

**DIVISION OF QUALITY ASSURANCE
REVISED LICENSING, CERTIFICATION,
AND REGISTRATION PROCESS
FOR ASSISTED LIVING FACILITIES**



**STATE OF WISCONSIN
DEPARTMENT OF HEALTH SERVICES**

Division of Quality Assurance
Bureau of Assisted Living

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INTRODUCTION

In an effort to ensure the Bureau of Assisted Living (BAL) is utilizing resources effectively, the Bureau conducted a systems analysis of the initial application process for community-based residential facilities (CBRFs), 3-4 bed adult family homes (AFHs), residential care apartment complexes (RCACs), and adult day care center providers.

Subsequent to the analysis, BAL determined that revision of the application materials and processes for the above provider types was needed to increase the efficiency of the licensing/certification/registration process.

Effective July 17, 2017, assisted living applicants will utilize the revised application materials and processes for any initial license/certification/registration or change of ownership.

This publication provides important information about the following:

- Background
 - Application materials and survey process changes
 - Training information
 - Website links to the licensing/certification provider pages
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BACKGROUND

Assisted living facilities (ALFs) are for individuals who need some level of care monitoring services, but choose to live in a setting without 24-hour access to nursing services.

The Wisconsin Department of Health Services (DHS), Division of Quality Assurance (DQA), Bureau of Assisted Living (BAL) licenses, certifies, registers, and regulates four (4) types of assisted living facilities and programs:

- Adult Day Care (ADC)
- 3-4 bed Adult Family Home (AFH)
- Community-Based Residential Facility (CBRF)
- Residential Care Apartment Complex (RCAC)

It is important to remember that DQA does not refer prospective residents, tenants, or participants for placement in assisted living facilities, nor does DQA provide funding to facilities to care for tenants. Residents/tenants/participants may be eligible to receive public funding through Managed Care Organizations (MCOs), IRIS, or Wisconsin county programs.

ADC CENTER

ADC means a facility that provides services for part of a day in a group setting to adults who need an enriched social or health-supportive experience, or who may need assistance with activities of daily living (ADLs), supervision, and/or protection. **Only those adult day care programs seeking to serve one or more participants with public funding are required to be certified.**

Services Provided by an ADC

An ADC provides services for part of a day in a group setting to adults who need assistance with ADLs, supervision, and/or protection.

Services may include personal care and supervision, provision of meals, medical care, medication administration, transportation, activities designed to meet physical, social, and leisure time needs.

ADC may be provided in family homes, freestanding centers, and multi-use facilities such as churches, schools, and senior centers.

ADCs generally operate programs during normal business hours five days a week. Some programs offer services in the evenings and on weekends.

ADULT FAMILY HOME

AFH means a place where three or four adults, who are not related to the operator, reside and receive care, treatment, or services that are above the level of room and board and that may include up to seven hours per week of nursing care per resident.

- This definition pertains only to three-bed and four-bed Adult Family Homes which are regulated by the Department of Health Services, Division of Quality Assurance.
- One-bed and two-bed Adult Family Homes are regulated by individual county human services departments, Include, Respect, I Self-Direct (IRIS), and MCOs.

Services Provided by an AFH

AFHs can admit and provide services to people of advanced age, persons with dementia, developmental disabilities, mental health problems, physical disabilities, traumatic brain injury, AIDS, alcohol and other drug abuse, correctional clients, pregnant women needing counseling, and/or the terminally ill.

AFHs may provide supervision, personal care, medication administration, community activities, leisure time activities, transportation, health monitoring, provision/arrangement/accompaniment of residents to medical or other appointments, and arrangement of nursing care to residents. No more than seven hours of nursing care per week may be provided to a resident.

COMMUNITY-BASED RESIDENTIAL FACILITY

CBRF means a place where five or more adults, who are not related to the operator or administrator and who do not require care above intermediate level nursing, care reside and receive care, treatment, or services that are above the level of room and board but that include no more than three hours of nursing care per week per resident.

Services Provided by a CBRF

CBRFs may provide supervision, personal care, leisure time activities, family and social contacts, behavioral monitoring, health monitoring, medication administration, transportation, and information and referral.

RESIDENTIAL CARE APARTMENT COMPLEX

RCAC means a place where five or more adults reside that consists of independent apartments, each of which has an individual lockable entrance and exit, a kitchen (including a stove), and individual bathroom, sleeping and living areas, and that provides, to a person who resides in the place, not more than 28 hours per week of services that are supportive, personal, and nursing services.

An RCAC does not include a nursing home or a community-based residential facility, but may be physically part of a structure that is a nursing home or community-based residential facility.

