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Title 22@ Social Security

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Division 6@ Licensing of Community Care Facilities

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Chapter 8@ Residential Care Facilities for the Elderly (RCFE)

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Article 15@ Administrator Certification Training Programs - Vendor Information

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Section 87785@ Initial Certification Training Program Vendor and Program Approval Requirements

## **87785 Initial Certification Training Program Vendor and Program Approval Requirements**

### **(a)**

Initial Certification Training Programs shall be approved by the Department prior to being offered to applicants for licensure or administrator certification.

### **(b)**

Any vendor applicant seeking approval of an Initial Certification Training Program shall submit a written request to the Department's Administrator Certification Section using the Request for Course Approval form LIC 9140 and the Vendor Application/Renewal form LIC 9141. The request shall be signed by an authorized representative of the vendor applicant certifying that the information submitted is true and correct, and contain the following: (1) Name, type of entity, physical address, e-mail address, and phone number of the vendor applicant requesting approval and the name of the person in charge of the program. (2) Subject title, classroom hours, proposed dates, duration, time, location and proposed instructor of each component. (3) Written description and educational objectives for each subject matter component, hourly topical outline, teaching method, and description of course and participant evaluation methods. (A) The use of videos, videotapes, video clips, or other visual recordings are permitted as media teaching aids in an Initial Certification Training Program but shall not, in themselves, constitute the Program or any subject matter component thereof. (4)

Qualifications of each proposed instructor as specified in Section 87785(i)(7). (5) Locality(ies) in which the Training Program will be offered. (6) A list and the locations of records to be maintained, pursuant to Section 87785(i)(5). (7) A statement of whether or not the vendor applicant and each proposed instructor held or currently holds a license, certification or other approval as a professional in a specified field and the certificate or license number(s). (8) A statement of whether or not the vendor applicant and each proposed instructor held or currently holds a State-issued care facility license or was or is employed by a State-licensed care facility and the license number. (9) A statement of whether or not the vendor applicant and each proposed instructor was the subject of any legal, administrative, or other action involving licensure, certification or other approvals as specified in Sections 87785(b)(7) and (8). (10) A non-refundable processing fee of one hundred-fifty dollars (\$150).

**(1)**

Name, type of entity, physical address, e-mail address, and phone number of the vendor applicant requesting approval and the name of the person in charge of the program.

**(2)**

Subject title, classroom hours, proposed dates, duration, time, location and proposed instructor of each component.

**(3)**

Written description and educational objectives for each subject matter component, hourly topical outline, teaching method, and description of course and participant evaluation methods. (A) The use of videos, videotapes, video clips, or other visual recordings are permitted as media teaching aids in an Initial Certification Training Program but shall not, in themselves, constitute the Program or any subject matter

component thereof.

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**(4)**

Qualifications of each proposed instructor as specified in Section 87785(i)(7).

**(5)**

Locality(ies) in which the Training Program will be offered.

**(6)**

A list and the locations of records to be maintained, pursuant to Section 87785(i)(5).

**(7)**

A statement of whether or not the vendor applicant and each proposed instructor held or currently holds a license, certification or other approval as a professional in a specified field and the certificate or license number(s).

**(8)**

A statement of whether or not the vendor applicant and each proposed instructor held or currently holds a State-issued care facility license or was or is employed by a State-licensed care facility and the license number.

**(9)**

A statement of whether or not the vendor applicant and each proposed instructor was the subject of any legal, administrative, or other action involving licensure, certification or other approvals as specified in Sections 87785(b)(7) and (8).

**(10)**

A non-refundable processing fee of one hundred-fifty dollars (\$150).

**(c)**

Initial Certification Training Program approval shall expire two (2) years from the date the Initial Certification Training Program vendorship is approved by the Department.

**(d)**

A written request for renewal of the Initial Certification Training Program shall be submitted to the Department's Administrator Certification Section using the Request for Course Approval form LIC 9140 and the Vendor Application/Renewal form LIC 9141, and shall contain the information and processing fee specified in Section 87785(b). (1) A vendor must have a current approved Residential Care Facilities for the Elderly Initial Certification Training Program in order to renew its Residential Care Facilities for the Elderly Initial Certification Training Program vendorship.

