

**Division of Senior and Disability Services**  
**Adult Day Services Standards**  
**July 1, 2003**

**Definition:**

Adult day services is the provision of an organized program of services during the day in a community group setting for the purpose of supporting an adult's personal independence, and promoting his or her social, physical and emotional well-being. Adult day services provide a variety of program activities designed to meet the individual needs and interests of the participants, and referral to and assistance in using appropriate community resources. Adult day services help clients remain in their communities and allows families and other caregivers to continue caring for them at home.

**Goals:**

Adult day programs in Alaska strive to:

- Promote the individuals level of functioning and independence in a therapeutic setting.
- Provide support, respite and education for families and other caregivers.
- Provide opportunities for social interaction.
- Serve as an integral part of the community service network.

**Service Provider Qualifications:**

All agencies funded to provide adult day services using Division of Senior and Disabilities Services (DSDS) grant funds or by certification as a home and community based provider for Medicaid waiver billing shall meet the minimum standards as stated in this document.

**Service Eligibility Criteria:**

1. Persons who need the following may be eligible for adult day services:
  - A. Assistance and supervision due to physical, emotional, or cognitive impairments, such as those who require:
    - assistance with activities of daily living,
    - health monitoring and supervision on a regular basis,
    - assistance overcoming difficulties associated with functional limitation or disabilities; and/or
    - support making transitions between living situations
    - support while receiving other therapeutic interventions
    - without program intervention, are at risk of physical deterioration or institutionalization

2. Persons are eligible for individual adult day programs dependent upon several factors including funding source(s), staffing levels, and appropriateness of placement.
3. Funding Source Requirements. Persons identified in 3 A., B., and C. are eligible for adult day programs funded by DSDS grants. Persons identified in 3 D. and E. below are eligible for adult day care services if their cost of care is paid in full by some source other than DSDS grant funds.
  - A. persons 60 years of age or older; or
  - B. persons 55 years or older who are at risk of institutional placement; or
  - C. persons of any age who have Alzheimer's Disease or a related disorder; or
  - D. adults 18 years of age or older with similar disabilities and service needs to older Alaskans who are at risk of institutional placement. Such persons must have service needs that are compatible with current adult day participants so that the provision of care is of benefit to other participants and does not diminish services to the primary groups of persons being served.
  - E. other persons determined appropriate for the provision of services based on other criteria set by the agency.
4. Under a Medicaid home and community-based waiver, residents of skilled nursing facilities or Pioneers' Homes are not eligible for adult day services. Under other DSDS funding sources, adult day participants who are making a transition to a nursing facility or Pioneers' Homes may be served during the transition phase.
5. Generally, adult day services may not meet the needs of persons with the following conditions:
  - medical conditions that are beyond the professional expertise of the staff.
  - bedfast or too weak to attend on a regular basis
  - actively infected with a communicable disease
  - emotional or behavioral disorders that include a pattern of disruptive behaviors that pose a danger to others
  - abusive use of alcohol and/or drugs
  - too independent to benefit from adult day activities

## **Administrative Standards:**

### **A. Governing Body:**

1. The administering agency shall have a governing body with full legal authority and fiduciary responsibility for the overall operation of the program in accordance with applicable state and federal requirements.
2. The governing body shall have a method to assure client and family input on matters pertaining to administration of program activities.
3. The agency shall have an organizational staffing chart that shows the lines of authority and communication channels.
4. A program director shall be appointed and given full authority and responsibility to plan, staff, direct and implement the program and manage the center's day-to-day operations. In the absence of the director, a staff member shall be designated to supervise the program.

### **B. Plan of Operation:**

1. Program Goals: The program shall have stated goals to guide the character of the services given. These goals shall be in writing and consistent with the definition of adult day services.
2. Target Population:
  - a. Each adult day center shall define the target population(s) it intends to serve.
  - b. Each center shall have a mission and philosophy statement that reflects the needs of the participants and the care and services it is committed to providing.
  - c. Each adult day center shall serve only participants whose needs while at the center do not exceed the center's resources and not serve those who would be served more appropriately in a different setting.
3. Hours and Days of Operation:
  - a. The hours and days of operation will strive to meet the needs of the participants and their families.
  - b. The program must operate for a minimum of five (5) hours each day. Late openings or early closures may be scheduled on days when hazardous weather condition exists or when emergency situations arise.
  - c. Adult Day services shall provide care and activities at least three (3) days per week, except that a facility may be closed for designated holidays or for hazardous weather conditions or other emergencies.
4. Medications: The program shall have a policy on medications, specifying that participants who are able to keep their medicines shall keep them safely and that the program will keep medicines of participants who are unable to be responsible for their own.
5. Costs of services: Clients must be charged the full cost of service (units of service as defined by the service provider-full day, half-day or hourly), although a portion thereof may be discounted based on the client's income or special circumstances according to an established fee schedule. If the client has insurance or is eligible for any relevant benefits, those benefits must be sought, and the cost of service must be charged to the third party payor. If the client is a legal dependent of

