

# WEBINAR SERIES – PART 7

## Annual Requirement for Social Adult Day Service (SADS) Programs

*Friday, March 8, 2019*

*1:00 - 2:00 p.m.*



[www.nysadultday.com](http://www.nysadultday.com)

**Audio Information:** Please use the webex tab to connect via Audio, each individual has a personalized pin number.

# Thank You For Joining Us

- Questions?
  - Please type any questions you may have at any time throughout the webinar in the **chatbox** supplied on the bottom right side of your screen. Questions will be addressed at the end of the webinar. We will try to get to as many as possible.  
\*\*Please note that your phones are muted\*\*
- Recording
  - Today's webinar will be recorded and will be available on the NYSADSA Website following the webinar.

# Annual Requirements for Social Adult Day Services (SADS) Programs

DO NOT REPLICATE

NYS ELDERLAW

Title 9 NYCRR-6654.20

REGULATIONS FOR SOCIAL  
MODEL ADULT DAY SERVICES  
PROGRAM

and

NYS OFFICE OF THE MEDICAID  
INSPECTOR GENERAL  
REGULATION

# NYSOFA REGULATIONS

- Staff Training
- Staff Health
- Annual Program Self-Assessment

DO NOT REPLICATE

OFFICE OF  
THE NYS  
OFFICE OF  
THE  
MEDICAID  
INSPECTOR  
GENERAL

Social Adult Day Care  
Certification

DO NOT REPLICATE

# NYSOFA REGULATIONS

## STAFF TRAINING

“The program shall provide all staff with at least six hours of in-service training annually to develop, review, or expand skills or knowledge; and training at least annually in the use of fire extinguishers, written procedures concerning evacuation and emergency situations, and emergency telephone numbers.”



Note: New Staff Orientation and training requirements are topic specific as are time frames for completion of various training topics

## NYSOFA REGULATIONS

# STAFF HEALTH

The health status of each staff person who may or will have contact with participants, including the program director, is assessed and documented annually...

Note: New Staff need physical and PPD; thereafter, annual physical and bi-annual PPD



## NYSOFA REGULATIONS

### PROGRAM SELF EVALUATION

“The program shall conduct a self evaluation of its administrative, fiscal and program operations, including feedback from participants and caregivers, at least annually; and maintain a copy of the self evaluation on file for review...”

DO NOT REPLICATE

## DOCUMENTATION

- STAFF TRAINING: must include an evaluation of each person's competency
- STAFF HEALTH: documentation is required but not specified
- PROGRAM SELF EVALUATION: a copy of all information gathered as well as summary report

FOCUS ON  
ANNUAL  
PROGRAM  
SELF-  
EVALUATION



ADMINISTRATIVE  
OPERATIONS



FISCAL OPERATIONS



PROGRAM  
OPERATIONS



FEEDBACK FROM  
PARTICIPANTS AND  
CAREGIVERS

DO NOT REPLICATE

FOCUS ON  
ANNUAL  
PROGRAM  
SELF-  
EVALUATION

## FOR CONSIDERATION:

WHO WILL DO IT?

WHO WILL BE INVOLVED IN IT?

HOW WILL THEY DO IT?

HOW WILL THEY REPORT ON IT?

WHAT WILL FOLLOW THE  
REPORT?



Program Policies and Procedures  
should address the Annual  
Program Self Evaluation

ANNUAL  
PROGRAM  
SELF-  
EVALUATION:  
Administrative  
Operations

INCLUDES:

2.(i) a-h Policies and Procedures

2.(ii) a-b Program Self-Evaluation  
including feedback  
from participants and  
caregivers

2.(iii) a-b Records

2.(iv) a-e Staffing

DO NOT REPLICATE

# ANNUAL PROGRAM SELF- EVALUATION: Administrative Operations

Focus:  
Policies and  
Procedures

## At a minimum

Participant eligibility

- Admission and Discharge
- Service Plan
- Staffing Plan (including paid and volunteer staff)
- Participants' Rights
- Services Delivery
- Program Self-Evaluation
- Records
- Emergency Preparedness



Refer back to Service Standards

ANNUAL  
PROGRAM  
SELF-  
EVALUATION:  
Administrative  
Operations

Focus:  
Program  
Annual Self-  
Evaluation

At a minimum:

- Is prior year program self-evaluation on file?
- Was there a report?
- Was anything changed as a result of the program self-evaluation?

ANNUAL  
PROGRAM  
SELF-  
EVALUATION:  
Administrative  
Operations

Focus:  
Records

## At a minimum

- Written policy** including compliance with Medicaid rules/MLTC contracts (confidentiality, storage); disclosure of information
- Participant records** include key demographic info.; assessment and service plan(s); documentation of delivery of services
- Fiscal records are maintained**



ANNUAL  
PROGRAM  
SELF-  
EVALUATION:  
Administrative  
Operations

Focus:  
Staffing

## At a minimum

- Written policy
- Adequate number and at least 2 when participants present
- Health status assessment
- Paid Director/educational qualifications/work experience/duties
- Staff and Volunteer Training: initial new employee orientation and annual. Complies with hourly requirements (unless waiver for initial)

ANNUAL  
PROGRAM  
SELF-  
EVALUATION:  
Fiscal  
Operations

“The program shall maintain the following information on file: administrative and financial records” 2 (iii) a.1

- Billing and Payment Records
- Purchasing Records
- Financial Audit

**Effective July 1, 2014, the thresholds for filing certain financial reports with the New York State Attorney General are as follows:**

