ADMINISTRATOR CERTIFICATION SECTION

VENDOR GUIDELINES FOR THE INITIAL CERTIFICATION TRAINING PROGRAM

I. INTRODUCTION

The Community Care Licensing Division (CCLD) in the California Department of Social Services (CDSS) is the State agency that is responsible for licensing, monitoring, and enforcing the laws and regulations governing the operation of non-medical residential care facilities in California. If an individual or business entity wishes to provide care and supervision services to unrelated person(s) they are required to obtain a license and comply with the applicable laws and regulations, unless they meet certain conditions to be considered exempt from the law.

Licensed residential care facilities that provide 24-hour care must have an administrator on staff that is certified by the CCLD's Administrator Certification Section (ACS). These residential care facilities include the Residential Care Facility for the Elderly (RCFE), Adult Residential Facility (ARF) and Group Home (GH) license categories. In addition, all RCFE license applicants must be certified administrators prior to obtaining an RCFE license.

Residential Care Facility for the Elderly (RCFE)

Residential Care Facilities for the Elderly are facilities of any capacity that provide care, supervision and assistance with activities of daily living, such as bathing, dressing, grooming and other personal hygiene needs. They may also provide assistance with taking medication, monitoring food intake, and arranging incidental medical services. RCFEs provide services to persons 60 years of age and over and persons under 60 with compatible needs. RCFEs are commonly referred to as assisted living facilities, retirement homes and board and care homes. The residents in these facilities require varying levels of personal care and protective supervision. Some clients may require little assistance; other clients may have a dementia diagnosis and require close supervision and monitoring. In some cases, the RCFE may work in concert with hospice care providers to ensure that palliative care is provide at the end of life stages for residents. The client population can vary from individuals with health and aging-related needs, persons with mental health challenges and other disabilities.

Adult Residential Facilities (ARF)

Adult Residential Facilities are of any capacity and provide 24-hour non-medical care for adults ages 18 through 59, who are require care and supervision, such as assistance with medication, supervision of client schedules and activities, and maintenance of house rules for the protection of clients. The level of care and supervision is based on the client's functional abilities, limitations, and challenges. These adults may be

physically handicapped, developmentally disabled, and/or mentally disabled. Clients served in the Adult Residential Facilities may be registered with the local regional center or may receive services from a social worker or mental health specialist. They may also attend a structured day program for job training skills or skill enhancement.

Group Homes (GH)

Group Homes are facilities of any capacity and provide 24-hour non-medical care and supervision to children from the age of 0 to 18 years in a structured environment. Group Homes provide social, psychological, and behavioral programs. The residents may be wards or dependents of the Court with an assigned probation officer or social worker involved with their care, case management and placement. Dependents have been neglected or abuse and are monitored by the Dependency Court, with the local county children protective services agency providing case management services. Wards have been adjudicated in Juvenile Court and are monitored by the Court through the local county probation office.

II. ADMINISTRATOR CERTIFICATION PROCESS

Individuals seeking to become certified administrators must complete an Initial Certification Training Program (ICTP) and meet additional requirements. The ICTP provides training in the following subject areas to ensure that certified administrators are qualified to perform the duties of an administrator:

- Comprehensive training regarding the laws and regulations that govern CCLD licensed facilities.
- Training related to the operation of a facility in compliance with applicable laws and regulations.
- Training that provides information (e.g. psycho/social factors, assessment tools, etc.) regarding the clients/residents served.
- Training concerning the factors to consider for assessing and accepting clients/residents.
- Training that provides other useful tools and resources (e.g. informational releases, policy decisions, evaluator manual sections) that may be used to meet the needs of the client/resident populations and ensure the successful operation of a licensed facility.

In addition to completion of the ICTP, applicants must pass the state exam with a score of 70% or higher, submit a completed application with a $100 nonrefundable processing fee, and obtain a background check clearance. Administrator certificates expire every two years and require the completion of continuing education hours to be renewed. The possession of an administrator certificate does not guarantee that the individual will obtain employment or that they meet other regulatory requirements to work as an administrator in a CCLD licensed facility.

III. OVERVIEW OF VENDOR APPLICATION PROCESS FOR THE INITIAL CERTIFICATION TRAINING PROGRAM (ICTP)

The ACS approves vendors to provide classroom-based ICTP instruction for the three 24-hour residential care programs. A training vendor can be an individual or other legally recognized business entity. The following instructions outline the process to complete and submit the Initial Certification Training Program (ICTP) application. Please note that the term course content and course curriculum are used interchangeably.

- The application process consists of both the Vendor Application LIC 9141 and Request for Course Approval Request for Course Approval LIC 9140 forms. In addition, a nonrefundable processing fee must accompany the application.

- Only one residential program type is to be selected for each ICTP program application form.

- In the case of multiple ICTP program submissions, each application must meet the requirements mutually exclusive of each specific program type.

- The LIC 9140 Vendor Application and LIC 9141 Request for Course Approval forms must be completed accurately and in entirety.

- The ICTP curriculum or course content is an expansion of the course topics and subtopics identified in the Core of Knowledge.

