosure Items: None specified.

Facility Scope of Care: The facility may provide assistance with ADLs and periodic professional nursing care for adults with physical or mental disabilities.

Third Party Scope of Care: None specified.

Move-In/Move-Out Requirements: Facilities may not retain residents requiring continuous nursing care, which may include, but is not limited to, the following conditions: ventilator dependency; stage three or four pressure sores; or any condition requiring either chemical or physical restraints, etc.

Medication Management: Licensed health care professionals are responsible for the administration of medications. If a resident gives written consent, trained facility staff may assist a resident with medications.

Physical Plant Requirements: Private resident units must be a minimum of 100 square feet and semi-private resident units must provide a minimum of 80 square feet of floor space per resident.

Residents Allowed Per Room: A maximum of two residents is allowed per resident unit.

Bathroom Requirements: A minimum of one toilet, sink, and bathing unit must be provided for every eight residents.

Alzheimer's Unit Requirements: None specified. However, in its program description and outline of services, a facility must specify that it provides care that meets the needs of the residents.
<table>
<thead>
<tr>
<th>Staff Training for Alzheimer's Care</th>
<th>None specified.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staffing Requirements</td>
<td>The minimum staff-to-resident ratio is one staff person to 15 or fewer awake residents. When residents are sleeping, there must be one direct care worker for 15 or fewer residents; one direct care worker and one staff person for 16 to 60 residents; two direct care workers and one staff person to every 61 to 20 residents; and at least three direct care workers and one staff person to every 120 or more residents. All employees must complete a criminal background check.</td>
</tr>
<tr>
<td>Administrator Education/Training</td>
<td>Administrators must be at least 21 years of age, possess management and administrative skills, and have a high school diploma or equivalent.</td>
</tr>
<tr>
<td>Staff Education/Training</td>
<td>Direct care staff must be at least 18 years of age and have adequate education, training, or experience to provide for the needs of residents. Staff are required to complete ongoing training programs relating to fire safety; first aid; safe food handling practices; confidentiality of records and resident information; infection control; resident rights; reporting requirements for abuse, neglect, and exploitation; transportation safety for assisting residents and operating vehicles to transport residents; and providing quality resident care based on current resident needs.</td>
</tr>
<tr>
<td>Continuing Education (CE) Requirements</td>
<td>None specified.</td>
</tr>
<tr>
<td>Entity Approving CE Program</td>
<td>None specified.</td>
</tr>
<tr>
<td>Medicaid Policy and Reimbursement</td>
<td>A Medicaid Home and Community Based Services Waiver covers services in assisted living. The waiver payment for assisted living services is a flat rate.</td>
</tr>
</tbody>
</table>
**New York**

**Agency**  Department of Health  
**Contact**  Bill Rabbitt  
**Phone**  (518) 478-1000  
**E-mail**  wjr02@health.state.ny.us

**Licensure Term**  Assisted Living Programs

**Opening Statement**  A complete review of the multiple regulations and categories of assisted living is still underway in New York. The Governor's Program Bill from previous legislative sessions did not pass, but could be reintroduced in 2003.

**Definition**  Assisted living programs use existing licensure categories. A provider must be licensed as an adult home or enriched housing program and have a licensed home care services agency or contract with a certified home health care agency or a long term home health care program. For the purposes of this summary, the definitions of these categories are as follows:

1) Assisted living programs combine residential and home care services. They are designed as an alternative to nursing home placement for individuals who have historically been admitted to nursing homes for social rather than medical reasons. Programs must provide or arrange for resident services, including room, board, housekeeping, supervision, personal care, case management, and home health services.

2) Enriched housing programs provide long term residential care to five or more adults (mostly aged 65 years of age or older), in community-integrated settings resembling independent housing units and must provide or arrange for room, board, housekeeping, personal care, and supervision.

3) Adult homes provide long term residential care, room, board housekeeping, personal care, and supervision to five or more adults.

**Disclosure Items**  None specified.

**Facility Scope of Care**  
Adult homes and enriched housing programs can provide supervision, personal care, housekeeping, case management, activities, food service, and assistance with medication.

**Third Party Scope of Care**  Facilities may contract with a home health agency or a long term home health care program.

**Move-In/Move-Out Requirements**  Residents who have stable medical conditions and are capable of self-preservation with assistance may be admitted. Persons may not be admitted who need continuous nursing care; are
<table>
<thead>
<tr>
<th>Requirement</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Physical Plant Requirements</td>
<td>Assisted living programs must comply with the relevant requirements under which the contracting facility is licensed. Enriched housing programs must provide single-occupancy units, unless residents want to share. Adult Homes may provide either single- or double-occupancy resident units.</td>
</tr>
<tr>
<td>Residents Allowed Per Room</td>
<td>A maximum of two residents is allowed per resident unit.</td>
</tr>
<tr>
<td>Bathroom Requirements</td>
<td>Enriched housing programs must provide one toilet, lavatory, shower, or tub for every three residents. Adult homes must provide at least one toilet and lavatory for every six residents and one tub/shower for every 10 residents.</td>
</tr>
<tr>
<td>Alzheimer’s Unit Requirements</td>
<td>Special requirements exist for dementia units.</td>
</tr>
<tr>
<td>Staff Training for Alzheimer’s Care</td>
<td>None specified.</td>
</tr>
<tr>
<td>Staffing Requirements</td>
<td>Adult homes must have a case manager and staffing sufficient to provide the care needed by residents. The regulations list specific staffing ratios (e.g., one staff person for one to 40 residents during the day, evening, and night).</td>
</tr>
<tr>
<td>Administrator Education/Training</td>
<td>Administrators generally must be at least 21 years of age, have a master’s degree in social work and one year experience, or a bachelor’s degree and three years of acceptable experience. Requirements for administrators varies further based on the number of residents in the facility.</td>
</tr>
<tr>
<td>Staff Education/Training</td>
<td>Personal care staff of a home health agency must complete a personal care aide or home health aide training course or other approved examination. Enriched housing programs and adult homes must provide an orientation and in-service training in the characteristics and needs of the population served, resident rights, program rules and regulations, duties and responsibilities of all staff, general and specific responsibilities of the individual being trained, and emergency procedures.</td>
</tr>
<tr>
<td>Continuing Education (CE) Requirements</td>
<td>Administrators not holding a current New York license as a nursing home administrator must complete a minimum of 60 hours of continuing education every two years.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
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<td>-------------------------------</td>
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</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>Legislation authorizing a Medicaid Home and Community Based Services Waiver is pending. Assisted Living Programs receive Medicaid from a state plan amendment. This program is limited to a statewide cap of 4,200 beds.</td>
</tr>
</tbody>
</table>
**North Carolina**

<table>
<thead>
<tr>
<th><strong>Agency</strong></th>
<th>Department of Health and Human Services, Division of Facility Services</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Contact</strong></td>
<td>Doug Barrick/Jim Upchurch</td>
</tr>
<tr>
<td><strong>E-mail</strong></td>
<td><a href="mailto:doug.barrick@ncmail.net">doug.barrick@ncmail.net</a> / <a href="mailto:jim.upchurch@ncmail.net">jim.upchurch@ncmail.net</a></td>
</tr>
<tr>
<td><strong>Phone</strong></td>
<td>(919) 855-3750</td>
</tr>
<tr>
<td><strong>Phone</strong></td>
<td>(919) 855-3765</td>
</tr>
</tbody>
</table>

**Licensure Term**

Assisted Living Residences

**Opening Statement**

Legislation passed in July 1995 establishing an umbrella term of "assisted living residences" that includes "adult care homes" and "Multi-Unit Assisted Housing with Services" (MAHS).

**Definition**

Assisted living residences provide group housing with at least one meal per day and housekeeping. Personal care services are provided by agreement with a licensed home care or hospice agency or by facility staff if licensed as an adult care home.

Adult care homes are further categorized as "family care" (housing two to six residents), and adult care homes (seven or more residents).

**Disclosure Items**

A MAHS must register with the Department of Human Resources and provide a disclosure statement to residents and the Department.

**Facility Scope of Care**

In a MAHS, housing and assistance with coordination of personal and health care services through licensed home care agencies is permitted.

In adult care homes, housing, personal care, and some specified health care services are provided by staff while licensed home care agencies may provide other health care services that unlicensed staff cannot perform. Adult care homes also have a requirement for 24-hour staff monitoring and supervision of residents.

**Third Party Scope of Care**

Hospice care and home health care may be requested by the resident and provided in all assisted living residences.

In a MAHS, personal care and nursing services are provided through agencies licensed by the Department of Health and Human Services. MAHS management must have an arrangement with at least one licensed agency to meet the scheduled needs of residents and residents may choose the agency.

**Move-In/Move-Out Requirements**

MAHS providers are not permitted to care for residents who require, on a consistent basis, 24-hour supervision, have one of a wide variety of specific conditions (e.g., nasogastric tubes),...
Physical Plant Requirements

In adult care homes, private resident units must be a minimum of 100 square feet and shared resident units must provide a minimum of 80 square feet per resident.

Residents Allowed Per Room

In adult care homes, a maximum of four residents is allowed per resident unit.

Bathroom Requirements

Shared bathroom and toilet facilities are permitted in adult care homes as long as one toilet and hand lavatory is provided for every five residents and a tub or shower is provided for every 10 residents.

Alzheimer's Unit Requirements

More detailed rules applying to Alzheimer's units became effective in January 2000 and include requiring additional staffing and staff training in dementia care and disclosure statement of policies and special services. These requirements only apply to advertised special care units.

Medication Management

In a MAHS, assistance with self-administration of medications may be provided by appropriately trained staff when delegated by a licensed nurse according to the home care agency's established plan of care.

Staffing Requirements

Staffing requirements in adult care homes vary depending upon the numbers of residents. Facilities with 20 or fewer residents must ensure that an administrator or supervisor-in-charge (SIC) is in the facility or within 500 feet of the facility and immediately available and another staff person is in the facility when the administrator or SIC is not present or within 500 feet if the administrator or SIC is in the facility. For facilities of 21 or more residents, the number of aide hours required is based
on increments of 10 residents. Supervisors of aides are required for facilities with 31 or more residents. Administrators must be on-site five days a week for a minimum of 40 hours in facilities with 81 or more residents.

**Administrator Education/Training**

Adult care home administrators must be certified by the state, which requires completion of a 120-hour administrator-in-training program.

**Staff Education/Training**

Staff in adult care homes of seven or more beds who perform or directly supervise staff who perform personal care tasks must complete either a 45-hour or 80-hour training program, depending upon the level of care tasks for which they are responsible.

**Continuing Education (CE) Requirements**

Administrators of adult care homes of seven or more beds must complete 30 hours of continuing education every two years. Supervisors in charge must complete 12 hours of continuing education per year. Staff who administer medications and their supervisors must complete six hours of continuing education per year.

**Entity Approving CE Program**

Persons or agencies seeking to be continuing education providers must apply to the Adult Care licensure Section of the Division of Facility Services for approval.

**Medicaid Policy and Reimbursement**

A state plan service through Medicaid covers personal care services in adult care homes.
### North Dakota

**Agency**  Department of Health, Division of Health Facilities  
**Phone**  (701) 328-8910  
**Contact**  Lroger Unger  
**E-mail**  runger@state.nd.us

**Licensure Term**  
Basic Care Facility  
Assisted Living Facility (registered)

**Opening Statement**  
North Dakota has licensed basic care facilities and registered assisted living facilities. A new law will take effect August 1, 2003 that will discontinue the registration process for assisted living facilities and replace it with a licensure process. New regulations will have to be developed.

