



# Preparing for Renewal

Intellectual and Developmental  
Disability

Adult Care Home Program (ACHP)

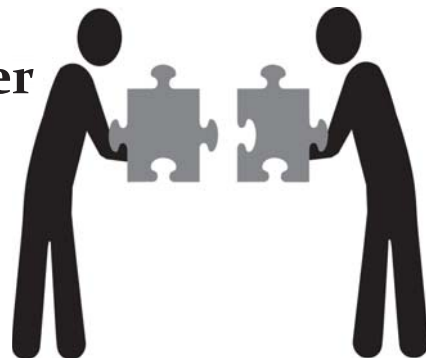
Aging, Disability and Veterans  
Services Division

Multnomah County

## Welcome:

**Introductions:**

- **Beth Everidge - I/DD Licenser**
- **Natascha Hottges-Ortiz - I/DD Licenser**
- **Edward Dove - I/DD Licenser**



# General Housekeeping

## Questions?

- Please Keep Questions General
- Refer to Your Licensor for Specific Questions
- Index Cards for General Questions. Monitor will pick up questions after each section and they will be read.
- Respect everyone's time
- Be Open to Different Points of View



## Renewal Process

We understand the Renewal process can sometimes be stressful. We would like to provide information and guidelines to continue to ensure the process of License Renewal continues to be minimally impactful on all involved, while ensuring successful adherence to the rules that protect the individuals we serve as a team.



# Learning Objectives

1. Understand the renewal inspection process.
2. Understand record requirements such as;
  - a. Resident Records
  - b. Business Records
  - c. Medical Records
  - d. Facility Inspection
3. Commonly seen corrections



## Why?

- As a Care Provider, paid with Medicaid funds(\$) to support the individuals in your home, you **must meet** the **standards set by Administrative Rule** for your licensing entity.
- These standards exist to give you clear directions about
  - How to meet your clients minimum needs for health and safety
  - Documents you use or create
  - Documents you complete & maintain
- Information on how to meet these standards you are paid to provide



# Areas of Documentation

- Multnomah County recommends Operators organize and maintain records in 4 books:
  - Resident Book
  - Facility Book
  - Medication Administration Record (MAR) book
  - Emergency Preparedness Book

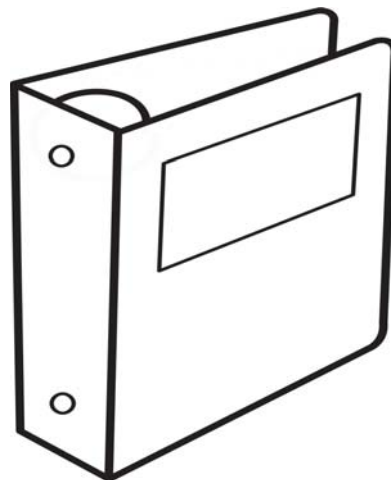
**Let's look at each book more in depth**



## Resident Book

The Resident Book should have 5 sections:

- Resident Information
- ISP and Behavior Support
- Medical Information
- Admission Information
- Progress Notes/Tracking



# Resident Book Continued

## Section I – Resident Information

- This section will include all demographic information.
- In Section I, file the following information:
  - Resident Information Sheet
  - End of Life Documentation
    - Advance Directive
    - POLST
  - Legal documents:
    - Guardianship; Conservator (Trust); Power of Attorney
    - Parole/probation



# Resident Book Continued

## Section 2 – ISP and Behavior Support

- The ISP is your contract with the individual and the ISP team regarding supports you agree to provide, based on the individual's identified risks and personal preferences.
- This section includes
  - Person Centered Information (PCI)
  - Risk Identification Tool (RIT)
  - Provider's Risk Management Strategies
  - Current ISP document
  - Dated Support Documents and Safety Plan for all risks
  - Action Plans/Discussion Records
  - Functional Behavior Assessment (FBA) and Behavior Support Plan (BSP) (if needed)
  - Exception Requests for Out of Class Resident



# Resident Book Continued

## Section 3 – Medical Information

- All documentation for identified medical supports are in this section.
  - **Physician Orders**
    - Current medication orders go in the MAR book
  - **MARs** (past 12 months)
    - Current MAR goes in MAR book
  - ***Current Protocols and Safety Plan***
  - ***Nursing Care Plans***
  - **Nursing Delegations**
  - **Balancing Tests** (Past 7 years)