- The instructors for the course must be identified on the application. Instructors must demonstrate sufficient knowledge and/or course-related experience to teach their assigned course training topics.

- Each ICTP is reviewed, processed and approved as one package.

- If the application is not complete or is missing information, it will be returned approximately 30 days after the date of receipt.

- If the applicant does not resubmit the application within 30 days of the incomplete letter, it will be considered withdrawn.

- Once the application is withdrawn, the applicant will have to start the entire application process over by submitting a new application and fee.

- If the applicant cannot demonstrate the ability to complete the application process and to provide the requested information, the application may be denied.

IV. COMPLETING THE ICTP VENDOR APPLICATION (LIC 9141)

- If the applicant is currently a vendor and/or have previously been an approved vendor, provide the vendor number on the LIC 9141.

- Previous history of noncompliance may be used to assess the applicants' ability to comply with the regulations.

- All corporations, limited liability corporations, or provider associations must attach the appropriate documentation confirming their legal status, (i.e. the State of California Seal from the Secretary of State's office, bylaws, and for out-of-state entities, evidence of a registered agent in California).

- Corporate entities are to include a statement signed by the President of the Board authorizing the person to submit the application or to act on their behalf.

- For partnerships, submit a copy of the partnership agreement. If the application is not being submitted by all of the partners, a signed statement authorizing the person to submit the application should be included.

- The applicant must submit a nonrefundable $150 application processing fee.

- If items are missing or incomplete, the vendor analyst will contact the vendor to secure clarification, additional information or documents. This may delay the process.

V. COMPLETING THE ICTP REQUEST FOR COURSE APPROVAL (LIC 9140) DOCUMENT AND REQUIRED ATTACHMENTS

- If the applicant is currently a vendor and/or have previously been an approved vendor, the vendor number must be provided on the LIC 9140.

Instructor(s) Qualifications:

- Attach a resume for each proposed instructor. The resume should be current, focused and tailored to address the experience, knowledge and training that support the vendor's request to approve the instructor to teach the course subject in question. The resume should be no more than three pages in length.

- The vendor is responsible for ensuring that the back of the LIC 9140 is completed for each instructor.

- ACS will determine if the proposed instructor has had any prior disciplinary actions taken against a license, certificate or permit. Any prior administrative action will be reviewed when evaluating an instructor's knowledge and/or experience in the subject matter to be taught.

- Each instructor must meet at least one of the regulatory requirements listed below and have knowledge and/or experience in the subject area to be taught. The resume should clearly identify how this person meets at least one of the following qualifications:

  - ✓ Possession of a four (4) year college degree and two (2) years experience relevant to the course to be taught, or
  - ✓ Four (4) years experience relevant to the course to be taught, or
  - ✓ Be a professional, in a related field, with a valid license to practice in California, or
  - ✓ Have at least four (4) years experience in California as an administrator of a residential care facility within the last eight (8) years, with a record of administering facilities in substantial compliance.

- At least one instructor with the following qualifications must provide a minimum of ten (10) hours of instruction for ICTP:

  - ✓ Documented experience of working four (4) years as an administrator in a CCLD licensed facility within eight (8) years from the date of the application with a record of being in substantial compliance with the laws and regulations.

  - ✓ Substantial compliance means the absence of any deficiencies which would threaten the physical health, mental health, safety or welfare of the residents.

- If the proposed instructor does not meet the 10-hour requirement, ACS will consider a waiver of this regulation. Waiver requests must show good faith efforts to locate qualified persons or those with comparable experience or training.

Description of Course, Objective of Course and Teaching Methods:

- The regulations prescribe the course subject/component and the number of training hours for each. The vendor does not have any flexibility on the course curriculum or training hours (refer to section VII for details).

- As required by law, the ICTP is a classroom-based training course. Include the address and/or geographic areas where the ICTP will be presented. If you do not have scheduled dates and locations in place when you submit your ICTP application, contact your assigned analyst when you have knowledge of the location(s), dates and times when the ICTP will be presented. Date and location information must be submitted before instruction may begin.

- The course curriculum consists of nine major subject areas. Course descriptions should address what subject area is being taught and demonstrate how the course directly relates to either the business operations or the care of residents in the facility (refer to section VII for details).

- Each course description must address the course's educational objectives by detailing what the participant will learn upon completion of that training component.

- The course should also include a description of the types of teaching methods that will be used during instruction. Types of methods may include but are not limited to the following: PowerPoint presentations, lectures, handout materials, role playing, group discussions and videos. If videos are used, the title and time length of the video is to be provided

- The course must include reasonable break periods, which are included as part of instructional time. Meal breaks are not considered part of course time.

Course Content:

- The course for the Residential Facility for the Elderly and the Group Home ICTP programs consists of 40 training hours, respectively. The Adult Residential Facilities ICTP consists of 35 training hours.

- The training should be broken into 8 or 10-hour time frames, which are considered one day of instruction.

- Each day should be further broken down into hour-by-hour instructional periods.

- For each one-hour instructional period, identify the instructor that will teach the subject. If more than one instructor teaches the subject, identify each instructor.