**Definition**  
A basic care facility means a facility licensed by the Department of Health under North Dakota Century Code chapter 23-09.3. The focus of the facility is to provide room and board and health, social, and personal care to assist the residents to attain or maintain their highest level of functioning, consistent with the resident assessment and care plan, to five or more residents not related to the owner or manager by blood or marriage. These services must be provided on a 24-hour basis within the facility, either directly or through contract, and shall include assistance with activities of daily living and instrumental activities of daily living; provision of leisure, recreational, and therapeutic activities; and supervision of nutritional needs and medication administration.

A registered assisted living facilities means a building or structure containing a series of living units operated as one entity to provide services for five or more individuals who are not related by blood, marriage, or guardianship to the owner or manager of the entity and which is kept, used, maintained, advertised, or held out to the public as a place that provides or coordinates individualized support services to accommodate the individual’s needs and abilities to maintain as much independence as possible. An assisted living facility does not include a facility that is a congregate housing facility or a licensed basic care facility.

**Disclosure Items**  
None specified.

**Facility Scope of Care**  
A basic care facility may provide assistance with activities of daily living (ADLs) defined as prompting, encouragement, or minimal hands-on assistance. It must provide personal care services to assist residents to attain and maintain their highest level of functioning consistent with the resident assessments and care plans.
An assisted living facility may provide assistance to adults who may have physical or cognitive impairments and who require at least a moderate level of assistance with one or more activities of daily living and assistance with instrumental activities of daily living.

### Third Party Scope of Care
In basic care facilities, home health agencies may provide services under contract with residents.

### Move-In/Move-Out Requirements
In basic care facilities, residents must be physically and mentally capable of evacuating with minimal assistance, capable of independent transfer, may not require physical or chemical restraints, or be dependent in any ADLs.

### Medication Management
In basic care facilities, unlicensed staff may administer medication except for "as needed" controlled prescription drugs. In Spring 1997, a medication administration bill was passed allowing for the administration of limited medications by unlicensed personnel. This provision requires those personnel to have specific training. They must also be monitored by a registered nurse.

### Physical Plant Requirements
In basic care facilities, private resident units must be a minimum of 100 square feet; semi-private resident units must provide a minimum of 80 square feet per resident; and units for three or more individuals must provide a minimum of 70 square feet per resident. Generally, basic care facilities have semi-private units.

In an assisted living facility, units are efficiency or one or two bedroom apartments.

### Residents Allowed Per Room
Not specified for either basic care or assisted living facilities.

### Bathroom Requirements
Common toilets, lavatories, and bathing facilities are permitted. In basic care facilities, there must be at least one toilet for every four residents and a bathtub or shower for every 15 residents.

### Alzheimer's Unit Requirements
Alzheimer's units are available in basic care facilities. They are not available in assisted living facilities.

### Staff Training for Alzheimer's Care
None specified.

### Staffing Requirements
Staff must be available 24 hours per day to meet the needs of the residents.

### Administrator Education/Training
None specified.
<table>
<thead>
<tr>
<th><strong>Staff Education/Training</strong></th>
<th>Personal care aides in basic care facilities must have in-service training. None specified for assisted living facilities.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>Administrators of basic care facilities must complete at least 12 hours of continuing education per year relating to care and services for residents. Nothing specified for assisted living facilities.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified for either basic care or assisted living facilities.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid Home and Community Based Services Waiver covers services for adult day care and respite care in basic care facilities. There is no provision for Medicaid reimbursement in assisted living facilities.</td>
</tr>
</tbody>
</table>
**Ohio**

**Agency**  Department of Health  
**Contact**  Kathy Singer  
**E-mail**  ksinger@gw.odh.state.oh.us  
**Phone**  (614) 466-7856  
**Phone**  (614) 466-7713

**Licensure Term**  Residential Care Facilities  
**Opening Statement**  Residential care facilities regulations were amended in November 2001.

**Definition**  Residential care facilities provide accommodations for 17 or more unrelated individuals; supervision and personal care services for three or more of those individuals who are dependent on the services of others by reason of age or physical or mental impairment; or accommodations for three or more individuals and skilled nursing care services for at least one individual.

**Disclosure Items**  None specified.

**Facility Scope of Care**  Facilities provide supervision, personal care services, administer medication, supervise special diets, and perform dressing changes. Facilities may also provide up to 120 days of nursing services on a part-time, intermittent basis.

**Third Party Scope of Care**  Skilled nursing services may be provided by a licensed hospice agency or certified home health agency.

**Move-In/Move-Out Requirements**  Facilities may admit or retain individuals who require skilled nursing care beyond the supervision of special diets, application of dressings, or administration of medication only if the care is on a part-time/intermittent basis for not more than a total of 120 days in any 12-month period.

**Medication Management**  Residents must either be capable of self-administering medications or the facility must provide for medication administration by a home health agency, hospice, or qualified staff person (e.g., a registered nurse (RN), licensed practical nurse (LPN), or physician). Trained, unlicensed staff may assist with self-administration only if the resident is mentally alert and able to participate in the medication process. Assistance includes reminders, observing, handing medications to the resident, and verifying the resident’s name on the label, etc. An RN, LPN, or physician must be on duty when medications are being administered.

**Physical Plant Requirements**  Private resident units must be a minimum of 100 square feet and multiple-occupancy resident units must provide a minimum of 80 square feet per resident.
Residents Allowed Per Room
A maximum of four residents is allowed per resident unit.

Bathroom Requirements
One toilet, sink, tub/shower is required for every eight residents. Additionally, if there are more than four persons of one gender to be accommodated in one bathroom on a floor, a bathroom must be provided for each gender residing on that floor.

Alzheimer's Unit Requirements
Facilities that have special units must disclose information about unit placement, transfer and discharge policies, special assessments, unit services and resident activities, unit staffing and staff qualifications, special physical design features, family involvement, and costs for services on unit.

Staff Training for Alzheimer's Care
No special requirements, but if the facility has residents with behavioral problems or increased emotional needs, staff members are required to receive training on appropriate interventions.

Staffing Requirements
A facility must have an administrator who is responsible for its daily operation. At least one staff member must be on duty at all times and sufficient additional staff members must be present to meet the residents’ total care needs. Sufficient nursing staff is required to provide needed skilled nursing care. At night, a staff member may be on call if the facility meets certain call signal requirements.

Administrator Education/Training
Administrators must be 21 years of age and meet one of the following criteria: be licensed as a nursing home administrator; have 2,000 hours of direct operational responsibility; complete 100 credit hours of post-high-school education in the field of gerontology or health care; be a licensed health care professional; or hold a college degree.

Staff Education/Training
Staff members providing personal care services must be at least 16 years of age, have first aid training and complete a specified training program. All staff must be able to understand and communicate job-related information in English and must be appropriately trained to implement residents’ rights.

Continuing Education (CE) Requirements
Administrators must complete nine hours of continuing education in gerontology, health care, business administration, or residential care administration per year.

Entity Approving CE Program
None specified.

Medicaid Policy and Reimbursement
There is no Medicaid Home and Community Based Services Waiver at this time; however, a pilot program is being developed.
### Oklahoma

<table>
<thead>
<tr>
<th><strong>Agency</strong></th>
<th>Department of Health, Special Health Services</th>
<th><strong>Phone</strong></th>
<th>(405) 271-6868</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Contact</strong></td>
<td>Leslie Elliott</td>
<td><strong>Phone</strong></td>
<td>(405) 271-6868</td>
</tr>
<tr>
<td><strong>E-mail</strong></td>
<td><a href="mailto:lesliee@health.state.ok.us">lesliee@health.state.ok.us</a></td>
<td></td>
<td></td>
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</tbody>
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<table>
<thead>
<tr>
<th><strong>Licensure Term</strong></th>
<th>Assisted Living Centers</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Opening Statement</strong></td>
<td>Regulations for assisted living were revised in June 1999.</td>
</tr>
<tr>
<td><strong>Definition</strong></td>
<td>An assisted living center is a home or establishment offering, coordinating, or providing services to two or more persons who by choice or functional impairment need or may need assistance with personal care or nursing supervision; intermittent or unscheduled nursing care; medication assistance; and assistance with transfer and/or ambulation.</td>
</tr>
<tr>
<td><strong>Disclosure Items</strong></td>
<td>The facility must disclose whether it has special care units. If it does, it must outline the scope of services provided within the unit and specific staffing and staff training to address the needs of the population.</td>
</tr>
<tr>
<td><strong>Facility Scope of Care</strong></td>
<td>Providers may define their scope of services, admission criteria and the nature of the residents they serve. Facilities may provide assistance with personal care; nursing supervision; intermittent or unscheduled nursing care; medication administration; assistance with cognitive orientation and care or service for Alzheimer’s disease and related dementias; and assistance with transfer or ambulation.</td>
</tr>
<tr>
<td><strong>Third Party Scope of Care</strong></td>
<td>Facilities and/or residents may contract with licensed home health agencies as defined in the facility’s description of service</td>
</tr>
<tr>
<td><strong>Move-In/Move-Out Requirements</strong></td>
<td>A resident may not be admitted if his/her need for care or services exceeds what the facility can provide; a physician determines that physical or chemical restraints are needed in non-emergency situations; a threat is posed to self or others; or the facility is unable to meet the resident’s needs for privacy or dignity.</td>
</tr>
<tr>
<td><strong>Medication Management</strong></td>
<td>Medication administration is permitted.</td>
</tr>
<tr>
<td><strong>Physical Plant Requirements</strong></td>
<td>Design shall be appropriate to the mental or physical disabilities of the residents served.</td>
</tr>
<tr>
<td><strong>Residents Allowed Per Room</strong></td>
<td>A maximum of two residents is allowed per resident unit.</td>
</tr>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>Shower and bathing facilities must not be occupied by more than one resident at a time and no more than four residents may share a bathing facility unless the Department of Health</td>
</tr>
</tbody>
</table>
has approved use by more than four residents based on documentation that the design of the bathing facility is appropriate to the special needs of each resident using it.

<table>
<thead>
<tr>
<th>Alzheimer's Unit Requirements</th>
<th>The facility must disclose whether it has special care units. If it does, it must outline the scope of services provided within the unit and specific staffing to address the needs of the population.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff Training for Alzheimer's Care</td>
<td>The facility must disclose the training for staff in the Alzheimer’s unit.</td>
</tr>
<tr>
<td>Staffing Requirements</td>
<td>Each facility shall designate an administrator responsible for it operation. Facilities shall provide adequate staffing as necessary to meet the services described in the facility’s contract with each resident. Dietary and nurse staffing shall be provided or arranged. Certified nursing assistants (CNA) must be under the supervision of a registered nurse.</td>
</tr>
<tr>
<td>Administrator Education/Training</td>
<td>An administrator must either hold a nursing home administrator's license, a residential care home administrator’s certificate of training, or a nationally recognized assisted living certificate of training and competency approved by the Department of Health.</td>
</tr>
<tr>
<td>Staff Education/Training</td>
<td>All staff shall be trained to meet the specialized needs of residents. Direct care staff shall be trained in first aid and CPR and be trained at a minimum as a CNA.</td>
</tr>
<tr>
<td>Continuing Education (CE) Requirements</td>
<td>Administrators must complete 16 hours of continuing education per year.</td>
</tr>
<tr>
<td>Entity Approving CE Program</td>
<td>The entity that issued the license or certificate.</td>
</tr>
<tr>
<td>Medicaid Policy and Reimbursement</td>
<td>There is no Medicaid Home and Community Based Services Waiver at this time; however, proposals to provide this program have been studied.</td>
</tr>
</tbody>
</table>
Assisted living is a program approach that provides or coordinates a range of supportive personal and health services on a 24-hour basis for the support of resident independence in a residential setting.