RCACs are either certified or registered:

- **Certified RCAC:** May house both private pay tenants and those eligible for public funding through Managed Care Organizations (MCOs), IRIS, or Wisconsin county programs, and are inspected every two years, plus complaints investigated.
- **Registered RCAC:** House only private pay tenants, are not inspected, and only complaints are investigated.

Services Provided by an RCAC

RCACs also provide, to persons who reside in RCAC, not more than 28 hours per week of the following services:

- **Supportive Services:** Activities related to general housekeeping, provision of meals, and arrangement of access to medical services and transportation to access community services and recreational activities.
- **Personal Assistance:** Services related to activities of daily living, e.g., dressing, eating, bathing, and grooming. The most common meal plan utilized by tenants of RCACs is that consisting of two meals per day.
- **Nursing Services:** Health monitoring, medication administration, and medication management.
 - Health monitoring means the assessment of physical, functional, and cognitive status to detect changes that may indicate health problems and to facilitate appropriate intervention.
 - Health monitoring and medication management are the most common services required by senior tenants primarily due to improper medication administration and poor/questionable nutrition practices.
- **Emergency Assistance:** An RCAC shall ensure that tenant health and safety are protected in the event of an emergency and shall be able to provide emergency assistance 24 hours a day.

RCACs provide services either directly or under contract, and the services must be part of the tenant's service agreement.

RCACs are not for those persons who are incompetent or for those with Alzheimer-related dementia or other infirmities of aging that require more in-depth monitoring by health care professionals.

INITIAL LICENSING / CERTIFICATION APPLICATION MATERIALS AND LICENSING SURVEY PROCESS CHANGES

Effective July 17, 2017, DQA/BAL will begin utilizing the new application materials and licensing survey process.

NEW TERMINOLOGY

Established Provider: A provider who currently operates the facility type for which an application for licensure or certification is being made.

New Provider: A provider who has never held a license or certification for the facility type for which an application for licensure or certification is currently being made.

Attestation Prior to Onsite: BAL will require every applicant to complete an applicant compliance statement prior to scheduling an onsite licensing survey.

Fit and Qualified Application: Applicants will submit a completed fit and qualified application with the application.

Inactive Application: Applications not completed within six months of submission will be closed out.

Incomplete Application: If the application does not include the required documents, the application packet will be returned to the applicant without further processing. BAL will include a checklist identifying the missing item(s). The applicant may choose to resubmit the application with the required documentation. After a second unsuccessful submission, no further applications will be accepted from this applicant for the specified location for a period of one year.

Two Revisions: An application is not considered complete until all required documentation that meets regulations have been submitted. If the required documents do not meet the licensing/certification regulations, BAL will only send two revision letters per application. After a second unsuccessful revision, no further applications will be accepted from this applicant for the specified location for a period of one year.

ADC CERTIFICATION

ADC Application Material Changes

- Revised application for regular ADC and family ADC
- New certification checklist for regular ADC and family ADC
- New applicant compliance statement

Revised ADC Certification Survey Process

Before you submit an application, determine if you are an established or new provider. For example, if you are an established provider, you currently hold an ADC certification.

Step 1 The applicant reviews the applicable ADC standards and the application materials.

Step 2 The applicant submits building plans and fire protection plans to the Department of Safety and Professional Services (DSPS).

Step 3 A **new provider** submits an application and other required application materials to BAL's central licensing unit. The new provider submits all materials specified on DQA form F-02106D, *Adult Day Care Center – New Provider Certification Application Checklist*, located at: <https://www.dhs.wisconsin.gov/forms/index.htm>

An **established provider** submits an application and other required materials to the BAL's central licensing unit. An established provider submits all materials specified on DQA form F-02106B, *Adult Day Care Center – Established Provider Certification Application Checklist*, located at: <https://www.dhs.wisconsin.gov/forms/index.htm>

An **new provider** for family adult day care certification submits an application and other required application materials to BAL's central licensing unit. The new family ADC provider submits all materials specified on DQA form F-02107D, *Family Adult Day Care – New Provider Certification Application Checklist*, located at: <https://www.dhs.wisconsin.gov/forms/index.htm>

An **established provider** submits an application and other required application materials to BAL's central licensing unit. The established family adult day care provider submits all materials specified on DQA form F-02107B the *Family Adult Day Care – Established Provider Certification Application Checklist*, located at: <https://www.dhs.wisconsin.gov/forms/index.htm>

Step 4 BAL central licensing staff will review the application materials to ensure required materials are submitted.

SPECIAL NOTE: If the application is incomplete, the application and materials will be returned to applicant.

Step 5 BAL central licensing staff will review the application materials for compliance with applicable regulations.

Step 6 ***Skip to Step 10 if no revisions are needed.*** If needed, BAL central licensing staff will submit a revisions letter to applicant.