- another party for tax purposes, the other party's income must be considered in calculating the amount to be charged according to the fee schedule. Family contributions may be considered to fulfill cost of services.
6. Insurance: The agency shall provide workers' compensation insurance; comprehensive general liability insurance; and comprehensive automobile liability insurance, if automobiles are used as part of the provision of services. All insurance coverage shall be at least at the minimum levels required by law.
  7. The agency shall comply with all federal, state, and local laws requiring nondiscrimination and accessibility in employment, communication and service delivery to persons with disabilities.
  8. Personnel policies and their content are the responsibility of each adult day center. Each center is required to state its policies in writing.

### **C. Records Policies and Practices:**

1. Participant Records: The agency shall not disclose information about a participant in a form that identifies the person without the consent of the participant or his or her legal representative, unless the disclosure is required by court order or for program monitoring by authorized federal and state monitoring agencies.

- a. The agency shall maintain a participant record system that includes, but is not limited to:
  1. A written policy on the confidentiality and protection of records which states the use and conditions for removal of records, conditions for release of information and client authorization for release of information not otherwise authorized by law.
  2. A written policy providing for the retention and storage of records as required for audit purposes and in the event the program discontinues operation.
  3. Maintenance and storage of records in a manner that is confidential and secure.
  4. All agencies shall maintain client records in compliance with current HIPPA and Medicaid guidelines and regulations as they apply.

2. Administrative Records: The agency shall maintain administrative records which include personnel, fiscal, statistical, regulations, government-related, contracts, results of utilization review and care plan audits, board meeting minutes, certificates of annual fire and health inspections, incident reports and historical record of policies and procedures.

- a. The agency shall maintain complete, accurate, and current program and financial records of service activities for an audit. All required records shall be maintained for three years after the date of submission to the Division of Senior and Disabilities Services the grantee's annual or final financial status report or its equivalent.
- b. The agency shall provide federal and state officials and independent auditors access to financial and program records.

**D. Financial Plan:**

1. The agency shall maintain a system of fiscal accountability accord to generally accepted accounting procedures.
2. A fee schedule shall be formally established and should include any eligibility for discounts, waiver, or deferral of payment.

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17. A formal governing body shall have full legal authority and responsibility for the operation of the agency.
18. Board meetings shall be open to the public.
19. The agency shall have established policies and procedures for dealing with conflicts of interest. Should a member of the governing body have a conflict of interest, the agency shall show evidence of procedures that document the disclosure of the conflict and removal of the conflict or a determination that the conflict is not material.
20. If the agency receives a grant for these services from the State of Alaska, the State of Alaska shall be named as additional insured for liability insurance of any kind. The State of Alaska, its officers, agents, and employees shall be indemnified, held harmless, and defended from all liability, including costs and expenses, for all actions or claims resulting from injuries or damages sustained by any person or property arising directly or indirectly as a result of any error, omission, or negligent act of the provider, provider's subcontractors, or anyone directly or indirectly employed by them in the performance of this grant project.

**Personnel Policies and Practices:**

1. Each staff member shall be competent, ethical, and qualified for the position held. Staff shall hold personal information about participants in strict confidence and shall treat all participants with respect and dignity.
2. There shall be a written job description for each position, full or part time. The job description shall specify:
  - a. qualifications of education, experience, and personal traits
  - b. to whom employee is responsible
  - c. duties and responsibilities
  - d. salary range
3. Each employee shall receive:
  - a. A copy of his/her job description that specifies:
    - Qualifications for the job;
    - Duties and /or responsibilities;
    - Title of supervisor;
  - b. Recruitment, hiring, performance and evaluation procedures, probation, dismissal, grievance procedures, salary range and benefits, leaves policies, and promotion opportunities
4. There shall be an established review process for each employee at least annually and following any probationary period.
5. Individual Provider Standards:

Each individual providing adult day services as an employee or contractor shall meet the following standards:

Standard	Documentation
1) Be at least 21 years of age if the individual will serve as a supervisor of other care providers; 18 years of age if the individual will serve as a care provider working without direct supervision; or 16 years of age if the individual will serve only as a care provider and has access to assistance from the administrator or another care provider who is at least 21 years of age.	If age is in question, the individual shall provide proof of age (birth certificate, driver's license).