This information must be provided to individuals and their families prior to admission to an Alzheimer’s Care Unit:
1. The philosophy of how care and services are provided to the residents;
2. The admission, discharge and transfer criteria and procedures;
3. The training topics, amount of training spent on each topic, and the name and qualifications of the individuals used to train the direct care staff; and
4. The number of direct care staff assigned to the unit during each shift.

Facilities may care for individuals with all levels of care needs.

Not specified.

While there are no entry requirements, a resident may be asked to leave only if the resident:
1. Has needs that exceed the level of activities of daily living (ADL) services the facility provides;
2. Exhibits behaviors or actions that repeatedly and substantially interfere with the rights or well-being of other residents;
3. Is unable to respond to verbal instructions, recognize danger, make basic care decisions, express need, or summon assistance;
4. Has a medical condition that is complex, unstable or unpredictable and treatment cannot be appropriately developed and implemented in the facility; or
5. Has not paid for services.

Medication may be administered by specially trained, unlicensed personnel over the age of 18. In addition, Oregon applies nurse delegation rules to these regulations.
**Physical Plant Requirements**

Newly constructed private resident units must be a minimum of 220 square feet (not including the bathroom) and must include a kitchen and fully accessible bathroom. Pre-existing facilities being remodeled must be a minimum of 160 square feet (not including the bathroom). Resident units may only be shared by couples who choose to live together. Other extensive physical plant requirements apply.

**Residents Allowed Per Room**

None specified.

**Bathroom Requirements**

Private bathrooms are required.

**Alzheimer's Unit Requirements**

A facility that advertises that it provides care to residents with Alzheimer's disease must apply to the state for an Alzheimer's Special Care Unit Endorsement.

**Staff Training for Alzheimer's Care**

There are specific training requirements for staff.

**Staffing Requirements**

The facility must have qualified staff sufficient in number to meet the 24-hour scheduled and unscheduled needs of each resident and respond in emergency situations. A staff member on each shift must be trained in the use of the Heimlick maneuver, CPR, and first aid.

**Administrator Education/Training**

The administrator is required to be at least 21 years of age, and:

1. Possess a high school diploma or equivalent;
2. Have two years of professional or management experience in a health or social service related field or program;
3. Have a combination of experience and education; or
4. Possess an accredited bachelor's degree in a health or social service related field.

All administrators must complete a state-approved training course.

**Staff Education/Training**

Direct-care staff must complete an orientation and demonstrate competency in the following:

1. Principles of assisted living;
2. Changes associated with aging processes, including dementia;
3. Resident's rights;
4. How to perform direct ADL care;
5. Location of resident service plans and how to implement them;
6. Fire safety/emergency procedures;
7. Response to behavior issues;
8. Standard precautions for infection control;
9. Food preparation, service and storage; and
10. Observation/reporting skills.
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>Administrators must complete 20 hours of continuing education per year.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>Office of Licensing and Quality Care</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A Medicaid Home and Community Based Services Waiver covers services to nursing home level residents in assisted living. It is a tiered system of reimbursement based on the services provided.</td>
</tr>
</tbody>
</table>
## Pennsylvania

### Agency
Department of Public Welfare, Division of Personal Care Homes  
**Phone** (717) 783-8391

### Contact
Patsy C. Taylor Moore  
**Phone** (717) 783-8391

### E-mail
ptaylormoo@state.pa.us

### Licensure Term
Personal Care Homes

### Opening Statement
The Pennsylvania Department of Public Welfare is in the process of updating regulations for personal care homes. Legislation to regulate assisted living expired with the 2002 state legislative session, but is expected to be reconstituted for the 2003 session.

### Definition
A Personal Care Home provides food, shelter, and personal assistance or supervision for four or more adults who do not need nursing home care. Residents may require assistance or supervision in matters such as dressing, bathing, diet, financial management, evacuation, and medication prescribed for self-medication.

### Disclosure Items
None specified.

### Facility Scope of Care
The facility may provide assistance with activities of daily living and self-administered medications.

### Third Party Scope of Care
Home health is permitted as per physician's orders.

### Move-In/Move-Out Requirements
Admission of nonambulatory residents is allowed only if the facility complies with certain additional staffing and physical plant/fire safety requirements. There are six exclusionary factors that prohibit residents from being admitted to a personal care home. They are:
1. Totally and permanently confined to bed;
2. Non self-care gastrointestinal feedings;
3. Stage III or multiple decubiti;
4. Naso-gastric feedings or intravenous fluids;
5. Restraints; or
6. Has been determined in a medical assessment to need a higher level of care.

Residents may be discharged if they require a higher level of care or if they become a danger to themselves or others.

### Medication Management
Personnel can offer assistance with self-administered medications.

### Physical Plant Requirements
Private resident units must be a minimum of 80 square feet and multiple-occupancy resident units must provide a minimum of 60 square feet per resident.
<table>
<thead>
<tr>
<th><strong>Residents Allowed Per Room</strong></th>
<th>A maximum of four residents is allowed per resident unit.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>Shared bathing and lavatory facilities are permitted.</td>
</tr>
<tr>
<td><strong>Alzheimer's Unit Requirements</strong></td>
<td>Secured Alzheimer's units require a waiver approval.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>The waiver requirements call for a &quot;well-trained&quot; staff to carry out a &quot;well-developed program that addresses the physical, psychological, emotional and social needs of residents with dementia.&quot;</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>An administrator or designee must be on the premises 24 hours per day. Sufficient staff must be present to provide one hour of personal care per day, 75 percent of which should be given during waking hours, for each resident requiring personal care. At least one CPR-certified staff member must be on the premises at all times.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>An administrator must have a high school diploma or GED, be 21 years of age or older, pass a criminal background check, and have completed a 40-hour approved training course.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>Direct-care staff must be at least 16 years of age, complete facility training in specified areas and pass a criminal history background check.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>Administrators must complete six hours of continuing education annually through a recognized training source.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>While there is not Medicaid funding available for personal care homes, the Commonwealth does provide a state supplement to Supplemental Security Income for residents in personal care homes. Recommendations have been made to introduce some form of Medicaid funding for assisted living. A pilot program is underway in the Philadelphia area where Medicaid waiver money, together with a grant from the Robert Wood Johnson Foundation, is paying for case management and services in personal care homes.</td>
</tr>
</tbody>
</table>
Rhode Island

Agency  Department of Health Facilities, Regulation Division  Phone  (401) 222-2566
Contact  Gail Hebert  Phone  (401) 222-4521
E-mail  gailh@doh.state.ri.us

Licensure Term  Assisted Living Residences

Opening Statement  New regulations went into effect in July 2002 and are currently undergoing another revision based on legislation that recently passed.

Definition  Assisted living residence means a publicly or privately operated residence that provides directly or indirectly by means of contracts or arrangements, personal assistance to meet the resident’s changing needs and preferences, lodging and meals to two or more adults who are unrelated to the licensee or administrator, excluding, however, any privately operated establishment or facility licensed pursuant to Chapter 23-17 of the General Laws of Rhode Island, as amended, and those facilities licensed by or under the jurisdiction of the Department of Mental Health, Retardation and Hospitals, the Department of Children, Youth and Families or any other state agency.

Assisted living residences include sheltered care homes, board and care residences, or any other entity by any other name providing the above services that meet the definition of assisted living residences.

Disclosure Items  If facilities offer to provide or provide care for residents with Alzheimer’s disease or other dementia, by means of a special care unit, they must disclose the form of care or treatment provided and program costs. The information disclosed must explain the additional care that is provided through:

1. The residence's philosophy;
2. Pre-admission, admission and discharge;
3. Assessment, care planning and implementation;
4. Staffing patterns and training;
5. Physical environment;
6. Resident activities; and
7. Family role in care.

Facility Scope of Care  Facilities may provide assistance with activities of daily living; arrange for support services; and monitor residents' recreational, social, and personal activities. Residents requiring any more than temporary nursing services must move to a nursing facility.

Third Party Scope of Care  None specified.
<p>| Move-In/Move-Out Requirements | Facilities are licensed based on the level of service they provide. Level F1 facilities may admit residents who are not capable of self-preservation; Level F2 facilities may only admit residents who are capable of self-preservation. Admission and residency is limited to persons possessing the physical mobility and judgmental ability to take appropriate action in emergency situations, except in special dementia care units. |
| Physical Plant Requirements | Private resident units must be a minimum of 100 square feet in area and eight feet wide; semi-private resident units must be a minimum of 160 square feet in area and 10 feet wide. |
| Residents Allowed Per Room | A maximum of two residents is allowed per resident unit. |
| Bathroom Requirements | The facility must provide a minimum of one bath per 10 residents and one toilet per eight residents. |
| Alzheimer's Unit Requirements | Other than specific disclosure requirements (see &quot;Disclosure Items&quot; above) none specified. |
| Staffing Requirements | Each facility must have a certified administrator. A responsible adult must be on the premises at all times. All facilities must provide staffing that is sufficient to provide the necessary care and services to attain or maintain the highest practicable physical, mental, and psychosocial well being of the residents. All staff having contact with residents must have a criminal records check. |
| Administrator Education/Training | The Department of Health Facilities shall issue an initial certificate for an administrator of an assisted living residence for a period of up to one year if the applicant meets all of the requirements. Persons holding a degree in a health-centered field from an accredited college or university that includes coursework covering all of the topics cited in section 9.1(e)(I) may be certified upon passing the examination described in section 9.1(e)(I). Also eligible are persons holding a current Rhode Island nursing home administrator's license. |</p>
<table>
<thead>
<tr>
<th><strong>Staff Education/Training</strong></th>
<th>For each job specification, staff must have the appropriate orientation and training.</th>
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</thead>
<tbody>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>Administrators must complete 16 hours of continuing education per year.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>Rhode Island Board for the Certification of ALR Administrators:</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>Two Medicaid Home and Community Based Waivers cover services in assisted living, one for assisted living residents relocating from nursing homes and the other for the elderly and adults with physical disabilities.</td>
</tr>
</tbody>
</table>
South Carolina

Agency  Department of Health and Environmental Control,  Division of Health Licensing

Contact  Randy Clark

E-mail  clarkro@dhec.state.sc.us

Phone  (803) 545-4370

Licensure Term  Community Residential Care Facilities

Opening Statement  Regulations have been in effect since 1991.  Revised regulations took effect July 2001.

Definition  A community residential care facility offers room and board and a degree of personal assistance for a period of time in excess of 24 consecutive hours for two or more persons.  Facilities offer a beneficial or protected environment specifically for the mentally ill or drug or alcohol addicted, and provide specific procedure or process for the cure or improvement of that disease or condition.

Disclosure Items  The regulations were recently amended to require facilities caring for persons with Alzheimer's Disease to disclose the form of care and treatment that distinguishes it as being suitable for persons with Alzheimer's disease; the admission/transfer and discharge criteria; care planning process, staffing and training; physical environment; activities; the role of family members; and the cost of care.

Facility Scope of Care  None specified.

Third Party Scope of Care  None specified.

Move-In/Move-Out Requirements  Facilities may not admit or retain residents who are dangerous to themselves or others, in need of daily attention of a licensed nurse, or require hospital or nursing care.

Medication Management  Medication administration by unlicensed staff is permitted.

Physical Plant Requirements  Private resident units must be a minimum of 100 square feet and multiple-occupancy resident units must provide a minimum of 80 square feet per resident.

Residents Allowed Per Room  A maximum of three residents is allowed per resident unit. Facilities that were licensed prior to July 27, 2001 may have a maximum of four residents per unit.