# Resident Book Continued

## Section 4 – Admission Information

- This section is for all the documentation of entry to the home.
  - **Signed Residency Agreement**
  - **Signed Bill of Rights**
  - **Pre-screen form**
    - Required upon entry and if readmitted after hospital stay or jail release
  - **Personal Property Record** (Resident Possession List)
  - **Release of Information**
  - **Interagency Placement Exception Form**
  - **Referral Packet Received**



# Resident Book Continued

## Section 5 – Progress Notes/Tracking

- **All tracking of care documents are found in this section**
  - Activity Logs
  - Financial tracking
  - 1:1 staffing logs
  - Weekly Progress Reports
  - Incident Reports
  - SNAP- Support Needs Assessment Profile



## Questions on Resident Book

Write your questions on the provided notecards.

Room monitor will read questions.



# Business Records

ACHP recommends the following 7 sections be found in the Facility Book:

- Staff information
- Non-caregiver Information
- Operational
- Evacuation Drill Records
- Inspection and Permits
- Pet Vaccinations
- Multnomah County Administrative Rules (MCAR) -if in Multnomah County



15

## Business Records Continued

### Section I - Staff records

**We maintain employee records to:**

- Meet Medicaid standards for caregivers
- Provide documentation of :
  - Qualifications
  - On-going training
- Meet Bureau of Labor and Industry (BOLI) Rules



16



## Business Records Continued

### Section 1 – Staff Records: Information

**This section must contain:**

- ACHP Approval letter
- Caregiver Study Workbook/Basic Qualifying Test
- Caregiver Orientation
- Caregiver Checklist
- Copy of state Identification Card, W-4/I-9
- Timesheets/Payroll
- Job description, initial application/ disciplinary
- CPR/1<sup>st</sup> Aid –current
- Annual CEUs & Training Certificates



## Business Records Continued

### Section 2 – Non-caregiver information

- Background checks for non-caregiver people in the home
  - Any person living in the home 16 years and older
- Any person who has access to residents, resident information or residents funds within or on behalf of any entity or licensed, certified, registered or otherwise regulated....
  - Volunteer
  - Contractor
  - Landscaper
  - Etc.



# Business Records Continued

## Section 3 - Operational

This section maintains documentation for the overall **operation of the home:**

- Back-up Operator Agreement
- Operator/Resident manager absence from home
- Staffing Plans
- Weekly Menus
- Changes in Resident Manager/Shift Manager
- Caregiver notification
- Exception Forms related to home/dwelling



25

# Business Records Continued

## Section 4 – Evacuation Drill Records

## Section 5 – Inspections/Permits

- Fire drill records- day & night time
- Smoke and Carbon Alarm Monthly Testing Log
- Annual Furnace Inspections
- Fireplace Maintenance Report
- Permits for dwelling/property
- Well Water Testing



26

# Business Records Continued

## Section 6 – Pet Vaccinations

## Section 7 – MCAR

- Providers must maintain vaccination records for any animals in the home. **This includes any resident animals.**
- Section 7 – Each home must maintain a copy of the current MCAR (If in Multnomah County).



# Questions on Business Records

Write your questions on the provided notecards.

Room monitor will read questions.



## Medication Administration Record (MAR) Book/Medical Records

We maintain a separate book with the current month's MAR for each individual. In addition to the MAR, we must also keep the following in the MAR book:

- Physician Orders
- PRN specific guidelines for necessary medical issues
- Controlled Medication Administration Logs
- Drug Disposal sheets
- Self administration documentation
- Common medical abbreviations



25

## Progress Notes/Medical Records:

Progress notes are required to document significant events that occur in the client's day, week or month.

There are **5 major areas of documentation** where progress notes are used.

- Medical
- Behavior
- Financial
- ISP – goals
- Individual's interests, complaints, concerns & requests



26

# Progress Notes/Medical Records Continued

- Provide a **snapshot** of the person's life.
- A way to document all the **supports** caregivers provide above the base rate.
- Providers use progress notes to document actions the client demonstrates that are:
  - **Out of the Ordinary** (changes in personal routines)
    - Monitor & Follow-up when you think, "Hmm, I wonder what that was about"
  - **Concerning** but doesn't rise to level of an Incident Report(IR)
  - **Evolving pattern**



25

# Progress Notes/Medical Records Continued

## **Progress Notes "Do"**

- Document frequently
- In a timely manner
- Use **Objective/Observable/ 'Person First'** language
- Be a **neutral** reporter
- Use black or blue ink
- Spell things correctly
- Write legibly



26

# Progress Notes/Medical Records Continued

## Progress Notes “Don’t”

- Use personal opinion or bias
- Use jargon or acronyms unknown to others
- Edit
- Use emoticons
- Use colorful pens



25

# Progress Notes/Medical Records Continued

## Content should include:

- Date of entry.
- Late Entry: Current date, “Late Entry” and actual date of entry.
- Names of staff & the individual involved.
- NEVER include names or initials of other residents in a record that is not theirs. Use resident “A”, “B”, “C”, etc.
- Signature of staff providing entry and line to end of entry.