2) Be free health conditions that would pose a substantial safety or health risk to others.	The individual shall provide a statement attesting to his/her status relative to this standard and provide the results from a state regulated TB screening that has been given within a year from the hire date or last TB screening.
3) Have adequate skills, education, and experience to serve the population in a manner consistent with the philosophy of the adult day center.	All staff and volunteer who have contact with and responsibility for special populations should receive specific training in serving that population. References, including former employers, shall be required and contacted in recruitment of staff. CPR/First Aid Certification shall be required of at least one staff on duty at all time.
4) Not have been convicted in any jurisdiction for abuse, neglect, or any other crime, excluding misdemeanors or traffic violations, that would pose a safety or health risk to the participant.	The individual shall provide a statement attesting to his/her status relative to this standard; and, maintain the results of a background check conducted by a federal or state agency.

6. The designated program director shall have skills in administration, planning, coordination, supervision, counseling, and in the delivery of adult day services or other services to the elderly. Hiring preference shall be given to a degreed professional with a background in the social service or health fields.
7. The program shall have as a staffing goal to have a nurse on staff or as a consultant. Nurse must be an RN or LPN with valid state credentials.
8. Person(s) responsible for the client assessment, development of a care plan, client monitoring, reassessment, and discharge plan must be a nurse, social worker, mental health professional, a certified care coordinator, or someone with similar or relevant experience.

9. Staff to participant ratio:

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- A. Adult day care providers shall meet a staff to participant ratio of a minimum of one to eight. Volunteers may be used and included in the staff to participant ratio only when they conform to the same standards as paid staff.
- B. Programs that serve a higher percentage of ADRD participants shall have a higher ratio of staff to participants of approximately one to four.
- C. Only staff involved in direct service to participants can be used in determining the adequate staff to participant ratio.

- D. Substitute or volunteer staff may be used to provide care in the absence of regular staff. The required staff to participant ratio shall be maintained.
7. Two staff, one of which may be a volunteer, must be present at all times during operation of the program.
  8. Staff Training: All paid and volunteer staff shall be provided:
    - A. general orientation to the facility (location, staff, activities, etc.)
    - B. information on fire and safety measures/codes
    - C. overview of participants and activities
    - D. information on other staff training opportunities
  9. The agency shall maintain a system for periodic review and revision of all job descriptions.
  10. The pre-employment screening process shall include background and criminal checks, and follow-up on personal and professional references.
  11. The agency's personnel system shall comply with all applicable laws, statues, regulations, and equal employment opportunity mandates.
  12. The agency shall provide an orientation to employees that transmit the agency values, philosophy, and mission.
  13. The agency shall inform staff of all laws, policies, procedures, and individual reporting responsibilities regarding client abuse, neglect, and mistreatment, prior to actual service delivery.
  14. The agency shall periodically assess the need for specific staff training programs.
  15. The agency shall comply with all mandatory personnel licensure and training schedules.
  17. The agency shall have an evaluation system that:
    - provides performance appraisal and feedback to the employee and an opportunity for employee feedback to the agency and
    - adheres to an annual timeline for performance appraisal.

