

EVALUATOR MANUAL TRANSMITTAL SHEET

<u>Distribution:</u> <input type="checkbox"/> All Child Care Evaluator Manual Holders <input checked="" type="checkbox"/> All Residential Care Evaluator Manual Holders <input type="checkbox"/> All Evaluator Manual Holders	<u>Transmittal No.</u> 09RM-10
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Subject:

Reference Material – Comprehensive Evaluation Tools for the Residential Care Facilities for the Elderly

Reason for Change:

Add cover page

Amending 8-1030 and 8-1120

Filing Instructions:

REMOVE – Pages 9, 10, 11, 12, 14, 15 and 24

INSERT – Cover page and pages 9, 10, 11, 12, 14, 15 and 24

Approved:

Original signed by Thomas Stahl

9/21/09

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 Date

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REFERENCE MATERIAL

**COMPREHENSIVE EVALUATION
TOOLS**

FOR

**RESIDENTIAL CARE FACILITIES
FOR THE ELDERLY**

8-1030 CONDUCTING THE VISIT (Continued)**8-1030**

4. Medications

Are centrally stored medications locked?

Are medications being given as prescribed. Select a sample of medications and records to review.

5. Records

Are there any new residents or staff since the last visit? If so, review those records. If you are visiting a facility (with a capacity of 16 or more), you must review all new resident and staff records up to a total of ten. If the facility has more than a combined total of ten new resident and/or staff select a sample of ten to review, to get an indication of how well records are maintained.

Once the facility assessment has been completed, the Licensing Program Analyst must make a decision about how the rest of the visit will be conducted.

If the information gathered during the facility file review indicates the need for a comprehensive visit, the Licensing Program Analyst completes a review of all six visit modules outlined below.

If the file review indicates that the facility is eligible for a modified comprehensive visit, the Licensing Program Analyst must combine this information with the overall assessment of the facility. For example, if the facility is not in compliance with basic health and safety requirements, has residents whose health related needs are in question, or there are problems in the handling of medications, this will negate the findings of the file review and a comprehensive review of all six visit modules would be required.

If the file review indicates that the facility is in substantial compliance and nothing is found during the overall assessment which affects the facility, the Licensing Program Analyst would choose two visit modules to review. Over a three year period it is expected that all six modules will be reviewed for a facility that qualifies for modified visits.

VISIT MODULES**A. PERSONAL ACCOMMODATIONS**

Regulation sections [87204](#), [87311](#), [87307](#), [87203](#), [87308](#), [87303](#), [87309](#) should be used to complete this module. The following can be used as a guide, but does not include all of the regulatory requirements.

8-1030 CONDUCTING THE VISIT (Continued)**8-1030****Verify that:**

1. There are common areas of sufficient space to promote and facilitate the program of activities.
2. There are only two residents in each bedroom and each bedroom contains all the necessary furniture, closets, and drawer space.
3. There are equipment and supplies necessary for personal care and maintenance of adequate hygiene available for each resident.
4. Individual privacy is provided.
5. All residents are protected against hazards.
6. There is clear access to all exits in case of fire, or an emergency.
7. The facility is operating within the limits of the license.
8. There is telephone service available to the residents.
9. There is no new construction or alterations to the facility that may pose a hazard to the health and safety of the residents.
10. If the facility has a capacity of 16 or more, separate administrative offices or areas are maintained.
11. In general, the facility is clean, safe, sanitary and in good repair.
12. The temperature in the facility is appropriate for the residents for the time of year.
13. Disinfectants, cleaning solutions, poisons, firearms and any other items which could pose a danger if readily available to residents are inaccessible to residents.

B. FOOD SERVICE

Regulation section [87555](#) should be used to complete this module. The following can be used as a guide, but does not include all of the regulatory requirements.