- The "Core of Knowledge Guideline" is a springboard for the development of the specifics of the course curriculum content. The vendor starts the development of the course curriculum by including all of the major subjects and the subtopics indentified by the core of knowledge. The vendor should build and expand on these areas to develop the curriculum fully.

- Instructional aides and tools such as handouts, test questions, evaluations, PowerPoint presentations and videos that are part of the course and are to be submitted as part of the application documents.

- ICTP curriculums that only list the main and subtopics enumerated in the core of knowledge provide insufficient information about the course content and will not be approved.

Method of Course Evaluation by Participants and Method of Evaluating Participants:

- Describe the method the participants will use to evaluate the course. An evaluation should be submitted for each day of instruction.

- Describe the method the instructor will use to evaluate effectiveness of the course. This can be done by pre and post tests, questions and responses from participants, group discussions and group presentations etc.

Types of Records to be Maintained and Address Where Records are to be Maintained:

- Vendors must maintain course related records for three (3) years from the date of the course. These records must be available for review upon request and the address where the records are kept must be identified Records shall include the following information:

  - ✓ Class schedules, dates and descriptions.
  - ✓ List of instructors and documentation of qualifications of each.
  - ✓ Names of registered participants and documentation of completion of the program.
  - ✓ Evaluations by participants of courses and instructors.

Make Up Policy for 40-Hour/35-Hour Initial Certification Courses:

- Vendors must establish a policy and procedures to allow participants to make up any component necessary to complete the program. The make-up plan must be realistic, attainable and reasonable.

VI ICTP VENDOR ROLE IN THE CERTIFICATION PROCESS

The initial certification test consists of forty (40) confidential questions that are based on knowledge of the regulations. The test is designed to measure the student's awareness, understanding and ability to apply the regulations. Therefore, the vendor's training curriculum should ensure that the regulations are thoroughly covered. The test does not include questions regarding policy decisions, information updates, and laws or regulations that have not been enacted or promulgated.

The ICTP vendor and their instructors have an important role in assisting the applicant to successfully complete the state exam, gaining a basic knowledge and understanding of the regulations and the Health and Safety Codes, and becoming a familiar with the tools and resources needed to operate a compliant facility. As the student may look to the ICTP vendor or their instructors for answers to basic questions, it is critical that the vendor understands their role in the process.

- Vendors should ensure that the following areas are addressed at the beginning of the course:

  - ✓ Purpose of the course
  - ✓ Certification requirements
  - ✓ Testing protocols

- ✓ A description of the initial certification application process,
- ✓ Certification renewal application requirements
- ✓ Certification due dates and timelines.

- Vendors should ensure that each applicant is required to complete an ICTP. Previously certified administrators whose certification has expired within the last four (4) years must renew their certification without retaking an ICTP. Continuing education hours are required to renew certification. ICPT course hours will not be approved or accepted in lieu of continuing education hours.

- Vendors should ensure that participants understand that they have 60 days from the date of the certificate to take and pass the test.

- Vendors may offer refresher courses to participants who do not pass the test. However, the vendor cannot issue a new certificate for completion of a refresher course. A certificate for the ICTP is only issued after the completion of an approved ICTP course. Refresher courses are not approved ICTP courses.

- Vendors should encourage participants to visit the ACS website at www.ccld.ca.gov to determine when and where the initial tests are given. The regional offices are responsible for administering the test.

    - ✓ Currently, there is no limit on how many times a participant can take the test within the 60-day timeframe.

- Vendors should ensure that participants are aware that they have 30 days from the date that ACS provides them with written notice of passing the exam to submit their application to ACS.

- Vendors should explain that extensions to the above timeframes may be granted for good cause and must be approved by the ACS manager. A participant will have to repeat the ICTP if their extension request is denied.

- Vendors are to ensure that the training rosters are submitted to the ACS for verification within seven days of completion of the ICTP.

- Vendors are to ensure that all classes are open to monitoring and inspection by Department representatives and should inform participants that Department representatives may request to interview them about the course.

VII. TRAINING TOPICS AND HOUR REQURIEMENTS FOR ICTP COURSES

40-Hour Residential Care for the Elderly ICTP

Training Subject/core components	Training Hours
Law and Regulations	8
Business Operations	3
Management/Supervision of Staff	3
Psycho/Social Needs	5
Community and Support Services	2
Physical Needs	5
Medication	5
Admission and Assessment Retention	5
Alzheimer's and Dementia Training	4

35-Hour Adult Residential Facilities ICTP

Training Subject/core components	Training Hours
Law and Regulations	6
Business Operations	3
Management/Supervision of Staff	3
Psycho/Social Needs	4
Community and Support Services	3
Physical Needs	4
Medication	4
Admission and Assessment Retention	4
Alzheimer's and Dementia Training	4

40-Hour Group Home ICTP

Training Subject/core components	Training Hours
Law and Regulations	6
Business Operations	4
Management/Supervision of Staff	4
Psycho/Social Needs	4
Community and Support Services	3
Physical Needs	2
Medication	6
Admission and Assessment Retention	6
Alzheimer's and Dementia Training	4