**Program Standards:**

1. Each program shall develop a participant case file which consists of:
  - A. Basic personal information and emergency contacts.
  - B. An assessment of the participant's functional, health, and social needs.
    1. A reassessment of the individual's needs and a re-evaluation of the appropriateness of care plans shall be done when needed-but at least semi-annually.
  - C. An individual care plan based on the assessment and signed by the participant or legal representative.
  - D. Service contract and consent for services form (includes meals and transportation plans).
  - E. Cost for services and sliding scale fee determination.
  - F. Progress notes, which shall be written and maintained as part of each participant's record.
  - G. A discharge plan which includes the participant's status, recommendations for continuing care, referrals to community service agencies and necessary follow-up when the participant leave the program
  - H. A copy of the participants advanced directives and other essential legal documentation.
  - I. Release of information.
  - J. A signed copy of the participants rights and responsibilities.
2. Services and activities. Each program shall:
  - A. Involve the participant, family, caregiver, and other appropriate professionals in the assessment, development of the plan of care, daily activities, and discharge of participants whose needs can no longer be met by the program.
  - B. Provide information to participant and their caregivers, as appropriate, regarding Power of Attorney, Living Wills, and Comfort One.
  - C. Provide assistance with activities of daily living (walking, eating, toileting, and supervision of personal hygiene).

- D. Plan individual and group activities that are suitable to the needs and abilities of the participants. When possible, activities shall be planned jointly by staff and participants. All program activities shall be supervised by program staff.
- E. If a midday meal is provided by the program it must meet one-third of the recommended daily allowance as established by the food and Nutrition Board of the National Academy of Sciences - National Research Council and snacks, as appropriate, to meet the nutritional needs of the participants. Meals provided by family members are not subject to National Research Council standards.
- F. Coordinate transportation to enable participants to attend the program.
- G. Encourage and/or arrange for appropriate client contacts with health and therapeutic professionals.
- H. Initiate the following procedures for administration and management of participants' medications:
  - 1) Under no circumstances shall staff administer a participant's medications, unless the staff person is a licensed or certified professional whose scope of practice includes the ability to administer medications, such as a RN.
  - 2) Participants shall bring and take their own medications. Medications may be kept for participants during the time he or she is present at the program. Documentation of each participant's medication(s) and arrangements for administration shall be maintained in the participant's case file.

Staff may supervise participants' self-administration of medications by:

- a) reminding residents to take medication;
- b) opening bottle caps for participants;
- c) opening prepackaged medication for participants;
- d) reading the medication labels to residents;
- e) observing participants while they take medication;
- f) checking the self-administered dosage against the label of the container;
- g) reassuring participants that they have obtained and are taking the dosage as prescribed; and
- h) directing or guiding the hand of a legally competent participant who is administering his or her own medications.

- 3) Medications shall be kept in containers in which they were dispensed from the pharmacy that are clearly labeled with the participant's name, name and strength of the medication, and the dosage and instructions for administration. Exceptions to this may occur if the family sends only the participant's medications required for the day or a week at a time. Under these circumstances, the participant's name, medication(s) name, time and amount of dosage must be written on the packet.
  - 4) If possible, participants shall keep their medications on themselves, otherwise, their medications shall be placed in a safe, locked place.
3. Safety Provisions. The program shall:
- develop an evacuation plan
  - provide services in a ground-level facility unless the fire marshal has approved a method of rapidly evacuating clients from a high level in the facility
  - if transportation is provided by the program, routinely check vehicles to assure the operability of all seatbelts and means for fastening wheelchairs in place
4. Emergency Plan. A written procedure for handling emergencies shall be posted in the facility and program vehicles. To respond to emergencies:
- A. The participant's file shall include a written agreement with the participant or family regarding arrangements for emergency care and ambulance transportation.
  - B. A conspicuously displayed notice shall indicate fire procedures plus signs designating emergency evacuation routes; regularly scheduled fire drills shall be conducted at the center; staff and volunteers shall be trained in evacuation procedures.
  - C. Training shall be provided for program staff and participants in emergency procedures, with at least one on-duty staff member trained in first aid and cardiopulmonary resuscitation.
5. When the program provides transportation, drivers must hold valid Alaska licenses to operate the vehicle being used. The vehicle must be covered by comprehensive automobile liability insurance in at least the minimum amount and type required by law.
6. Adult Day service providers shall coordinate with other community agencies to maximize a continuum of care for the participant as appropriate.
7. A list shall be maintained for persons waiting to receive services.

## **Facility Standards:**

### 1. Atmosphere and Design:

The facility shall be designed and furnished with primary consideration given for the special needs and interests of the population to be served and the activities and services to be provided.