26

# Incident Reports/Medical Records

## **Categories of Incident Reports:**

- **911/EMS contact**
  - Any time police/fire/ambulance are called or interact with your client regardless of who contacted them.
- **Use of Restraint** (Protective Physical Intervention) or any Restriction
- **Unusual Situations**
- **Abuse**
  - Financial
  - Physical or Chemical
  - Sexual
  - Verbal Mistreatment
  - Involuntary Seclusion



35

# Incident Reports/Medical Records

## **General guidelines:**

- Always use black/blue ink
- Spell correctly
- Cross errors out with single line and initial
- Document antecedents ( describe what was happening before the incident)
- Information should be objective and measurable
- Avoid assumptions/speculation
- Use direct quotes



36

# Incident Reports/Medical Records Continued

## **Timelines** for submitting Incident Reports:

- **Notification within ONE day**
  - Suicide Attempts
  - Accident/Illness/Hospitalization
  - Death
  - Significant change in medical status
  - Unexplained/unanticipated absence from home
  - Abuse
  - Major Behavioral Incident (not/ addressed by a BSP)
  - Contact with **911** services
  - Unplanned use of Protective Physical Intervention (PPIs you are trained to use)
- **Immediate Notification**
  - Injury related to use of PPI



31

# Incident Reports/Medical Records Continued

## **Within 5 working days (no notification required)**

- Behavior incidents addressed in BSP
- Use of PPI addressed in BSP
- Non-routine Dr. visits (see notification guide)
- Reporting MAR errors
- To report 'Corrective Action' taken



32



# Questions on Medical Records

Write your questions on the provided notecards.

Room monitor will read questions.



## Emergency Preparedness Plan Book

- This binder should be **RED**
- **Emergency Preparedness Plan Template**
- **Complete and Current**
- Ensure supplies in 'to go' bags are current.
- Copies of ISP and support documents
- Copy of caregiver, back-operator training



# Facility Inspection

What does the licensor look at?

→ **Everything!**

- ◆ Access to the **entire Home and property.**
- ◆ Multiple Buildings? Licensor must inspect them.

- Locks
- Doors/Door Levers
- Required Furniture
- Storage Area
- Front and Back Yard
- Egresses



35

## Facility Inspection Continued

**And More.....**

- Covered Outdoor Area
- Fire Extinguisher
- Smoke and Carbon monoxide Detectors
- Ramps (ADA Compliant)
- Chemical Storage ie; cleaning supplies
- Food Storage
- Firearm Storage - if present
- Water Temperature
- Building Permits

→ **And More....**



36

# Questions on EPP or Facility

Write your questions on the provided notecards.

Room monitor will read questions.



## Commonly Seen Corrections

### **Standards for All Providers:**

- Proof of English Competency Test language skills (new MCAR requirement)
- Annual Continuing Education Units (CEUs)
- 2M / 2 B homes have specific training requirements
- Incomplete and Missing ISP Documents
- Balancing Test
- Emergency Preparedness Plan incomplete or missing
- Resident Activities tracking does not meet rule.
- Mandatory Fatal Four Protocols
- Caregiver Checklist
- Archived Staff Plans/ Menus



# Commonly Seen Corrections Continued

## Continuing Education Units (CEUs)

- State Approved site
  - [Approved Training Hours](#)
    - Categories in drop down menus
    - Approved for DD providers

**\*\*Refer to State site for number of CEUs approved rather than the printed certificate\*\***

For Example: State approves for 2 CEUs, trainer gives certificate for 3 CEUs



35

# Common Seen Corrections Continued

## Resident Activities:

- Make available **at least six hours of** activities each week, not including TV, movies, adult day care, or vocational programs
- Activities shall be of interest to residents and should be appropriate to resident's interests and abilities
- Residents may choose whether or not to participate in any activity



36

# Successful Approaches

## Successful Approaches to Resident Activities:

- Each week document resident's participation or refusal to participate in activities offered
- Note the amount of time resident participated in activities (example: 4 hours)
- **Activities where resident is the focus:**
  - Example: Resident loves animals, ask what types of animals; then visit to zoo, go to the aquarium, volunteer to walk dogs
- **Try new things:**
  - Example: What do you like to do? Watch movies. Let's try a movie in the park, that is new and will get us out of the house.