Bathroom Requirements  One toilet is required for every six residents and one tub/shower is required for every eight residents.

Alzheimer's Unit Requirements  The rules have recently been amended to require facilities offering special care units or programs for residents with Alzheimer's disease to disclose the form of care or treatment provided that distinguishes it as being especially suitable for
the resident requiring special care.

<table>
<thead>
<tr>
<th><strong>Staff Training for Alzheimer's Care</strong></th>
<th>None specified.</th>
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</table>

**Staffing Requirements**

An administrator must be in charge of all functions and activities of the facility and must be available and responsible within a reasonable time and distance. There must be at least one staff person for every eight residents during all periods of peak resident activity. During nighttime hours, at least one staff member must be on duty for every 30 residents.

**Administrator Education/Training**

Administrators must have an associate's degree, at least one year of experience and be licensed by the South Carolina Board of Long Term Care Administrators.

**Staff Education/Training**

Staff must complete in-service training programs that include training in basic first aid; procedures for checking vital signs (for designated staff); communicable diseases; medication management; care of persons specific to the physical/mental condition being cared for in the facility; use of restraints (for designated staff); OSHA standards regarding bloodborne pathogens; CPR; confidentiality; and fire response and emergency procedures. In-service training must be provided on a continuing basis and not less than annually.

**Continuing Education (CE) Requirements**

Administrators must complete 18 hours of continuing education per year. Courses must meet the domains of practice.

**Entity Approving CE Program**

The South Carolina Board of Long Term Care Administrators approves continuing education courses; however, NAB-approved courses are automatically approved.

**Medicaid Policy and Reimbursement**

There is no Medicaid Home and Community Based Services Waiver at this time.
Licensure Term: Assisted Living Centers


Definition: Assisted living centers are defined as any institution, rest home, boarding home, place, building, or agency that is maintained and operated to provide personal care and services that meet some need beyond basic provision of food, shelter, and laundry to five or more persons in a free-standing, physically separated facility.

Disclosure Items: None identified.

Facility Scope of Care: Facilities must provide supportive services, activities, and services to meet the spiritual needs of residents. Facilities must also provide for the availability of physician services.

Third Party Scope of Care: Outside services utilized by residents must comply with and complement facility care policies.

Move-In/Move-Out Requirements: Before admission, residents must be in reasonably good health and free from communicable disease, chronic illness, or disability that would require any services beyond supervision, cueing, or limited hands-on physical assistance to carry out normal activities of daily living and instrumental activities of daily living. Facilities may not admit or retain residents who require more than intermittent nursing care or rehabilitation services. If individuals live in the center who are not capable of self-preservation, the center must comply with the Life Safety Code pertaining to individuals who do not have this capability.

Medication Management: Facilities that admit or retain residents who require administration of medications must employ or contract with a licensed nurse to review and document resident care and condition at least weekly. Unlicensed staff must receive annual training for medication administration.

Physical Plant Requirements: Private resident units must be a minimum of 120 square feet and shared resident units must provide a minimum of 100 square feet per resident.

Residents Allowed Per Room: A maximum of two residents is allowed per resident unit.
**Bathroom Requirements**

Bathrooms must adjoin the resident rooms. Each resident room must have a toilet and a lavatory.

**Alzheimer's Unit Requirements**

Each facility with secured units must comply with the following:

1) Physician’s order for confinement of the resident that includes medical symptoms that warrant seclusion that must be reviewed periodically;
2) Therapeutic programming must be provided and documented in the resident’s plan of care;
3) Confinement may not be used as a punishment or for the convenience of staff;
4) Confinement and its necessity must be based on comprehensive assessment of a resident’s physical, cognitive and psychosocial needs and risks and benefits of confinement must be communicated to the resident’s family;
5) Comply with life safety code regarding locked doors; and
6) Staff working in secured unit must have specific training regarding the needs of residents in the unit and at least one caregiver must be on the secured unit at all times.

**Staff Training for Alzheimer's Care**

Staff working in secured unit must have specific training regarding the needs of residents in the unit and at least one caregiver must be on the secured unit at all times.

**Staffing Requirements**

An administrator must be responsible for the daily overall management of the facility. There must be a sufficient number of qualified, awake personnel to provide effective care (at least 0.8 hours per resident a day). At least one staff person must be on duty at all times.

**Administrator Education/Training**

Administrators must be a licensed health care professional or hold a high school diploma or equivalent and complete a training program and competency evaluation.

**Staff Education/Training**

The facility must have a formal orientation program and ongoing education for all staff. Ongoing education programs must cover the following subjects annually:

1) Fire prevention and response (the facility must conduct fire drills quarterly for each shift);
2) Emergency procedures and preparedness;
3) Infection control and prevention;
4) Accident prevention and safety procedures;
5) Proper use of restraints;
6) Patient and resident rights;
7) Confidentiality of resident information;
8) Incidents and diseases subject to mandatory reporting and facility’s reporting mechanism;
9) Care of residents with unique needs; and
10) Dining assistance, nutritional risks and hydration needs of residents.
<table>
<thead>
<tr>
<th><strong>Continuing Education (CE) Requirements</strong></th>
<th>None specified.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>A broad Medicaid Home and Community Based Services Waive coupled with state funds covers services in assisted living.</td>
</tr>
</tbody>
</table>
**Tennessee**

<table>
<thead>
<tr>
<th><strong>Agency</strong></th>
<th>Department of Health, Division of Health and Environment</th>
<th><strong>Phone</strong></th>
<th>(615) 741-7221</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Contact</strong></td>
<td>Bobbie Wood</td>
<td><strong>Phone</strong></td>
<td>(615) 741-7188</td>
</tr>
<tr>
<td><strong>E-mail</strong></td>
<td><a href="mailto:bobbie.wood@mail.state.tn.us">bobbie.wood@mail.state.tn.us</a></td>
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</table>

**Licensure Term**

Assisted Care Living Facilities

**Opening Statement**

The regulations have been in effect since April 1998. Major revisions to the rules became effective in November 2002. Facilities are also regulated by statute [T.C.A. 68-11-201(4) and (5)].

**Definition**

An assisted care living facility is a building, establishment, complex, or distinct part that accepts primarily aged persons for domiciliary care. Provides on-site to its residents room, board, non-medical living assistance services appropriate to the residents’ respective needs, and medical services as prescribed by each resident’s treating physician, limited to the extent not covered by a physician’s order to a home care organization and not actually provided by a home care organization.

**Disclosure Items**

None specified.

**Facility Scope of Care**

The facility may provide protective care and supervision to residents, assistance with medications, and assistance with all activities of daily living. All other services (part-time or intermittent nursing care, physical, occupational and speech therapy, medical social services, medical supplies other than drugs and biologicals, and durable medical equipment) that a home care organization is licensed to provide may be provided in the facility except for home health aide services, or by the appropriate licensed staff of a nursing home if the assisted care facility is located on the same physical campus as the licensed nursing home. Regular home health visits cannot exceed three per week.

**Third Party Scope of Care**

Skilled nursing services, including part-time or intermittent nursing care, physical, occupational and speech therapy, and medical social services, provided in the facility must be by a licensed home care organization.

**Move-In/Move-Out Requirements**

A facility cannot admit or permit the continued stay of any resident if they:

1. Are in the latter stages of Alzheimer's disease;
2. Require restraints;
3. Pose a serious threat;
4. Require nasopharyngeal or tracheotomy aspiration;
5. Require initial phases if a regimen involving administration
of medical gases;
(6) Require a nasogastric tube;
(7) Require arterial blood gas monitoring;
(8) Cannot communicate such person's needs;
(9) Require gastrostomy feedings;
(10) Require intravenous or daily intramuscular injections or intravenous feedings;
(11) Require insertion, sterile irrigation and replacement of catheters, except for routine maintenance of Foley catheters;
(12) Require sterile wound care; or
(13) Require treatment of extensive Stage III or IV decubitis ulcer or exfoliative dermatitis;

A self-care exception exists to the regulations. Individuals who are able to care for their own medical conditions can be admitted to and reside in the facility if:
(1) their condition is stable;
(2) they can care for that condition without the assistance of others: and
(3) they have cared for themselves and their condition for at least one year.
The patient must not otherwise be inappropriate for ACLF care according to the rules, and the exception only applies to patients who have the one of the following circumstances:
(1) have in place a gastrostomy of percutaneous endoscopic gastrostomy (PEG) tube;
(2) require a nasopharyngeal suctioning to have a tracheostomy tube; or
(3) has in place a catheter that is the person's sole physical means of elimination of waste;
(4) requires the routine administration of oxygen.
If they are no longer able to care for the condition, they must be transferred. If all requirements are met, the individual will fall within the self-care exception and the assisted care facility may admit them and allow their continued stay. However, whenever any person admitted under this exception no longer meets the requirements listed above and/or is no longer able to self-care for their condition, the ACLF must transfer the person immediately to a licensed nursing home or hospital.

A facility may allow a resident to remain in the facility (but not initially admit them) for no longer than 21 days, if they:
(1) require intravenous or daily intramuscular injections or intravenous feedings;
(2) require insertion, sterile irrigation and replacement of catheters, except for the routine maintenance of Foley catheter or
(3) require sterile wound care.
The facility can apply to the Department of Health for one
Medication Management

Medication must be self-administered or administered by a licensed professional. The facility may assist residents with medication, including reading labels, reminders, and observation. Medication administration, except in emergencies, is limited to oral medications, topicals, suppositories and injections (excluding intravenous) pursuant to a physician’s order.

Physical Plant Requirements

A minimum of 80 square feet of bedroom space must be provided to each resident. All new facilities shall conform to the 1997 edition of the Standard Building Code, Residential R4 Occupancy requirements (excluding Chapter 1 and Section 508, Handicapped Accessibility); the handicap code as required by T.C.A. 68-120-204(a); the 1997 edition of the Standard Mechanical Code; the 1997 edition of the Standard Plumbing Code; the 1997 Standard Gas Code; the most current edition of the ASHRAE Handbook of Fundamentals; the 1997 edition of the National Fire Protection Code (NFPA) 101, Chapter 22; and New Residential Board and Care Occupancies, including Annex A, which incorporates the 1997 edition of the Life Safety Code and the 1997 National Electrical Code.

Residents Allowed Per Room

A maximum of two residents is allowed per resident unit.

Bathroom Requirements

Each toilet, lavatory, bath, or shower shall serve no more than six residents.

Alzheimer's Unit Requirements

Facilities are permitted to have secured Alzheimer’s units and can retain residents up to the last stages of Alzheimer's disease consistent with the above admission/discharge criteria.

Staff Training for Alzheimer's Care

Any staff working on a secure unit must have annual in-service training, including at least the following subject areas:

1. basic facts about the causes, progression and management of Alzheimer's Disease and related disorders;
2. dealing with dysfunctional behavior and catastrophic reactions in the residents;
3. identifying and alleviating safety risks to the resident;
4. providing assistance in the activities of daily living for the resident; and
5. communication with families and other persons interested in the resident.