8-1030 CONDUCTING THE VISIT (Continued)**8-1030****Verify that:**

1. The facility has sufficient food to meet the needs of the residents and all food is of good quality.
2. Any modified diets prescribed by a resident's physician are being provided.
3. Procedures which protect the safety, acceptability and nutritive values of food are being observed in food storage, preparation, and service.
4. Freezers of adequate size are maintained at a temperature of 0 degrees F (- 17.7 degrees C), and refrigerators of adequate size are maintained at a maximum temperature of 40 degrees F (4 degrees C). They shall be kept clean and food shall be stored to enable adequate air circulation to maintain the above temperatures.
5. Pesticides and other toxic substances are not stored in food storerooms, kitchen areas, or where kitchen equipment or utensils are stored.
6. All kitchen areas are clean and free of litter, rodents, vermin and insects.
7. The facility has a supply of nonperishable foods for a minimum of one week and perishable foods for a minimum of two days on the premises.
8. All utensils used for eating and drinking and in preparation of food and drink are being cleaned and sanitized after each usage. Verify that dishes and utensils are being disinfected.

C. MEDICALLY RELATED SERVICES

Regulation Sections [87465](#), [87605](#), [87615](#), [87612](#), [87638](#), [87609](#), [87611](#), [87618](#), [87619](#), [87621](#), [87622](#), [87623](#), [87625](#), [87626](#), [87628](#), [87629](#), [87631](#), [87633](#), [87639](#), [87616](#), [87617](#), [87705](#), should be used to complete this module. The following can be used as a guide, but does not include all of the regulatory requirements.

Verify that:

1. The licensee arranges, or assists in arranging, medical and dental care appropriate to the conditions and needs of residents.

8-1030 CONDUCTING THE VISIT (Continued)**8-1030**

2. The licensee provides assistance in meeting necessary medical and dental needs. This includes transportation which may be limited to the nearest available medical or dental facility which will meet the resident's need. In providing transportation, the licensee shall do so directly or make arrangements for this service.
3. The licensee assists residents with self-administered medications, as needed.
4. If the resident's physician has stated in writing that the resident is unable to determine his/her own need for nonprescription PRN medication but can communicate his/her symptoms clearly, facility staff designated by the licensee are permitted to assist the resident with self-administration, provided all requirements are met.
5. For every prescription and nonprescription PRN medication for which the licensee provides assistance there is a signed, dated written order from a physician, on a prescription blank, maintained in the resident's file, and a label on the medications. Both the physician's order and the label shall contain all of the required information.
6. Persons with "prohibited health conditions" are not admitted or retained, except as outlined in the regulations.
7. If residents have health conditions which cannot be cared for within the limits of the license the Department has ordered the licensee to relocate the resident (health condition relocation order).
8. A resident, or the resident's responsible person, if any, is permitted to request a review and determination of the Department's health condition relocation order by the interdisciplinary team.
9. If the licensee retains terminally ill residents who receive hospice services from a hospice agency in the facility, all required conditions are met.
10. If the licensee retains residents with dementia in the facility all required conditions are met.

D. RESIDENT ASSESSMENT AND SERVICES

Regulation Sections [87456](#), [87507](#), [87458](#), [87506](#), [87468](#), [87469](#), [87608](#), [87455](#), [87457](#), [87459](#), [87461](#), [87462](#), [87463](#), [87505](#), [87466](#) should be used for completing this module. The following can be used as a guide, but does not include all of the regulatory requirements.

8-1030 CONDUCTING THE VISIT (Continued)**8-1030**

NOTE: A sampling of the facility's residents must be interviewed by the Licensing Program Analyst while at the facility. Discussion topics should include:

Food Service
Personal Rights
Activities
Locks/Restraints

E. STAFFING

Regulation Sections [87355](#), [87356](#), 87563, [87405](#), [87406](#), [87407](#), [87411](#), [87412](#), [87413](#), [87415](#), should be used to complete this module. The following may be used as a guide, but does not include all of the regulatory requirements.

