

NEW YORK STATE
DEPARTMENT OF SOCIAL SERVICES

40 NORTH PEARL STREET, ALBANY, NEW YORK 12243-0001



BRIAN J. WING
Acting Commissioner

May 13, 1997

Dear ALP Operator:

Since June 1994 operators of Assisted Living Programs (ALPs) have been using the Assisted Living Program Assessment forms (DSS 4449 A-E) to evaluate ALP applicants/residents as required. These forms include an ALP Screen (DSS 4449 A), Identifying Information (DSS 4449 B), a Medical Evaluation (DSS 4449 C 1-4), Nursing/Functional/Social Assessment (DSS 4449 D 1-3), and a Summary (DSS 4449 E). They are just a part of the larger assessment package made up of all pertinent information available on an applicant/resident. In response to recommendations and suggestions from the ALP community and in conjunction with ALP operators, the forms have been revised to better serve the program.

One of the overall goals in revising the forms was to streamline the process and the forms as much as possible. To this end, several major changes have been effected. Previously the Long Term Care Screening Instrument (Screen DOH-695) had been required along with a Patient Review Instrument (PRI) at the initial assessment. While the PRI continues to be required in the assessment process, the Screen is not. Enclosed are the revised forms along with new interim forms which may be used for specific evaluations. The assessment forms include the following revisions:

ALP Screen (DSS 4449 A) and Summary (DSS 4449 E) - these forms are no longer required. ALP operators are still required to admit only an appropriate resident whose needs can be met in the ALP. But they no longer need to use these forms to document that they have screened the applicant or to summarize whether or not the applicant is appropriate for the ALP.

Identifying Data (DSS 4449 B) - this form has been modified to make it more usable as the Identifying Data sheet for the ALP. For ALP residents, it may be requested by the local district to be included in the initial ALP application package for MA authorization purposes. Changes should be made to the form as they occur, but it does not have to be sent to the local district with each reassessment package, unless requested by the local district.

This form may be used by adult home and enriched housing program operators instead of the Personal Data Sheet (DSS 2949) if desired. Adult home and enriched housing program operators who choose to use the Identifying Data (DSS 4449 B) instead of the Personal Data (DSS 2949) must first inform the appropriate Regional Office of their intent and the effective date they choose to do so, in writing.

Medical Evaluation (DSS 4449 C1-2) - this form has been revised from a four to a two page form. It is to be completed for the initial evaluation, whenever there is a change in the resident's RUG category as determined on a Patient Review Instrument (PRI), and at least once every twelve months after the resident's last full assessment has occurred.

This form may be used by adult home and enriched housing program operators instead of the Medical Evaluation (DSS 3122) if desired. Adult home or enriched housing program operators who choose to use the Medical Evaluation (DSS 4449 C1-2) instead of the Medical Evaluation (DSS 3122) must first inform the appropriate Regional Office of their intent and the effective date they choose to do so, in writing.

Nursing/Functional/Social Assessment (DSS 4449 D1-2) - this form has been revised from a three to a two page form. It is to be completed for the initial evaluation, when there is a change in the resident's RUG category as determined on a PRI, and at least once every twelve months after the resident's last full assessment has occurred.

Interim Evaluations - Statute and regulation require that residents of an ALP have an initial assessment within 30 days prior to admission, a reassessment no later than 45 days after admission, and reassessments no less frequently than every six months thereafter. A resident also needs to be reassessed as changes in the resident's condition or required services warrant. In order to streamline the reassessment and documentation process as much as possible, interim evaluation forms have been developed. These abbreviated forms may be used at the 45 day and six month reassessments if the resident's condition has not significantly changed, i.e., there is no change in the resident's RUG category.

Enclosed are two options for approved ALP interim assessment forms. One option is the Assisted Living Program Interim Assessment, a one page form that combines a Medical Evaluation and a Nursing/Functional/Social assessment. It documents the assessments conducted by the resident's physician, the registered nurse from the ALP, and the registered nurse from either the certified home health agency (CHHA) or the long term home care services program (LTHHCP).

The second option consists of two one-page forms - a Medical Evaluation - Interim and a Nursing/Functional/Social Assessment - Interim that are to be used in conjunction with each other. They also document the assessments conducted by the resident's physician, the registered nurse from the ALP, and the registered nurse from either the CHHA or the LTHHCP but on two separate forms.

At least once every 12 months a full reassessment must be obtained using the non-interim forms, i.e., the Medical Evaluation (DSS 4449 C1-2) and the Nursing/Functional/Social Assessment (DSS 4449 D1-2).

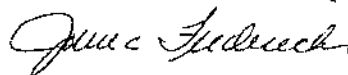
For illustration purposes only, a schedule of assessments follows. (It assumes that there is no change in the resident's condition that would require a reassessment more frequently than the statutorily required cycle.)

- Initial - (this occurs within 30 days prior to admission) must use the Medical Evaluation (DSS-4449-C1-2) and the Nursing/Functional/Social Assessment (DSS-4449-D1-2); obtain a current PRI;
- 45 Day - (this occurs no later than 45 days from the date of admission) may use the Assisted Living Program Interim Assessment OR the Medical Evaluation - Interim and the Nursing/Functional/Social Assessment - Interim; may review, initial & date the PRI obtained for the Initial assessment;
- 6 Month - (this occurs no more than six months after the 45 day reassessment) may use the Assisted Living Program Interim Assessment OR the Medical Evaluation - Interim and the Nursing/Functional/Social Assessment - Interim; may review, initial & date the PRI obtained for the Initial assessment;
- 12 Month - (this occurs no more than 12 months after the 45 day reassessment) must use the Medical Evaluation (DSS 4449 C1-2) and the Nursing/Functional/Social Assessment (DSS 4449 D1-2); obtain a current PRI;
- 6 Month - (this occurs no more than six months after the 12 month reassessment) may use the Assisted Living Program Interim Assessment OR the Medical Evaluation - Interim and the Nursing/Functional/Social Assessment - Interim; may review, initial & date the PRI obtained for the 12 month reassessment;
- 12 Month - (as stated above)

The cycle would continue as outlined above unless the resident needs to have a complete reassessment at any time due to a significant change in condition i.e., a change in RUG category on the PRI. If that occurs, the cycle starts over with a 6 month reassessment being the next one due.

Operators may use the revised ALP assessment forms and procedures immediately. Until the revised forms are available via the Department's Office of Forms and Publication, please reproduce the enclosed forms for your own use. Operators will be advised when Department forms are available. As with any Department forms, an operator may amend these forms to include particular data elements by submitting an amended form and a waiver request for its use to the appropriate regional office.

Sincerely,



John C. Fredericks
Associate Commissioner
Office of Housing & Adult Services