Staffing Requirements

Facilities must employ an administrator, an identified responsible attendant, and a sufficient number of staff to meet the needs, including medical services as prescribed, of the residents. A licensed nurse must be available as needed.
<table>
<thead>
<tr>
<th>Administrator Education/Training</th>
<th>Administrators must hold a high school diploma or equivalent, and must not have any history of elder abuse or criminal conviction.</th>
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<tbody>
<tr>
<td>Staff Education/Training</td>
<td>The responsible attendant and direct care staff must be at least 18 years of age.</td>
</tr>
<tr>
<td>Continuing Education (CE) Requirements</td>
<td>Administrators must complete 24 hours of continuing education per year in courses related to Tennessee rules and regulations, health care management, nutrition and food service, financial management, and healthy lifestyles.</td>
</tr>
<tr>
<td>Entity Approving CE Program</td>
<td>Tennessee Board of Licensing Health Care Facilities. All NAB-approved courses are automatically accepted. However, there is no licensing board for ACLF administrators themselves.</td>
</tr>
<tr>
<td>Medicaid Policy and Reimbursement</td>
<td>Tennessee has both a state-only funded and a Medicaid funded Home and Community Based Services Waiver program. ACLF services are not included in the waiver, with the exception that facilities can provide respite care to otherwise eligible individuals.</td>
</tr>
</tbody>
</table>
**Texas**

<table>
<thead>
<tr>
<th><strong>Agency</strong></th>
<th>Department of Human Services</th>
<th><strong>Phone</strong></th>
<th>(512) 438-3161</th>
</tr>
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<tbody>
<tr>
<td><strong>Contact</strong></td>
<td>Jeanoyce Wilson</td>
<td><strong>Phone</strong></td>
<td>(512) 438-2625</td>
</tr>
<tr>
<td><strong>E-mail</strong></td>
<td><a href="mailto:jeanoyce.wilson@dhs.state.tx.us">jeanoyce.wilson@dhs.state.tx.us</a></td>
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<tr>
<th><strong>Licensure Term</strong></th>
<th>Assisted Living Facilities</th>
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<tbody>
<tr>
<td><strong>Opening Statement</strong></td>
<td>The assisted living facility (ALF) regulations were revised in September 2002. &quot;Aging in place&quot; criteria was added for inappropriately placed residents. Proposed rules adding administrative penalties as an enforcement tool are pending.</td>
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<thead>
<tr>
<th><strong>Definition</strong></th>
<th>ALFs may provide assistance with activities of daily living (ADLs). There are several types of ALFs.</th>
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<tbody>
<tr>
<td></td>
<td>In a Type A ALF, a resident must be mentally and physically capable of evacuating the facility unassisted in the event of an emergency; may not require routine attendance during sleeping hours; and must be capable of following directions.</td>
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<tr>
<td></td>
<td>In a Type B ALF, a resident may require staff assistance to evacuate; be incapable of following directions under emergency conditions; require attendance during sleeping hours; or may not be permanently bedfast, but may require assistance in transferring to and from bed.</td>
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<td>A Type C ALF is a four-bed, adult foster care, contracted facility that must meet the contracting requirements.</td>
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<tr>
<td></td>
<td>In a Type E ALF, a resident must be physically and mentally capable of evacuating the facility unassisted within three minutes without staff assistance; must not require routine attendance during nighttime sleeping hours; and must be capable of following directions.</td>
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</table>

| **Disclosure Items** | There is a state-approved disclosure form which is required of all facilities. Facilities that provide services to residents with Alzheimer's disease are required to disclose the services and care provided. |

| **Facility Scope of Care** | Facilities may provide assistance with ADLs, assist with the administration and management of medication, and occasional nursing care within the scope of practice of the licensed employee and within the ALF regulations. |

| **Third Party Scope of Care** | If additional services are necessary, residents may contract to have home health services delivered. |
| Move-In/Move-Out Requirements | Facilities must not admit or retain persons whose needs cannot be met by the facility or by the resident contracting with a home health agency. |
| Medication Management | Residents who choose not to or cannot self-administer medication must have medication administered by a person who: holds a current license to administer medication; holds a current medication aide permit (this person must function under the direct supervision of a licensed nurse on duty or on call); or is an employee of the facility to whom the administration of medication has been delegated by a registered nurse. |
| Physical Plant Requirements | Bedroom usable floor space for Type A and Type E facilities must be at least 80 square feet for a single-bed room and not less that 60 square feet per bed for a multiple-bed room. Bedroom usable floor space for Type B facilities must be at least 100 square feet per bed for a single-bed room, and not less that 80 square feet per bed for a multiple-bed room. The regulations list extensive fire safety requirements under Chapters 12 or 21 of the NFPA Life Safety Code. Type A ALFs are classified as "slow" evacuation; Type B facilities are "impractical" evacuation; and Type E ALFs are classified as "prompt" evacuation. |
| Residents Allowed Per Room | A maximum of four residents is allowed per resident unit. No more than 50 percent of residents can be in units with more than two residents. |
| Bathroom Requirements | All bedrooms must be served by separate private, connecting, or general toilet rooms for each gender. A minimum of one water closet, lavatory, and bathing unit must be provided on each sleeping floor. One water closet and one lavatory for every six residents and one tub or shower for every ten residents is required. |
| Alzheimer's Unit Requirements | Any facility that advertises, markets, or promotes itself as providing specialized care for persons with Alzheimer’s disease or related disorders must be certified. Alzheimer’s certified facilities are required to have a Type B license. The facility must provide a disclosure statement that describes the nature of its care or treatment of residents with Alzheimer’s disease and related disorders. |
| Staff Training for Alzheimer's Care | All staff must receive dementia-specific orientation prior to assuming job responsibilities. |
| Staffing Requirements | Each facility must designate a manager to have authority over its operation. A facility must have sufficient staff to maintain order, safety, and cleanliness; assist with medication regimens; |
prepare and service meals; assist with laundry; provide supervision and care to meet basic needs; and, to ensure evacuation in case of an emergency. There is no specific staffing ratio. Facilities must disclose their staffing patterns and post them monthly.

**Administrator Education/Training**

In small facilities, managers must have a high school diploma or certification of equivalency of graduation. In large facilities, a manager must have an associate’s degree in nursing, health care management, or a related field; a bachelor’s degree; or, proof of graduation from an accredited high school or certification of equivalency and at least one year of experience working in management or in health care management. Managers hired after August 2000, must complete a 24-hour course in assisted living management within their first year of employment.

**Staff Education/Training**

Full-time facility attendants must be at least 18 years of age or hold a high school diploma. The regulations list specific training requirements for licensed nurses, nurse aides, and medication aides.

**Continuing Education (CE) Requirements**

Direct care staff must annually complete 12 hours of in-service education regarding Alzheimer’s disease.

Managers must complete 12 hours of continuing education per year in courses related to at least two of the following areas:
1. Resident and provider rights and responsibilities;
2. Abuse/neglect, and confidentiality;
3. Basic principles of supervision;
4. Skills for working with residents, families, and other professional service providers;
5. Resident characteristics and needs;
6. Community resources;
7. Accounting and budgeting;
8. First aid; and
9. Federal laws, such as the Americans With Disabilities Act and Fair Housing Act.

**Entity Approving CE Program**

None specified.

**Medicaid Policy and Reimbursement**

A Medicaid Home and Community Based Services Waiver covers services in assisted living.
Utah

Agency Department of Health, Bureau of Licensing
Contact Debra Wynkoop
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Phone (801) 538-6152
Phone (801) 538-6152

Licensure Term Assisted Living Facilities
Opening Statement Regulations have been in effect since 1998. Revised regulations were adopted in 2001.
Definition Type I Assisted Living Facilities provide assistance with activities of daily living (ADLs) and social care to two or more residents who are capable of achieving mobility sufficient to exit the facility without the assistance of another person. Type II Assisted Living Facilities are home-like and provide an array of 24-hour coordinated supportive personal and health care services.

Disclosure Items None specified.

Facility Scope of Care Facilities must provide personal care, food service, housekeeping, laundry, maintenance, activity programs, administration, and assistance with self-administration of medication, and arrange for necessary medical and dental care. Facilities may provide intermittent nursing care.

Third Party Scope of Care Residents have the right to arrange directly for medical and personal care with an outside agency.

Move-In/Move-Out Requirements Residents in a Type I facility must meet the following criteria before being admitted:
(1) Be ambulatory or mobile and capable of taking life-saving action in an emergency;
(2) Have stable health;
(3) Require no assistance or only limited assistance from staff with ADLs; and
(4) Require and receive regular or intermittent care or treatment in the facility from a licensed health professional. Type I facilities must not accept or retain persons who require significant assistance during the night; are unable to take life-saving action in an emergency without assistance; and require close supervision and a controlled environment.

Both Type I and II facilities must not admit or retain persons who:
(1) Manifest behavior that is a danger to self or others;
(2) Have active tuberculosis or other communicable diseases; or
(3) Require inpatient hospital or nursing care.
Type II facilities may accept or retain residents who require significant assistance in more than two ADLs. Residents admitted to a Type II facility must not be "dependent."

For both Type I and Type II facilities, a resident may be discharged, transferred or evicted if the facility is no longer able to meet the needs of the resident; the resident fails to pay for services as required by the admission agreement; and/or, the resident fails to comply with policies or rules.

<table>
<thead>
<tr>
<th>Medication Management</th>
<th>Licensed staff may administer medication and unlicensed staff may assist with self-medication.</th>
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<tbody>
<tr>
<td>Physical Plant</td>
<td>Private resident units (without living rooms, dining areas, or kitchens) must be a minimum of 120 square feet and double-occupancy resident units must be a minimum of 200 square feet</td>
</tr>
<tr>
<td>Residents Allowed Per Room</td>
<td>A maximum of two residents is allowed per resident unit.</td>
</tr>
<tr>
<td>Bathroom Requirements</td>
<td>Common toilet, lavatory, and bathing facilities are permitted.</td>
</tr>
<tr>
<td>Alzheimer's Unit</td>
<td>A Type II facility with approved secured units may admit residents with a diagnosis of Alzheimer's/dementia if the resident is able to exit the facility with limited assistance from one person.</td>
</tr>
<tr>
<td>Staffing Requirements</td>
<td>Facilities must employ an administrator and direct care staff are required on-site 24 hours per day to meet resident needs as determined by assessments and service plans.</td>
</tr>
<tr>
<td>Administrator Education/Training</td>
<td>In Type I facilities, all staff must be at least 18 years of age and have related experience in the job to which they are assigned in the facility or receive on-the-job training.</td>
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<td>In Type II facilities, staff providing personal care must be certified nursing assistants or complete this training and become certified within four months of their date of hire.</td>
</tr>
<tr>
<td>Administrator Education/Training</td>
<td>Administrators must be 21 years of age and successfully complete criminal background screening.</td>
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<td>For Type I facilities, an associate's degree or two years experience in a health care facility is required.</td>
</tr>
<tr>
<td></td>
<td>For Type II facilities, administrators must complete a Department-approved, national certification program within six months of hire and meet at least one of the following: hold an associate's degree in health care field; have at least two years’</td>
</tr>
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</table>
management experience in the health care field; have one year experience in the health care field as a licensed health care professional.

In addition to these requirements, the administrator of a large Type II facility must have one or more of the following:
(1) A health facility administrator license;
(2) A bachelor's degree in a health care field to include management training or one or more years of management experience;
(3) A bachelor's degree in any field, to include management training or one or more years of management experience and one or more years experience in a health care field; or
(4) An associate's degree and four years or more management experience in a health care field.

**Staff Education/Training**
All staff must complete orientation to include job descriptions; ethics, confidentiality, and resident rights; fire and disaster plan; policies and procedures; and report responsibility for abuse, neglect, and exploitation. Staff must also complete extensive in-service training.

**Continuing Education (CE) Requirements**
None specified.

**Entity Approving CE Program**
None specified.

**Medicaid Policy and Reimbursement**
There is no Medicaid Home and Community Based Services Waiver at this time. A state-operated, managed care program covers some personal care services and includes elderly beneficiaries in urban areas.
An assisted living residence is a program that combines housing, health, and supportive services to support resident independence and aging in place. Within a home-like setting, the residence must offer a minimum of a private bedroom, private bath, living space, kitchen capacity, and a lockable door. Assisted living must promote resident self-direction and active participation in decision-making while emphasizing individuality, privacy and dignity.