- A. A facility shall be designed to accommodate individuals with disabilities in conformance with the requirements of the Americans with Disabilities Act and Section 504 of the Rehabilitation Act of 1973 and any applicable Alaska or local accessibility requirements. Existing facilities shall use this as a goal in improving handicapped access.
- B. Illumination levels in all areas shall be adequate, and careful attention shall be given to avoiding glare.
- C. Noise levels shall be controlled. Methods of sound control include acoustical ceiling surfaces, partitions between activity areas, separation of noisy rooms such as the kitchen, etc.
- D. Heating, cooling, and ventilation system(s) shall afford comfortable conditions for the participants.
- E. The design shall facilitate the participants' movement throughout the center and involvement in activities and services.
- F. Sufficient furniture shall be available to accommodate the number of enrolled adult day service participants.
- G. Furniture and equipment to be used by participants shall be selected both for comfort and safety and to enhance personal independence of participants.
- H. A telephone shall be available for participants to use.

### 2. Location and Space.

- A. The facility shall comply with all applicable building codes and zoning requirements.
- B. The facility shall be located at an accessible and suitable location.
- C. When possible, the facility shall be located at ground level. Adequate ramps and/or elevators shall be available as needed.
- D. Each adult day center, where it is co-located in a facility housing other services, shall have its own separate identifiable space.

- E. The facility shall have sufficient space to accommodate the full range of program activities and services including:
  - 1) At least 60 square feet of program space for each adult day participant.
  - 2) Sufficient flexibility and adaptability for large and small groups and for individual activities and services.
  - 3) Adequate storage space.
  - 4) At least one toilet for every 10 participants, easily accessible from all program areas.
  - 5) A designated rest area, whether segregated or part of a common usage area.
  - 6) An area designated as an office that shall permit staff to work effectively and where confidential matters can be discussed.
  - 7) A parking area shall be available for the safe daily arrival and departure of participants.
  - 8) Space shall be available for outdoor activities, when appropriate.
  - 9) Space, such as closets and separate lockers, for outer garments and private possessions shall be provided for participants.
- 3. Safety and Sanitation. The facility and grounds shall be safe, clean and accessible to all participants.
  - A. The facility shall be designed, constructed, operated and maintained in compliance with all applicable local, state, and federal health and safety requirements.
  - B. The program shall make arrangements as necessary for the security of the participants in the facility, including:
    - 1) Appropriate and locked storage space for medications shall be provided.
    - 2) At least two means of exit, at least one of which is a door or stairway with an unobstructed route to the outside of the building, shall be provided.
    - 3) Non-slip surfaces or carpets shall be provided on stairs, ramps, and interior floors.
    - 4) Outside lighting shall be available at facility entrances and grounds.
    - 5) The facility shall be free of hazards, such as high steps, steep grades, exposed electrical cords, etc. When necessary, arrangements shall be made with local

authorities to provide safety zones for those arriving by motor vehicle and adequate traffic signals for pedestrian crossings.

- C. Safe and sanitary handling, storing, preparation, and serving of food shall be assured.
- D. Procedures for fire safety shall be adopted and posted, including provision for fire drills, inspection, and maintenance of fire extinguisher.
- E. Emergency first aid kits shall be visible and accessible.
- F. All staff shall use universal precautions.
- G. Maintenance and housekeeping shall be carried out on a regular schedule and in conformity with generally accepted standards, without interfering with the program.
- H. Smoking shall be permitted only in an adequately ventilated area away from the main program area or in compliance with local smoking ordinances.

#### **Quality Assurance and Program Evaluation:**

Each adult day care program shall conduct an internal evaluation, at least annually, of its operation and services. A written report of the evaluation shall be kept on file. The evaluation shall include:

1. Involvement of the governing body, and to the extent considered appropriate by the governing body, the program director, staff, participants, families/caregivers, advisory body, and other relevant agencies/organizations.
2. Review of the extent to which the program assisted participants and their families and caregivers.
3. Measurement of the achievement of goals and objectives.
4. Outcome measures as designed by the agency. (May include client satisfaction and/or caregiver surveys)
5. Assessment of the cost-effectiveness of the program.
6. Assessment of the relationship of the program to the rest of the community service network.
7. Recommendations for improvement, corrective action of problem areas, and future program directions.

**Standard Alternatives:**

Agencies may seek a waiver from specific requirements under these standards by submitting a written request to DSDS specifying what standard would be waived and describing how the agency proposes to meet the intent of the standard before implementing the proposed alternative. DSDS will inform the agency of approval or disapproval of the proposed alternative.