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**(e)**

If a request for approval or renewal of an Initial Certification Training Program is incomplete, the Department shall, within thirty (30) days of receipt, give written notice to the vendor applicant that: (1) The request is deficient, describing which documents or information are outstanding and/or inadequate, and informing the vendor applicant that the information must be submitted within thirty (30) days of the date of the notice.

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**(f)**

If the vendor applicant does not submit the requested information within thirty (30) days, the request for approval or renewal shall be deemed withdrawn provided that the Department has not denied or taken action to deny the request.

**(g)**

Within thirty (30) days of receipt of a complete request for an approval, the Department shall notify the vendor applicant in writing whether the request has been approved or denied.

**(h)**

The Residential Care Facilities for the Elderly Initial Certification Training Program shall consist of the following components: (1) A minimum of eighty (80) hours of coursework, including at least sixty (60) classroom hours of in-person instruction in a classroom setting, as defined in Sections 87101(c)(6) and (7), with the following uniform Core of Knowledge curriculum: (A) Eight (8) hours of instruction in laws, including regulations, policies, and procedural standards that impact the operations of residential care facilities for the elderly. (B) Six (6) hours of instruction in business operations. (C) Six (6) hours of instruction in management and supervision of staff. (D) Seven (7) hours of instruction in the psychosocial needs of the elderly. (E) Eight (8) hours of instruction in the physical needs of the elderly. (F) Two (2) hours of instruction in the use of community and support services to meet residents' needs. (G) Eight (8) hours of instruction in medication management, including the use, misuse and interaction of drugs commonly used by the elderly, including antipsychotics, and the adverse effects of psychotropic drugs for use in controlling the behavior of persons with dementia. (H) Ten (10) hours of instruction in resident admission, retention, and assessment procedures.

(I) Eight (8) hours of instruction in the care of residents with Alzheimer's Disease and other dementias, including nonpharmacologic, person-centered approaches to dementia care. (J) One (1) hour of instruction in cultural competency and sensitivity in issues relating to the underserved aging lesbian, gay, bisexual, and transgender community. (K) Four (4) hours in managing the physical environment, including maintenance and housekeeping. (L) Four (4) hours in residents' rights, and the importance of initial and ongoing training for all staff to ensure residents' rights are fully respected and implemented. (M) Eight (8) hours in postural supports, restricted health conditions, and hospice care. (2) A standardized exam developed and administered by the Department. (A) Individuals completing an Initial Certification Training Program must pass the exam with a minimum score of seventy percent (70%). (B) The exam questions shall reflect the hour value of the Core of Knowledge areas specified in Sections 87785(h)(1) and further detailed in the Core of Knowledge Standards chart incorporated in Section 87102(k).

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used by the elderly, including antipsychotics, and the adverse effects of psychotropic drugs for use in controlling the behavior of persons with dementia. (H) Ten (10) hours of instruction in resident admission, retention, and assessment procedures. (I) Eight (8) hours of instruction in the care of residents with Alzheimer's Disease and other dementias, including nonpharmacologic, person-centered approaches to dementia care. (J) One (1) hour of instruction in cultural competency and sensitivity in issues relating to the underserved aging lesbian, gay, bisexual, and transgender community. (K) Four (4) hours in managing the physical environment, including maintenance and housekeeping. (L) Four (4) hours in residents' rights, and the importance of initial and ongoing training for all staff to ensure residents' rights are fully respected and implemented. (M) Eight (8) hours in postural supports, restricted health conditions, and hospice care.

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Eight (8) hours of instruction in laws, including regulations, policies, and procedural standards that impact the operations of residential care facilities for the elderly.

**(B)**

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**(C)**

Six (6) hours of instruction in management and supervision of staff.

**(D)**

Seven (7) hours of instruction in the psychosocial needs of the elderly.

**(E)**

Eight (8) hours of instruction in the physical needs of the elderly.

**(F)**

Two (2) hours of instruction in the use of community and support services to meet residents' needs.

**(G)**

Eight (8) hours of instruction in medication management, including the use, misuse and interaction of drugs commonly used by the elderly, including antipsychotics, and the adverse effects of psychotropic drugs for use in controlling the behavior of persons with dementia.

**(H)**

Ten (10) hours of instruction in resident admission, retention, and assessment procedures.