A uniform disclosure form is required and must be available to residents prior to or at admission and to the public upon request. Information required includes:

1. The services the assisted living residence will provide;
2. The public programs or benefits that the assisted living residence accepts or delivers;
3. The policies that affect a resident’s ability to remain in the residence;
4. If there are specialized programs offered, such as dementia care, a written statement of philosophy and mission and a description of how the assisted living residence can meet the specialized needs of residents; and
5. Any physical plant features that vary from those required by regulation.

The facility must provide services such as, but not limited to:

1. 24-hour staff supervision to meet emergencies, and scheduled and unscheduled needs;
2. Assistance with all personal care activities and instrumental activities of daily living;
3. Nursing assessment, health monitoring, routine nursing tasks, and intermittent skilled nursing services;
4. Appropriate supervision and services for residents with dementia or related issues requiring ongoing staff support and supervision; and
5. Medication management, administration, and assistance.

A resident needing skilled nursing care may arrange for that care to be provided in the facility by a licensed nurse as long as
it does not interfere with other residents.

**Third Party Scope of Care**

Facilities must provide access or coordinate access to ancillary services for medical-related care, regular maintenance of assistive devices and equipment, barber/beauty services, social/recreational opportunities, hospice, home health, and other services necessary to support the resident.

Residents may arrange for third-party services not available through the assisted living residence through a provider of their choice.

**Move-In/Move-Out Requirements**

Assessment must be done by a registered nurse (RN) within 14 days of move-in. Residents may be discharged if they pose an immediate threat to themselves or others or if their needs cannot be met with available support services and arranged supplemental services. However, if a facility is able to, it may retain residents who need:

1. 24-hour on-site nursing care;
2. Are bedridden for more than 14 consecutive days;
3. Are dependent in four or more activities of daily living;
4. Have severe cognitive decline;
5. Have Stage III or IV pressure sores; or,
6. Have a medically unstable condition.

**Medication Management**

If residents are unable to self-administer medications, they may receive assistance with administration of medications from trained facility staff. If staff are deemed competent by the RN, they may administer "as needed" medications.

**Physical Plant Requirements**

Private resident units must be a minimum of 225 (160 in pre-existing structures) square feet, excluding bathrooms and closets. Each resident unit shall include a private bedroom, private bathroom, living space, kitchen capacity, adequate space for storage, and a lockable door.

The licensing agency may grant variances for pre-existing structures in specified instances.

**Residents Allowed Per Room**

All resident units must be private occupancy unless a resident voluntarily chooses to share the unit.

**Bathroom Requirements**

All resident units must have a private bathroom.

**Alzheimer's Unit Requirements**

None specified.

**Staff Training for Alzheimer's Care**

None specified.

**Staffing Requirements**

Staff must have access to the director and/or designee at all times. At least one personal care assistant must be on-site and
available 24 hours per day to meet residents’ scheduled and unscheduled needs. On-site trained staff must be available in sufficient number to meet the needs of each resident. An RN or licensed practical nurse must be on site as necessary to oversee service plans.

<table>
<thead>
<tr>
<th>Administrator Education/Training</th>
<th>The director must be at least 21 years of age and have demonstrated experience in a gerontological field.</th>
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</thead>
<tbody>
<tr>
<td>Staff Education/Training</td>
<td>All staff providing personal care must be at least 18 years of age. All staff must be oriented to the principles and philosophy of assisted living and receive training on an annual basis regarding the provision of services in accordance with the resident-driven values of assisted living. All staff providing personal care must receive training in the provision of personal care activities (e.g., transferring, toileting, infection control, Alzheimer’s, and medication assistance and administration). Staff who have any direct care responsibility must have training in communications skills specific to persons with Alzheimer’s disease and other types of dementia.</td>
</tr>
<tr>
<td>Continuing Education (CE) Requirements</td>
<td>Directors/administrators must complete 20 hours of continuing education per year in courses related to assisted living principles and the philosophy and care of the elderly and disabled individuals. All personal care services staff must receive 24 hours of continuing education in courses related to Alzheimer’s disease, medication management and administration, behavioral management, documentation, transfers, infection control, toileting, bathing, etc. A program for approving courses will be set up in 2001.</td>
</tr>
<tr>
<td>Entity Approving CE Program</td>
<td>None specified.</td>
</tr>
<tr>
<td>Medicaid Policy and Reimbursement</td>
<td>A Medicaid Home and Community Based Services Waiver covers services in assisted living. A weighted system is used to reimburse for services.</td>
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</table>
**Definition**

An assisted living facility is a congregate residential setting that provides or coordinates personal and health care services, 24-hour supervision, and assistance for the maintenance or care of four or more adults who are aged, infirm or disabled and who are cared for in a primarily residential setting. Facilities are licensed to provide two levels of care: residential living care and assisted living care.

**Facility Scope of Care**

Facilities provide residents assistance with activities of daily living, other personal care services, social and recreational activities, and protective supervision. Services are provided to meet the needs of residents, consistent with individualized service plans. Service plans support individuality, personal dignity, and freedom of choice.

**Third Party Scope of Care**

In facilities providing the assisted living level of care, a licensed health care professional must be either directly employed or retained on a contractual basis to provide periodic health care oversight. If skilled nursing treatments are needed by a resident, they must be provided by a licensed nurse employed by the facility or by contractual agreement with a licensed nurse, a home health agency, or a private duty licensed nurse.

**Move-In/Move-Out Requirements**

The regulations list several specific criteria for residents who may not be admitted or retained, including but not limited to, those with:

1. Ventilator dependency;
2. Some Stage III and all Stage IV dermal ulcers;
3. Nasogastric tubes;
4. Imminent physical threat or danger to self or others; and
5. The need for continuous licensed nursing care.

**Medication Management**

Medication may be administered by staff licensed to administer medications or by staff who have successfully completed a Board of Nursing-approved medication training program.

**Physical Plant Requirements**

Private resident bedrooms must be a minimum of 100 square feet if the building was approved for construction or a change in...
use group on or after February 1, 1996, otherwise a minimum of 80 square feet is required. Shared resident bedrooms must be a minimum of 80 square feet per resident if the building was approved for construction or change in use group on or after February 1, 1996, otherwise a minimum of 60 square feet per resident is required. Other physical plant requirements also apply.

<table>
<thead>
<tr>
<th>Residents Allowed Per Room</th>
<th>A maximum of four residents is allowed per resident bedroom.</th>
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</thead>
<tbody>
<tr>
<td>Bathroom Requirements</td>
<td>On floors where there are resident bathrooms, there must be at least one toilet and one washbasin for every seven persons and at least one bathtub or shower for each 10 persons. When more than seven persons live on a floor, toilets, washbasins and bathtubs or showers must be in separate rooms for men and women. There are other requirements for bathrooms on floors used by residents where there are no resident bedrooms.</td>
</tr>
<tr>
<td>Alzheimer's Unit Requirements</td>
<td>The regulations cover facilities caring for adults with serious cognitive deficits who cannot recognize danger or protect their own safety and welfare. At least two direct care staff members must be in the special care unit at all times. Doors leading to the outside are required to have a system of security monitoring. There must be protective devices on bedroom and bathroom windows and on common area windows that are accessible to residents with dementia. Free access to an indoor walking corridor or other area that may be used for walking must be provided. There are specific requirements for secure units and who may be in them.</td>
</tr>
<tr>
<td>Staff Training for Alzheimer's Care</td>
<td>Direct care staff must complete four hours of dementia/cognitive deficit training within six months of employment. The facility administrator must complete 12 hours of dementia/cognitive deficit training within three months of employment. Topics that must be included in the training are specified. There are annual training requirements for direct care staff and for the administrator.</td>
</tr>
<tr>
<td>Staffing Requirements</td>
<td>The facility must have an administrator who is responsible for overseeing its operation. The facility is required to have staff adequate in knowledge, skills and abilities and sufficient in number to provide services to maintain the physical, mental, and psychosocial well-being of each resident, and to implement the fire plan. There must be a staff member on the premises at all times who has a current first aid certificate issued within the past three years, unless the facility has an on-duty registered nurse or licensed practical nurse. There must also be a staff member on the premises at all times who has certification in CPR issued within the current year. If the assisted living level of care is provided, a licensed health care professional must be</td>
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on-site at least quarterly to provide health care oversight. There are additional requirements to meet skilled nursing and rehabilitative needs of residents.

### Administrator Education/Training

An administrator must be a high school graduate or have a GED, and have at least one year of post-secondary education from an accredited college or institution or administrative or supervisory experience in caring for adults in a group care facility. If the assisted living level of care is provided, the administrator must be a high school graduate or have a GED, and have at least two years of post-secondary education or one year of courses in human services or group care administration from an accredited college or institution or have completed a department approved curriculum. In addition, the administrator is required to have at least one year of experience in caring for adults with mental or physical impairments in a group care facility.

### Staff Education/Training

Staff are required to be trained in specified areas to protect the health, safety and welfare of residents. When the assisted living level of care is provided, direct care staff must be registered as certified nursing assistant or complete one of the other specified educational curricula.

### Continuing Education (CE) Requirements

Administrators must complete 20 hours of continuing education per year in topics related to management or operation of the facility or related to the resident population. Direct care staff must complete at least eight hours annually (for the residential living level of care) or 12 hours annually (for the assisted living level of care) of continuing education relevant to the population in care.

### Entity Approving CE Program

None specified.

### Medicaid Policy and Reimbursement

No Medicaid Home and Community Based Services Waiver at this time.
Licensure Term
Boarding Home

Opening Statement
The Washington State Department of Social and Health Services/ Aging and Disability Services Administration (DSHS/ADSA) is responsible for the licensing and contracting of boarding homes. ADSA has completed a three-year project to review and revise their boarding home regulations. The new regulation will become effective in September 2003.

Definition
A boarding home is any home or institution, however named, that is advertised, announced, or maintained for the express or implied purpose of providing board and domiciliary care to seven or more aged persons not related by blood or marriage to the operator.

Disclosure Items
None specified.

Facility Scope of Care
Boarding homes may provide:
(1) Basic domiciliary care;
(2) General health supervision;
(3) Assistance with activities of daily living (ADLs);
(4) Assistance with self administration of medications;
(5) Following prescribed diets and activity regimes;
(6) Making and keeping appointments for health care services;
(7) Maintaining personal hygiene;
(8) Obtaining and maintaining functional aids;
(9) Arranging for social, recreational and religious activities;
(10) Resident mobility; and
(10) Incontinence care.

Boarding homes may provide or supervise limited nursing services, such as:
(1) Medication administration;
(2) Insertion of catheters;
(3) Routine ostomy care;
(4) Enemas;
(5) Uncomplicated routine colostomy and urethral care;
(6) Care of superficial wounds; and
(7) Assistance with glucometer testing.