11

# Successful Approaches Continued

## More Successful Approaches to Resident Activities:

- Resident activities in and with the community
  - Local bars and restaurants for happy hour
  - Video arcades
  - Volunteering with organizations
  - Hiking in the park
  - Library, museum and theatre
  - Garage sales and Goodwill
  - Concerts in the park, live music

Check the Willamette Weekly for affordable events! Look at Parks & Recreation Calendar of events throughout the metro areas (lots of free events June through August).



12

# Successful Approaches Continued

## Medication Administration Record (MAR):

- PRN follow-up documentation
  - Write down date, time, reason PRN administered
  - Follow-up and document time and results of PRN (outcome)



33

## Additional Questions???

Write your questions on the provided notecards

Room monitor will read questions



34

# Review Learning Objectives

1. Understand the renewal inspection process.
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45

## Resources

### [OREGON ISP](#)

#### Recorded Webinars

- **Strategies for a Successful ISP** (6/13/2018) [Watch recording now](#)
  - Download the [slideshow](#) from this webinar
- **How to Develop and Implement Great Outcomes Together!** (5/23/2018) [Watch recording now](#)
  - Download the [slideshow](#) from this webinar
- **Risk Management Strategies** (4/25/2018) [Watch recording now](#)
  - Download the [slideshow](#) from this webinar.
- **Introduction to new issue-specific Protocols and ISP Q&A** (11/28/2017) [Watch recording now](#)
  - Get the new [Support Documents](#) and instructions.
  - Download the [slideshow](#) from this webinar.



46

# Resources Continued

## OREGON ISP

### Recorded Webinars

- **Introduction to new Support Documents** (5/23/2017) [Watch recording now](#)
  - More about the new [Support Documents](#)
- **Introduction to new Oregon ISP forms** (4/27/2017) [Watch recording now](#)
  - Handouts: Click to download [Slides](#)
  - Transcript: Click to download [Transcript](#)
  - More about the [5/2017 changes](#)
  - More about [Adobe PDF software](#)
- **Putting the Plan into Action: Implementing the ISP** (12/16/2016) [Watch now](#)



47

# Resources continued

## OREGON ISP

### Recorded Webinars

- **Using the new ISP Attachment & provided resources** (June 2016) [Watch now](#)
- **Risk Identification & Risk Management Responsibilities for Provider Organizations** (9/30/2015) [Watch now](#)

### Oregon ISP Online:

#### Module 1: What's in Your Plan? (click on the link)

Want to learn more about the Oregon ISP process? Watch this online course designed for people who have an Individual...



48



# Resources Continued

[Oregon ISP Online:](#)

## **Module 2: Basic Introduction to the Oregon ISP (click on the link)**

This module introduces you to the process of gathering person centered information, the purpose of the Risk Identification Tool...

## **Module 3: ISP Walk-through (click on the link)**

A walk through Oregon's Individual Support Plan with Overviews, Role-specific information, and Examples for each section.



15

# Resources Continued

[Oregon ISP Online:](#)

## **Module 4: Implementing the ISP(click on the link)**

This module provides a detailed look at implementing the ISP, including developing Action Plans. The module also includes information about...

## **Module 5: Risk Management Strategies (click on the link)**

This module explains a person-centered approach to managing known risks. It also covers supporting challenging behaviors. The Provider Risk Management...



16

# Resources Continued

[Oregon ISP Online:](#)

## **Module 6: Desired Outcomes (click on the link)**

This module presents strategies for developing meaningful desired outcomes.

## **Module 7: Strategies for a Successful ISP & FAQ (click on the link)**

This module presents answers to many questions we've received since the Oregon ISP process rolled out. These answers provide valuable...



# Self Care During The Renewal Visit

## **Don't Panic**

- We understand the process of Licensing can be stressful.
- Remember to care for yourself during a licensing visit.
- Take a Break.
- We know you are working, ask for documents you need to complete your work.