**(I)**

Eight (8) hours of instruction in the care of residents with Alzheimer's Disease and other dementias, including nonpharmacologic, person-centered approaches to dementia care.

**(J)**

One (1) hour of instruction in cultural competency and sensitivity in issues relating to the underserved aging lesbian, gay, bisexual, and transgender community.

**(K)**

Four (4) hours in managing the physical environment, including maintenance and housekeeping.

**(L)**

Four (4) hours in residents' rights, and the importance of initial and ongoing training for all staff to ensure residents' rights are fully respected and implemented.

**(M)**

Eight (8) hours in postural supports, restricted health conditions, and hospice care.

**(2)**

A standardized exam developed and administered by the Department. (A) Individuals completing an Initial Certification Training Program must pass the exam with a minimum score of seventy percent (70%). (B) The exam questions shall reflect the hour value of the Core of Knowledge areas specified in Sections 87785(h)(1) and further detailed in the Core of Knowledge Standards chart incorporated in Section



87102(k).

**(A)**

Individuals completing an Initial Certification Training Program must pass the exam with a minimum score of seventy percent (70%).

**(B)**

The exam questions shall reflect the hour value of the Core of Knowledge areas specified in Sections 87785(h)(1) and further detailed in the Core of Knowledge Standards chart incorporated in Section 87102(k).

**(i)**

Initial Certification Training Program vendors shall: (1) Offer all eighty (80) of the hours required for certification, as described in Section 87785(h)(1). (2) Establish a procedure to allow participants to make up any component necessary to complete the total program hours and content. (3) Issue certificates of completion to participants who successfully complete the program. (A) The certificate of completion shall be signed by the vendor or its authorized representative and include the approved vendor's name and vendor number, approved course number, and the date(s), time(s) and location(s) of program classes. (4) Submit to the Department upon request a Roster of Participants (LIC 9142A or other document which includes the same information) who completed the program. (5) Maintain and ensure that records are available for review by Department representatives. Records shall be maintained for three (3) years from the date of vendorship approval, course approval, or course offering, whichever is applicable and most recent. These records shall include the following information: (A) Course schedules, dates, descriptions and course outlines. (B) A list of instructors and documentation of qualifications of each, as specified in Section 87785(i)(7). (C) A Roster of Participants (LIC 9142A or other document which

includes the same information) and documentation of who completed the program. (D) Evaluations by participants of courses and instructors. (E) Audio-visual recordings of all Initial Certification Training Programs and program components offered outside of California. (6) Upon request, submit to the Department's Administrator Certification Section a schedule for at least the next calendar quarter specifying the subject title, approved course number, classroom hours, proposed dates, time, duration, location and proposed instructor(s) for each future program/component. (7) Have instructors who have verifiable knowledge and/or experience in the subject matter and content to be taught and who meet at least one of the following criteria: (A) Hold a bachelor's or higher degree from an accredited institution in a discipline or field related to the subject(s) to be taught, and have at least two (2) years of experience relevant to the subject(s) to be taught, or (B) Four (4) years of experience relevant to the course to be taught, or (C) Be a professional, in a field related to the subject(s) to be taught, with a valid license or certification to practice in California and at least two (2) years of related field experience, or (D) Have at least four (4) years of experience in California as an administrator of a residential care facility for the elderly, within the last six (6) years, with a record of administering the facility(ies) in substantial compliance, as defined in Section 87101(s)(9), and have verifiable training in the subject(s) to be taught. (8) A minimum of twenty (20) hours of instruction must be provided by an instructor(s) who meet(s) the criteria specified in Section 87785(i)(7)(D). (A) Where good faith efforts to employ an instructor who meets the criteria specified in Section 87785(i)(7)(D) are unsuccessful, vendors may apply to the Department's Administrator Certification Section for a waiver of this requirement. (9) Before adding or replacing an approved instructor, obtain the Department's approval by submitting a completed Request to Add or Replace Instructor form LIC

9140A and supporting documentation to the Department's Administrator Certification Section. (10) Encourage course instructors to elicit and respond appropriately to participants' questions. (11) Develop and provide to each course participant an end-of-course evaluation requesting feedback on, at minimum, instructor(s) knowledge of the subject(s), quality of instruction provided, attainment of learning objectives, and opportunity of participants to ask questions. (12) Report any changes of the information in 87785(b)(1) within thirty (30) days to the Department's Administrator Certification Section.