Changes in the parameter of the scope of care will occur when the new boarding home regulations are adopted in September 2003.
<table>
<thead>
<tr>
<th><strong>Third Party Scope of Care</strong></th>
<th>Residents may arrange for on-site health care services when their needs cannot be met with limited nursing services.</th>
</tr>
</thead>
</table>
| **Move-In/Move-Out Requirements** | Boarding homes must evaluate the ability of staff to meet a prospective resident’s housing, domiciliary, dementia, and nursing care needs, based on:  
1. Space, equipment, and furniture requirements;  
2. General behavior, including the tendency to wander, fall, act verbally or physically abusive or socially inappropriate;  
3. Current medication status and need for assistance or administering medications;  
4. Functional abilities, including but not limited to, ambulatory status and need for mobility aides, mental status, and behavioral problems; and,  
5. Ability to perform ADLs independently or with assistance.  
Residents are required to move out of boarding home settings when there is significant skin breakdown or when the residents become a danger to themselves or others.  
Boarding homes cannot provide the following nursing services on the premises:  
1. Respiratory ventilation;  
2. Intravenous procedures;  
3. Suctioning;  
4. Feeding tube insertion or site maintenance; or  
5. Care of residents who are bed-bound for more than 14 consecutive days as a result of a medical condition.  
Residents may make other arrangements to receive these services.  
Changes in the admission/discharge criteria will occur when the new boarding home regulations are adopted in September 2003. |
| **Medication Management** | Residents are categorized based on the level of assistance needed with medication. Category A residents can self-administer medication or are capable of directing others to administer medication. Category B residents need reminding, guiding, or coaching. Category C residents cannot safely self-administer medication. Medication may be administered by a nurse or other individual authorized to administer medication in Washington. |
| **Physical Plant Requirements** | Private resident units must be a minimum of 80 square feet and shared resident units must provide a minimum of 70 square feet per resident. Boarding homes receiving Medicaid funding under an assisted living contract with the state must provide a private room with a kitchen and bathroom, which must be a minimum of 220 square feet. Boarding homes receiving Medicaid funding |
Residents Allowed Per Room

A maximum of four residents is allowed per resident unit for boarding homes licensed before July 1, 1989. For boarding homes licensed after this date, two residents are allowed per unit. Under an “Assisted Living Contract” with ADSA, only one resident per room is allowed.

Bathroom Requirements

One toilet and sink is required for every eight residents and on bath/shower is required for every 12 residents in boarding homes without an “Assisted Living contract” with ADSA. A private bathroom is required for all residents served under an “Assisted Living contract” with ADSA.

Alzheimer's Unit Requirements

If the boarding home accepts residents with dementia care needs, it must provide qualified staff that are present at all times. Staff must prevent residents from wandering from the boarding home and the regulations also specify special physical plant requirements, such as slip-resistant floors free of abrupt changes. Washington is conducting a two-year pilot project for Medicaid Alzheimer's/Dementia residents.

Staff Training for Alzheimer's Care

None specified.

Staffing Requirements

The boarding home must employ an administrator and designate an alternate administrator to be responsible for the overall 24-hour operation of the facility. Sufficient and trained staff must be hired to furnish care to residents, maintain the facility free of safety hazards, and implement fire and disaster plans.

Administrator Education/Training

The administrator and designated alternate must be at least 21 years of age and hold an associate, or advanced degree in health, personal care, or business administration; be certified by a department-recognized national accreditation health or personal care organization; or have a high school diploma or equivalent and two years experience as a resident-care staff person, including one year of caring for residents representative of the population in the facility; or, have held the position of an administrator in a Washington state licensed boarding home or nursing home prior to August 1994.

Staff Education/Training

Resident-care staff must be at least 18 years of age and have current CPR and first-aid cards. Training requirements also include orientation, CPR and first aid, basic or modified basic training (fundamentals of caregiving and modified fundamentals of caregiving are the state’s curricula that meet these requirements), and continuing education. For a nursing
| **Continuing Education (CE) Requirements** | Boarding home administrators (or their designees) and caregivers must complete 10 hours of continuing education each calendar year after the year in which they successfully complete basic or modified basic training. A boarding home administrator with a current nursing home administrator license is exempt from this requirement. Individuals subject to a continuing education requirement must complete at least 10 hours of continuing education each calendar after the year in which they successfully complete basic or modified basic training. |
| **Entity Approving CE Program** | None specified. |
| **Medicaid Policy and Reimbursement** | A Medicaid Home and Community Based Services Waiver covers Assisted Living, EARC and ARC contracted services in boarding home settings that contract with ADSA to serve Medicaid clients. A tiered payment system is used. |
West Virginia

Agency  Department of Health and Human Resources, Bureau for Public Health, Office of Health Facilities Licensure and Certification
Contact  Gloria Pauley
E-mail  gloriapauley@wvdhhr.org

Licensure Term  Personal Care Home; Residential Board and Care Home; Residential Care Community

Opening Statement  The regulations for personal care homes were last updated in August 1996. Regulations for residential board and care homes were last updated in August 1997. Regulations for residential care communities were last updated in July 1999.

Definition  A personal care home (PCH) or residential board and care home (RBCH) provides accommodations, personal assistance and supervision for a period of more than 24 hours to four or more persons who may be dependent upon the services of others or who may require limited and intermittent nursing care and hospice care. A residential care community (RCC) is any group of 17 or more residential apartments that are part of a larger independent living community that provides personal assistance or supervision on a monthly basis to 17 or more persons who may be dependent upon the services of others by physical or mental impairment or who may require limited or intermittent nursing services or hospice care.

Disclosure Items  None specified.

Facility Scope of Care  The facility may provide assistance with activities of daily living and has the option of providing intermittent nursing services and making arrangements for hospice care.

Third Party Scope of Care  If a resident has individual, one-on-one needs that are not met by the allowable service provision in the facility, and the resident has medical coverage or financial means that permit accessing additional services, the facility shall seek to arrange for the provision of these services, which may include intermittent nursing care or hospice care. The provision of services must not interfere with the provision of services to other residents.

Move-In/Move-Out Requirements  Residents in need of extensive or ongoing nursing care or with needs that cannot be met by the facility shall not be admitted or retained (they may be retained only if they are dying). Persons with mental or developmental disabilities may not be admitted to the facility for more than four weeks unless the facility can make appropriate arrangements for necessary services.
<table>
<thead>
<tr>
<th><strong>Medication Management</strong></th>
<th>Only licensed staff may administer or supervise the self-administration of medication by residents. As of July 1999, Approved Medication Assistive Personnel can administer medications in the facility.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Physical Plant Requirements</strong></td>
<td>Double-occupancy resident units must provide a minimum of 80 square feet per resident.</td>
</tr>
<tr>
<td><strong>Residents Allowed Per Room</strong></td>
<td>A maximum of two residents is allowed per resident unit.</td>
</tr>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>Common toilet, lavatory, and bathing facilities are permitted.</td>
</tr>
<tr>
<td><strong>Alzheimer's Unit Requirements</strong></td>
<td>If the facility advertises or promotes a specialized memory loss, dementia or Alzheimer's unit, a separate license must be obtained.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>A minimum of 30 hours of training related to the care of residents with Alzheimer's disease or related dementia is required.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>An administrator must be on staff and at least one personal care staff member must be present on a 24-hour basis. If nursing services are provided, a registered nurse must be employed to provide oversight and supervision. Personal care staff-to-resident ratios are dependent on the needs of the residents.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>For PCH and RCC, the administrator must be at least 21 years of age and hold an associate's degree or its equivalent in a related field. For RBCH, the administrator must be 21 years of age and have a high school diploma or GED.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>Personal care staff must complete an orientation and annual in-service training sessions.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>Administrators must complete at least 10 hours per year of continuing education related to the operation and administration of a personal care home.</td>
</tr>
<tr>
<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>There is no Medicaid Home and Community Based Services Waiver at this time.</td>
</tr>
</tbody>
</table>
There are three types of assisted living in Wisconsin: community-based residential facilities (CBRF), adult family homes (AFH) and residential care apartment complexes (RCAC). Assisted living facilities are designed to provide residential environments that enhance independence to the extent possible and are the least restrictive of each resident’s freedom. Regulatory oversight is provided by the Bureau of Quality Assurance in the Division of Disability Elder Services. For information on specific provider types, see sss.dhfs.state.wi.us/bqaconsumer/AssistedLiving/AsLivindex.htm. Wisconsin is in the third year of a Robert Wood Johnson grant that seeks to promote affordable assisted living in rural areas. Information on the grant is available at www.wiaffordableassistedliving.org.

CBRF: Provide care, treatment and other services to five or more unrelated adults who need supportive or protective services or supervision because they cannot or do not wish to live independently yet do not need the services of a nursing home or a hospital. CBRFs are categorized by size, the resident’s ability to evacuate and disability/condition or status (e.g. advanced age, irreversible dementia, mental illness, developmental disability, alcoholism, physical disability, AIDS). CBRFs provide a living environment that is as homelike as possible and is the least restrictive of each person’s freedom as is compatible with the person’s need for care and services. Residents are encouraged to move toward functional independence in daily living or to continue functioning independently to the extent possible.

RCAC: Provide each tenant with an independent apartment in a setting that is home-like and residential in character; make available personal, supportive and nursing services that are appropriate to the needs, abilities and preferences of individual tenants; and operate in a manner that protects tenants’ rights, respects tenant privacy, enhances tenant self-reliance and supports tenant autonomy in decision-making, including the right to accept risk. RCACs consist of five or more independent apartments, each of which has an individual, lockable entrance.
and exit; a kitchen, including a stove; individual bathroom, sleeping and living areas; and provide residents up to 28 hours per week of personal, supportive and nursing services.

AFH: Three or four adults not related to the licensee receive care, treatment or services above the level of room-and-board. No more than seven hours per week of nursing care may be provided. Residents are defined as adults, unrelated to the licensee, who live and sleep in the home and receive care, treatment or services in addition to room and board.

Disclosure Items

None specified.

Facility Scope of Care

CBRF: Provides general services, client-specific services and medication administration and assistance. General services include supervision, information and referral, leisure time activities, transportation and health monitoring. Client-group-specific services include personal care, activity programming for persons with dementia, independent living skills, communication skills and up to three hours of nursing care per week (unless hospice is involved).

RCAC: Provides services that are sufficient and qualified to meet the care needs identified in the tenant service agreements; to meet unscheduled care needs of its tenants and to make emergency services available 24 hours per day. At a minimum, facilities must provide supportive services, including meals, housekeeping, access to medical services; personal services, including assistance with all activities of daily living; and nursing services, including health monitoring, medication administration and monitoring.

AFH: Provides supportive and personal care services to individuals who are defined as belonging to one or more of the following disabilities, conditions or statuses: a functional impairment that commonly accompanies advanced age or irreversible dementia such as Alzheimer's disease; a developmental disability; an emotional disturbance or mental illness; alcoholism; a physical disability; pregnant women who need counseling services; a diagnosis of terminal illness; or AIDS.

Third Party Scope of Care

CBRF: May provide or contract for services. Residents may enter into contracts with outside providers as long as the contract agency complies with facility policies and procedures.

RCAC: May contract for the services it is required to provide and residents may contract for additional services not included in the service agreement, as long as the providers comply with applicable facility policies and procedures.
AFH: A resident may contract with outside agencies to provide services to meet needs that are identified in the assessment and individual service plan.

CBRF: Must ensure that residents of different ages, development levels or behavior patterns, as identified in their assessment and individual service plans, are compatible. Facilities may not admit persons who are confined to bed, destructive or property or self, or have physical, mental, psychiatric or social needs that are not compatible with the CBRF client group or with the care, treatment or services offered by the CBRF. Persons requiring more than three hours of nursing care per week or restraints may be admitted only if the licensing authority is satisfied that granting a waiver will meet the best interests of the resident or potential resident. Residents may not be involuntarily discharged without 30 days’ notice and appeal rights.

RCAC: Unless residents are admitted to share an apartment with a competent spouse or other person who has legal responsibility, facilities may not admit persons who have a court determination of incompetence and are subject to guardianship; have an activated power of attorney for health care; or have been found by a physician or psychologist to be incapable of recognizing danger, summoning assistance, expressing need, or making care decisions. Facilities may discharge residents for the following reasons: their needs cannot be met at the facility’s level of services; the time required to provide services to the tenant exceeds 28 hours per week; their condition requires the immediate availability of a nurse 24 hours per day; their behavior poses an immediate threat to the health or safety of self or others; they refuse to cooperate in a physical examination; fees have not been paid; or they refuse to enter into a negotiated risk agreement.