Verify that:

1. Employment application forms have been completed and maintained for each employee and available for review.
2. All persons covered in Section 1569.17(b) of the Health and Safety Code have had a criminal record review and a criminal record clearance or exemption. Such persons include, but may not be limited to: adults responsible for administration or direct supervision of staff, any adult other than a client residing in the facility, any person who provides client care, any staff person or employee who has contact with the clients, and any volunteer (unless otherwise exempted).
3. All personnel, including the licensee and administrator, are in good health, and physically and mentally capable of performing assigned tasks. Good physical health shall be verified by a health screening.
4. The facility has a certified administrator.
5. Facility personnel are sufficient in numbers, and competent to provide the services necessary to meet resident needs.
6. All personnel are being given on the job training or have related experience in the jobs assigned to them. The training and/or experience must be appropriate as evidenced by a safe and effective job performance. According to their job assignment, staff should have knowledge of and skill in: a) Principles of good nutrition, good food preparation and storage and menu planning, b) housekeeping and sanitation principles, c) resident care and supervision, d) how to safely assist with prescribed medications, e) how to recognize early signs of illness and the need for professional help, f) community services and resources.

8-1030 CONDUCTING THE VISIT (Continued)**8-1030**

NOTE: A sampling of facility personnel must be interviewed by the Licensing Program Analyst while at the facility. Discussion questions should address:

- Familiarity with the needs of the residents
- Specific staff responsibilities
- Familiarity with medication procedures
- Familiarity with the facility Plan of Operation
- Knowledge of resident's rights
- Knowledge of reporting requirements

F. PLAN OF OPERATION

Regulation Sections [87206](#), [87207](#), [87755](#), [87208](#), [87212](#), [87216](#), [87217](#), [87223](#), [87211](#), [87213](#), [87508](#), [87468](#), [87312](#), [87219](#), [87224](#), should be used to complete this module. The following can be used as a guide, but does not contain all of the regulatory requirements.

Verify that:

1. Transportation arrangements have been made for residents who do not have independent arrangements.
2. A disaster and mass casualty plan is available, in writing.
3. Facility staff understand that each resident is to be free from corporal or unusual punishment, humiliation, mental abuse, or other actions of a punitive nature, such as withholding of monetary allowances or interfering with daily living functions such as eating or sleeping patterns or elimination.
4. Each resident may leave or depart the facility at any time and is not to be locked in any room, building, or on facility premises by day or night. This does not prohibit the establishment of house rules, such as the locking of doors at night, for the protection of residents; nor does it prohibit, with the permission of the licensing agency, the barring of windows against intruders.
5. The facility has all necessary waivers and is able to fulfill requirements for all waivers, including dementia and hospice.

8-1100 CONCLUDING THE VISIT (Continued) 8-1100

- How does the facility ensure that residents' personal rights are not violated?
- What is the overall physical condition of the facility and what are the facility's procedures for maintenance?

8-1110 EXIT INTERVIEW 8-1110

The Licensing Program Analyst shall conduct the exit interview as outlined in the Evaluator Manual Section 3-4200. If the facility has a good complaint record, and the past history indicates responsiveness to plans of correction, the LIC 9098 may be used to clear the violations cited.

8-1120 FOLLOW UP 8-1120

Once the visit is concluded, the Licensing Program Analyst should determine the need for intervention and make the following decisions:

- Should the Licensing Program Analyst discuss the facility with the **Licensing Program** Manager?
- Should the licensee come into the office for a compliance plan, informal or noncompliance conference?
- Should the Licensing Program Analyst provide information to the licensee/administrator regarding the Technical Support Program?
- Should the facility be referred to the Legal Division for possible action against their license?

The Licensing Program Analyst's work related to comprehensive visits does not end upon conclusion of the visit. Plan of correction due dates must be entered into the Control Book. An entry must also be made when deficiencies have been cleared or to indicate assessment of civil penalties.

After the comprehensive evaluation visit is completed, the Licensing Program Analyst shall send copies of the LIC 809 to the placement agency (if applicable).

The Licensing Program Analyst should contact the following as necessary:

- Community Care Licensing Division Audit Section, e.g. potential trust audit.