**(1)**

Offer all eighty (80) of the hours required for certification, as described in Section 87785(h)(1).

**(2)**

Establish a procedure to allow participants to make up any component necessary to complete the total program hours and content.

**(3)**

Issue certificates of completion to participants who successfully complete the program.

(A) The certificate of completion shall be signed by the vendor or its authorized representative and include the approved vendor's name and vendor number, approved course number, and the date(s), time(s) and location(s) of program classes.

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Submit to the Department upon request a Roster of Participants (LIC 9142A or other document which includes the same information) who completed the program.

**(5)**

Maintain and ensure that records are available for review by Department representatives. Records shall be maintained for three (3) years from the date of vendorship approval, course approval, or course offering, whichever is applicable and most recent. These records shall include the following information: (A) Course schedules, dates, descriptions and course outlines. (B) A list of instructors and documentation of qualifications of each, as specified in Section 87785(i)(7). (C) A Roster of Participants (LIC 9142A or other document which includes the same information) and documentation of who completed the program. (D) Evaluations by participants of courses and instructors. (E) Audio-visual recordings of all Initial Certification Training Programs and program components offered outside of California.

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Course schedules, dates, descriptions and course outlines.

**(B)**

A list of instructors and documentation of qualifications of each, as specified in Section 87785(i)(7).

**(C)**

A Roster of Participants (LIC 9142A or other document which includes the same information) and documentation of who completed the program.

**(D)**

Evaluations by participants of courses and instructors.

**(E)**

Audio-visual recordings of all Initial Certification Training Programs and program components offered outside of California.

**(6)**

Upon request, submit to the Department's Administrator Certification Section a

schedule for at least the next calendar quarter specifying the subject title, approved course number, classroom hours, proposed dates, time, duration, location and proposed instructor(s) for each future program/component.

**(7)**

Have instructors who have verifiable knowledge and/or experience in the subject matter and content to be taught and who meet at least one of the following criteria:

(A) Hold a bachelor's or higher degree from an accredited institution in a discipline or field related to the subject(s) to be taught, and have at least two (2) years of experience relevant to the subject(s) to be taught, or (B) Four (4) years of experience relevant to the course to be taught, or (C) Be a professional, in a field related to the subject(s) to be taught, with a valid license or certification to practice in California and at least two (2) years of related field experience, or (D) Have at least four (4) years of experience in California as an administrator of a residential care facility for the elderly, within the last six (6) years, with a record of administering the facility(ies) in substantial compliance, as defined in Section 87101(s)(9), and have verifiable training in the subject(s) to be taught.

**(A)**

Hold a bachelor's or higher degree from an accredited institution in a discipline or field related to the subject(s) to be taught, and have at least two (2) years of experience relevant to the subject(s) to be taught, or

**(B)**

Four (4) years of experience relevant to the course to be taught, or

**(C)**

Be a professional, in a field related to the subject(s) to be taught, with a valid license or certification to practice in California and at least two (2) years of related field experience, or

**(D)**

Have at least four (4) years of experience in California as an administrator of a residential care facility for the elderly, within the last six (6) years, with a record of administering the facility(ies) in substantial compliance, as defined in Section 87101(s)(9), and have verifiable training in the subject(s) to be taught.

**(8)**

A minimum of twenty (20) hours of instruction must be provided by an instructor(s) who meet(s) the criteria specified in Section 87785(i)(7)(D). (A) Where good faith efforts to employ an instructor who meets the criteria specified in Section 87785(i)(7)(D) are unsuccessful, vendors may apply to the Department's Administrator Certification Section for a waiver of this requirement.

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**(9)**

Before adding or replacing an approved instructor, obtain the Department's approval by submitting a completed Request to Add or Replace Instructor form LIC 9140A and supporting documentation to the Department's Administrator Certification Section.

**(10)**

Encourage course instructors to elicit and respond appropriately to participants' questions.

**(11)**

Develop and provide to each course participant an end-of-course evaluation requesting feedback on, at minimum, instructor(s) knowledge of the subject(s), quality of instruction provided, attainment of learning objectives, and opportunity of participants to ask questions.