*\* the audit threshold will be raised to \$750,000 as of July 1, 2017 and to \$1 million as of July 1, 2021.*

\$500,000+ (*)	Independent CPAs Audit
\$250,000 to \$500,000 (**)	CPA Review Report
up to \$250,000	no Audit or Review is required

- See Nonprofit Coordinating Committee of NY
- Also see NYS Attorney General report: Internal Controls and Financial Accountability for Not-for-Profit Boards

ANNUAL  
PROGRAM  
SELF-  
EVALUATION:  
Program  
Operations

At a minimum

- Participant eligibility
- Admission & Discharge
- Service plan(s)
- Required Services (Socialization, Supervision & Monitoring, Personal Care, Nutrition) implemented and documented
- Optional Services (if offered: maintenance and enhancement of daily living skills; transportation; caregiver assistance)

**NYS OFFICE OF THE MEDICAID INSPECTOR GENERAL (OMIG)**

**NYS DEPARTMENT OF HEALTH (DOH)**

**NYS OFFICE FOR THE AGING (SOFA)**

# Social adult day care certification

“In order to ensure the health and safety of Managed Long Term Care Plan Enrollees, all providers of Social Adult Day Care Services that contract with a Managed Long Term Care (MLTC) Plan must meet the standards and requirements set forth in Title 9 NYCRR-6654.20, and complete this certification form.”

# OMIG CERTIFICATION FORM

✓ Complete On-Line

<https://www.omig.ny.gov/sadc-certification>

✓ Must be completed annually

✓ Must be completed after the program's annual self-evaluation

DO NOT REPLICATE

1. The SADC has a current, valid certificate of occupancy approved for a Social Adult Day Care (SADC) facility for the premises?
2. The SADC meets all appropriate Fire Safety Codes?
3. The SADC meets all relevant Department of Health Codes?
4. The SADC has implemented policies and procedures from 9 NYCRR 6654.20(d)(2)(i)(a-l) addressing participant eligibility, admissions/discharge, service plan, staffing plan, participants rights, service delivery, program self-evaluation, records, and emergency preparedness?
5. Participant files are updated to document: There was an assessment prior to admission? That a service plan was developed within 30 days of admission? Service planning input from the participant and/or caregiver (9 NYCRR 6654.20 (d)(1)(iii)(a)(b))?
6. The SADC adheres to the nutrition standards required under (9 NYCRR 6654.20 (d)(1)(iv)(a)(4)?

7. Staff and volunteer health records are documented to demonstrate: The health status of each staff person is assessed and documented prior to contact with participants and annually thereafter? Each staff person has undergone a ppd test prior to employment and no less than every two years thereafter (9 NYCRR 6654.20 (d)(2)(iv)(a)(3)(i)(ii))?
8. The SADC has documentation and records demonstrating staff and volunteer training including fire/emergency safety, new staff orientation for 20 hours within 3 months and includes personal care skills taught by an RN and CPR/AED training (9 NYCRR 6654.20 (d)(2)(iv)(c)(1) and 9 NYCRR 6654.20 (d)(2)(iv)(d)(1)(2)(3))?
9. The SADC has demonstrated the ability to perform the services necessary to contract with a MLTC plan?
10. The SADC has documentation that fire drills have been conducted twice per year (9 NYCRR 6654.20 (d)(2)(vii)(c))?
11. The SADC is in compliance with all Title 9 NYCRR 6654.20 requirements?
12. The SADC has conducted, completed, and has documented the annual self-evaluation, which includes an administrative, program and fiscal review of operations including input from participants and caregivers (9 NYCRR 6654.20 (d)(2)(ii)(a))?

# OMIG CERTIFICATION FORM

## Certification

- **IMPORTANT: Making a false statement in this certification, may subject you to criminal prosecution for a misdemeanor or felony under the New York State Penal Law.**
- The person selecting the button below, declares, affirms and certifies (hereinafter certification) that the information entered as part of this form is true and that:
- he/she is the certifying official whose name and contact information appears above;
- the certifying official has undertaken due diligence and conducted all reasonable inquiry prior to making any of the statements in this certification and has sufficient knowledge to complete this form;
- the certifying official acknowledge that this certification is being made in order to comply with the requirements outlined in the questions answered above.



# OMIG CERTIFICATION FORM

Other required  
fields

## ✓ SADC Information:

Federal Identification # (FEIN) or  
Social Security #

## ✓ SADC Director Information:

Name and Title

Phone #

Email address

## ✓ MLTC Contracts

Name

Contact Name

Phone Number

DO NOT REPLICATE

OMIG  
CERTIFICATION  
FORM

IMPORTANT  
REMINDERS!

➤ BE SURE TO SAVE/PRINT THE ENTIRE DOCUMENT

➤ BE SURE TO SAVE/PRINT THE EMAIL YOU RECEIVE FROM

[nysomig@server.hdgwebhost.com](mailto:nysomig@server.hdgwebhost.com)

on behalf of

[SADCcertification@omig.ny.gov](mailto:SADCcertification@omig.ny.gov)

➤ **AS THE CERTIFYING OFFICIAL MAKING A FALSE STATEMENT MAY SUBJECT YOU TO CRIMINAL PROSECUTION**

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# Questions?

At this time, if there are any questions please type them in the chat box on the right hand side of the screen. We will answer them in the order they are received.

# THANK YOU TO OUR SUPPORTING PARTNERS



**Office for  
the Aging**

The New York State Office for the Aging (NYSOFA) contracts with the New York State Adult Day Services Association to provide technical assistance to managed care organizations, providers of social adult day services and those interested in starting an adult day services program.