AFH: New residents must have a health screening within 90 days prior to admission or within seven days after admission. The facility is required to have a service agreement with each resident that specifies the names of the parties to the agreement; services that will be provided and a description of each; charges for room and board and services and any other fees; a method for paying fees; and conditions for transfer or discharge and how the facility will assist in relocating. A facility may terminate a resident’s placement upon 30-day notice to the resident, the resident’s guardian, if any, the service coordinator and the placing agency. The 30-day notification is not required for an emergency termination necessary to prevent harm to the resident or other household members.
**Medication Management**

CBRF: Medication administration and management are performed by licensed nurses or pharmacists unless medication are packaged by unit dose. All direct-care staff and administrative personnel must complete an eight-hour approve medication administration and management course.

RCAC: Medication administration and management must be performed by a nurse or as a delegated task to unlicensed staff, under the supervision of a nurse or pharmacist.

AFH: All prescription medications must be securely stored in the original container. Before a licensee or service provider dispenses or administers medication to a resident, the licensee must obtain a written order from the prescribing physician. The order must specify who by name or position is permitted to administer the medication and under what circumstances the medication is to be administered. Written doctor’s orders are kept in the resident’s file.

**Physical Plant Requirements**

CBRF: Facilities must comply with all local building codes, ordinances and zoning requirements. In addition, CBRFs must comply with HFS 83, Subchapters V, VI, and VII relating to physical environment and safety, structural requirements and additional requirements for facilities with more than 20 residences. The minimum number of beds in a CBRF is five. Minimum sleeping room size is 60 to 100 square feet depending on the license classification (ambulatory, semi-ambulatory or non-ambulatory), existing vs. new construction and single vs. private occupancy. Construction requirements, fire protection and accessibility are all predicated on the size of the facility and the class. Ambulating and the ability to be mentally and physically capable of responding to an electronic fire alarm and exiting the facility without assistance or verbal or physical prompting defines class.

RCAC: All resident units must be independent with lockable entrances/exits and provide a minimum of 250 square feet of interior floor space, excluding closets. They must meet building codes required for multi-family dwellings. Multiple occupancy of an independent apartment is limited to a spouse or a roommate chosen at the initiative of the resident.

AFH: Must be located so that residents can easily get to community activities and support services. They are to be safe, clean and well maintained and provide a home-like environment. The home must be physically accessible to all residents. There must be at least 60 square feet per person in a shared bedroom and 80 square feet in a single occupancy room. For a person in a wheelchair, the bedroom space is 100 square
Residents Allowed Per Room

CBRF: Resident bedrooms in a CBRF constructed after January 1, 1979, can accommodate only two residents.

RCAC: Maximum of two residents is allowed per resident unit.

AFH: Maximum of two residents is allowed per room.

Bathroom Requirements

CBRF: Small CBRFs must have at least one bathroom and one toilet or combination for the use of residents that is accessible from public, non-sleeping areas. Each medium-size (9 to 20 beds) CBRF must have at least two separate bathrooms and toilet rooms. Each large CBRF (20 or more beds) must have at least one toilet, sink and tub or shower for 10 residents.

RCAC: Each apartment must have a bathroom that has floor-to-ceiling walls, a door, a toilet, a sink and a bathtub or shower.

AFH: There must be at least one bathroom with at least one sink, toilet, shower or tub for every eight household members and towel racks with sufficient space for each household member. The door of each bathroom shall have a lock that can be opened from outside in an emergency. Toilet and bathing facilities used by a resident not able to walk must have enough space to provide a turning radius for a wheelchair. Grab bars must be provided for toilet and bath facilities. If any resident has limited manual dexterity, the home shall have levered handles on all doors.

Alzheimer's Unit Requirements

CBRF: Must identify the client group(s) it can serve. Two categories are persons with functional impairments that commonly accompany advanced age and persons with irreversible dementia such as Alzheimer's. A full description of residents’ special needs and how those needs will be met are provided as part of the licensing process. Structured activity programming must be integrated into the daily routines of residents with irreversible dementia.

RCAC: None specified.

AFH: Functional impairments that commonly accompany advanced age and irreversible dementia such as Alzheimer’s disease are two "types" of conditions that are served. As part of the licensing process, the proposed AFH must develop a program statement that describes the number and types of individuals the applicant is willing to accept and how the entity will meet the needs of the residents.
<table>
<thead>
<tr>
<th>Staff Training for Alzheimer's Care</th>
<th>None specified.</th>
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</thead>
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<thead>
<tr>
<th>Staffing Requirements</th>
<th>CBRF: The ratio of staff to residents must be adequate to meet the needs of residents as defined in their assessments and individual service plans. At least one qualified resident care staff person shall be in the facility when one or more residents are in the facility. Staffing ratios vary based on the residents’ ability to evacuate during an emergency and their care needs. There must be awake staff at night in facilities with one or more residents requiring continuous care.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>RCAC: Staffing must be adequate to provide all services identified in the residents' service agreements. A designated service manager must be available on short notice.</td>
</tr>
<tr>
<td></td>
<td>AFH: The licensee or service provider must have a sufficient number of staff to meet the needs of the residents. Additionally the licensee or service provider must be present and awake at all times if any resident is in need of continuous care. Resident have the right to prompt and adequate treatment.</td>
</tr>
</tbody>
</table>

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<tr>
<th>Administrator Education/Training</th>
<th>CBRF: Administrator must be 21 years of age, have completed high school or equivalent, have administrative experience or on post-high school course in business management and one year experience working with the client group or one post-high school course related to the needs of the client group. Administrators must have a clean criminal background check. Administrators who have two years of documented experience in their current or similar positions working with the client groups served by the facility are exempt from training on resident rights, recognizing and responding to challenging behaviors, and client group specific training. The administrator may also be exempt from training in dietary needs, food preparation and sanitation if the facility has a dietitian on staff or under contract.</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>RCAC: Service managers must be capable of managing a multi-disciplinary staff.</td>
</tr>
<tr>
<td></td>
<td>AFH: Licensee must be at least 21 years of age and be physically, emotionally and mentally capable of providing care for residents. The licensee shall ensure that the home and its operation comply with all applicable rules, regulations and statutes. The licensee is responsible for ensuring that staffing meets the needs of all residents. They must have a &quot;clean&quot; criminal background check.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Staff Education/Training</th>
<th>CBRF: Minimum initial training for all resident care staff consists of client-related training, needs assessment of prospective residents, development of service plans, universal</th>
</tr>
</thead>
</table>
Continuing Education (CE) Requirements

CBRF: Administrator and resident care staff receive 12 hours annually of relevant continuing education.

RCAC: Not specified.

AFH: The licensee and each service provider must complete eight hours of training annually related to the health, safety, welfare, rights and treatment of residents.

RCAC: Resident care staff must have documented training or experience in the needs and techniques for assistance with activities of daily living; the physical, functional and psychological characteristics associated with aging; and the purpose and philosophy of assisted living, including respect for tenant privacy, autonomy and independence. All staff are required to have training in fire safety, first aid, standard precautions and the facility’s policies and procedures relating to tenant rights.

AFH: Service providers must be at least 18 years of age, responsible, mature and of reputable character and exercise and display the capacity to successfully provide care for three or four unrelated adult residents. The licensee and each service provider must complete 15 hours of training related to the health, safety and welfare of residents, resident rights and treatment appropriate to residents including fire safety and first aid. They must have a clean criminal background check.

Entity Approving CE Program

None specified.

Medicaid Policy and Reimbursement

CBRF: Community Option Program (COP) and COP-Waiver funds may be available depending on eligibility and waiting lists.

RCAC: Certification is required for a facility to receive Medicaid waiver reimbursement. COP and COP-waiver funds may be available depending on eligibility and waiting lists.
AFH: COP and COP-waiver funds may be available depending on eligibility and waiting lists.
Wyoming

Agency  Department of Health, Office of Health Quality  
Contact  Kay Wagner  
E-mail  kwagne1.state.wy.us  

Phone  (307) 777-7121  
Phone  (307) 777-7123  

Licensure Term  Assisted Living Facilities  

Opening Statement  Regulations have been in effect since October 1994 that renamed and modified the board and care licensure category. If a board and care facility wishes to provide limited skilled nursing services and medication administration, it may be licensed as an assisted living facility.

Definition  Assisted living facilities provide limited nursing care, personal care, and boarding home care, but may not provide rehabilitative care.

Disclosure Items  None specified.

Facility Scope of Care  The facility shall provide:
(1) Assistance with transportation;  
(2) Assistance with obtaining medical, dental, and optometric care;  
(3) Assistance in adjusting to group activities;  
(4) Partial assistance with personal care;  
(5) Limited assistance with dressing;  
(6) Minor non-sterile dressing changes;  
(7) Stage I skin care;  
(8) Infrequent assistance with mobility;  
(9) Cueing;  
(10) Limited care to residents with incontinence and catheters (if the resident can care for his/her condition independently); and  
(11) 24-hour supervision of each resident.

Third Party Scope of Care  The facility may provide or arrange access for barber/beauty services, hospice care, Medicare/Medicaid home health care, an any other services necessary to support the resident.

Move-In/Move-Out Requirements  Residents must be discharged if the facility cannot meet needs with available support services or such services are not available; if the resident fails to pay; or, if the resident has a history of engaging in behavior that imposes an imminent danger to self or others. Wyoming supports the philosophy of "aging in place."

Medication Management  Residents are permitted to self-medicate or receive medication assistance including, but not limited to, reminders, assistance with removal of cap or medication, and observation.
<table>
<thead>
<tr>
<th><strong>Physical Plant Requirements</strong></th>
<th>Private resident units must be a minimum of 120 square feet and shared resident units must provide a minimum of 80 square feet per resident.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Residents Allowed Per Room</strong></td>
<td>A maximum of two residents is allowed per resident unit.</td>
</tr>
<tr>
<td><strong>Bathroom Requirements</strong></td>
<td>At least one flush toilet and lavatory must be provided for every two residents and at least one tub or shower must be provided for every 10 residents.</td>
</tr>
<tr>
<td><strong>Alzheimer's Unit Requirements</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staff Training for Alzheimer's Care</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Staffing Requirements</strong></td>
<td>Staffing must be sufficient to meet the needs of all residents. For facilities with 10 or more residents, there must be at least one staff person on duty and awake at all times. The facility must designate a manager who is responsible for the facility and the 24-hour supervision of residents. There must be personnel on duty to maintain order, safety, and cleanliness of the premises; prepare and serve meals; assist the residents in personal needs and recreational activities; and meet the other operational needs of the facility. If need dictates, there must be a registered nurse, licensed practical nurse or certified nursing assistant on every shift.</td>
</tr>
<tr>
<td><strong>Administrator Education/Training</strong></td>
<td>The manager must be at least 21 years of age; be familiar with and follow state regulations; be a certified nursing assistant or the equivalent, or otherwise be capable of making informed decisions regarding quality of care.</td>
</tr>
<tr>
<td><strong>Staff Education/Training</strong></td>
<td>None specified.</td>
</tr>
<tr>
<td><strong>Continuing Education (CE) Requirements</strong></td>
<td>None specified.</td>
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<td><strong>Entity Approving CE Program</strong></td>
<td>None specified.</td>
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<td><strong>Medicaid Policy and Reimbursement</strong></td>
<td>There is no Medicaid Home and Community Based Services Waiver at this time.</td>
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