**(12)**

Report any changes of the information in 87785(b)(1) within thirty (30) days to the Department's Administrator Certification Section.

**(j)**

Initial Certification Training Program Vendors shall allow Department representatives to monitor and inspect Training Programs. (1) Any duly authorized Department representative may, upon proper identification and upon stating the purpose of his/her visit, enter, inspect, and monitor Initial Certification Training Programs with or without advance notice. Such representatives may also request information and copies of records in advance of such visits and/or for desk monitoring. (2) The vendor shall ensure that provisions are made for the private interview of any participant or instructor, and for the examination of any records relating to the program. (3) The Department shall have the authority to inspect, audit, and copy all program records upon demand. Records may be removed if necessary for copying. (4) Department representatives shall not remove any current emergency or health related personnel records unless the same information is otherwise readily available in another document or format. Department representatives shall return the records undamaged and in good order within three business days following the date the records were removed.

**(1)**

Any duly authorized Department representative may, upon proper identification and upon stating the purpose of his/her visit, enter, inspect, and monitor Initial Certification Training Programs with or without advance notice. Such representatives may also request information and copies of records in advance of such visits and/or for desk monitoring.

**(2)**

The vendor shall ensure that provisions are made for the private interview of any participant or instructor, and for the examination of any records relating to the program.

**(3)**

The Department shall have the authority to inspect, audit, and copy all program records upon demand. Records may be removed if necessary for copying.

**(4)**

Department representatives shall not remove any current emergency or health related personnel records unless the same information is otherwise readily available in another document or format. Department representatives shall return the records undamaged and in good order within three business days following the date the records were removed.

**(k)**

If, as a result of an investigation or inspection, the Department determines that a deficiency exists, the Department shall issue a notice of deficiency, unless the deficiency is minor and corrected immediately, and shall provide the Initial Certification Training Program Vendor with the notice of deficiency in person or by registered mail.(1) The notice of deficiency shall be in writing and shall include:

- (A) A reference to the statute or regulation upon which the deficiency is premised.
- (B) A factual description of the nature of the deficiency fully stating the manner in which the Initial Certification Training Program Vendor failed to comply with the specified statute or regulation.
- (C) The amount of penalty pursuant to Section 87794 which shall be assessed if the deficiency is not corrected and the date the penalty begins.
- (D) The appeal process as specified in Section 87795.

(2) The Department and the Initial Certification Training Program Vendor shall develop a plan for correcting each deficiency which shall be added to the notice of



deficiency. (3) Absent prior Department approval, all Program deficiencies shall be corrected prior to the next offering of the Initial Certification Training Program, and all other deficiencies (e.g., recordkeeping) shall be corrected within the number of days agreed to in the corrective action plan.

**(1)**

The notice of deficiency shall be in writing and shall include: (A) A reference to the statute or regulation upon which the deficiency is premised. (B) A factual description of the nature of the deficiency fully stating the manner in which the Initial Certification Training Program Vendor failed to comply with the specified statute or regulation. (C) The amount of penalty pursuant to Section 87794 which shall be assessed if the deficiency is not corrected and the date the penalty begins. (D) The appeal process as specified in Section 87795.

**(A)**

A reference to the statute or regulation upon which the deficiency is premised.

**(B)**

A factual description of the nature of the deficiency fully stating the manner in which the Initial Certification Training Program Vendor failed to comply with the specified statute or regulation.

**(C)**

The amount of penalty pursuant to Section 87794 which shall be assessed if the deficiency is not corrected and the date the penalty begins.

**(D)**

The appeal process as specified in Section 87795.

**(2)**

The Department and the Initial Certification Training Program Vendor shall develop a plan for correcting each deficiency which shall be added to the notice of deficiency.

**(3)**

Absent prior Department approval, all Program deficiencies shall be corrected prior to the next offering of the Initial Certification Training Program, and all other deficiencies (e.g., recordkeeping) shall be corrected within the number of days agreed to in the corrective action plan.

**(l)**

Initial Certification Training Program Vendors shall not instruct or "co-locate" more than one program type (Adult Residential Facility, Group Home, Residential Care Facility for the Elderly) at one time.

**(m)**

Initial Certification Training Program Vendors and their instructors who are also seeking administrator certification shall not be permitted to receive credit for attending the vendor's own Initial Certification Training Program.