Step 7 The applicant will submit any requested information as directed in revisions letter.

Step 8 BAL central licensing staff will review resubmitted application materials. If revisions are still needed, a final revisions letter will be sent to the applicant.

Step 9 The applicant submits final revisions to BAL central licensing.

Step 10 If application is complete, BAL central licensing staff will send the applicant an applicant compliance statement. Once the applicant compliance statement is returned, an initial licensing survey will be scheduled.

Step 11 If the application is not complete, BAL central licensing will contact the applicant to close the application. The certification fee is non-refundable.

Step 12 The initial certification survey is completed and certification is issued if the licensee and facility meets the specified regulations. If the licensee and/or facility do not meet the specified regulations, the application will be denied.

AFH LICENSING

AFH Application Material Changes

- Revised application
- Revised checklist
- New applicant compliance statement
- Fit and qualified application

Revised AFH Licensing Survey Process

Before you submit an application, determine if you are an established or new provider. For example, if you are an established provider, you currently hold an AFH license.

- Step 1** The applicant reviews Wisconsin Administrative Code, Chapter DHS 88; Wisconsin State Statutes, Chapter 50; the licensing webcast; and, required application materials.
- Step 2** The applicant submits a caregiver background check form to the Office of Caregiver Quality.
- Step 3** A **new provider** submits the license application, the fit and qualified application, and other required application materials to the BAL's central licensing unit. The new provider submits all materials specified on DQA form F-02108D, *Adult Family Home – New Provider Licensure Application Checklist*, located at: <https://www.dhs.wisconsin.gov/forms/index.htm>
- An **established provider** submits the license application, the fit and qualified application, and other required materials to the BAL's central licensing unit. The established provider submits all materials specified on DQA form F-02108B, *Adult Family Home – Established Provider Licensure Application Checklist*, located at: <https://www.dhs.wisconsin.gov/forms/index.htm>
- Step 4** BAL central licensing staff will review the application materials to ensure required materials are submitted.
- SPECIAL NOTE: If the application is incomplete, the application and materials will be returned to applicant.**
- Step 5** BAL central licensing staff will review application materials for compliance with applicable regulations.
- Step 6 Skip to Step 10 if no revisions are needed.** If needed, BAL central licensing staff will submit a revisions letter to applicant.
- Step 7** The applicant will submit any requested information as directed in the revisions letter.
- Step 8** BAL central licensing staff will review resubmitted application materials. If revisions are still needed, a final revisions letter will be sent to applicant.
- Step 9** The applicant submits final revisions to BAL central licensing.
- Step 10** If the application is complete, BAL central licensing staff will send the applicant an applicant compliance statement. Once the applicant compliance statement is returned, an initial licensing survey will be scheduled.
- Step 11** If the application is not complete, BAL central licensing will contact the applicant to close the application. The license fee is non-refundable.
- Step 12** The initial licensing survey is completed and a license is issued if the licensee and facility meets the specified regulations. If the licensee and/or facility do not meet the specified regulations, the application will be denied.
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CBRF LICENSING

CBRF Application Material Changes

- Revised application
- Revised checklist
- New applicant compliance statement
- Fit and qualified application

Revised CBRF Licensing Survey Process

Before submitting an application, determine if you are an established or new provider. For example, if you are an established provider, you currently hold a CBRF license.

- Step 1** The applicant reviews Wisconsin Administrative Code, Chapter DHS 83; Wisconsin State Statutes, Chapter 50; the licensing webcast; and, application materials.
- Step 2** The applicant submits building plans and fire protection plans to the Office of Plan Review and Inspection. Plans should be prepared by a design professional. Existing structures seeking CBRF licensure shall also have completed the plan review process prior to licensure.
- Step 3** The applicant submits a caregiver background check form to the Office of Caregiver Quality.
- Step 4** A **new provider** submits the license application, the fit and qualified application, and other required application materials to the BAL's central licensing unit. The new provider submits all materials specified on DQA form F-02109D, *Community-Based Residential Facility – New Provider Licensure Application Checklist*, located at:
<https://www.dhs.wisconsin.gov/forms/index.htm>
- An **established provider** submits the license application, the fit and qualified application, and other required materials to the BAL's central licensing unit. The established provider submits all materials specified on DQA form F-02109B, *Community-Based Residential Facility – Established Provider Licensure Application Checklist*, located at:
<https://www.dhs.wisconsin.gov/forms/index.htm>
- Step 5** BAL central licensing staff will review the application materials to ensure required materials are submitted.
- SPECIAL NOTE: If the application is incomplete, the application and materials will be returned to applicant.**
- Step 6** BAL central licensing staff will review application materials for compliance with applicable regulations.
- Step 7** **Skip to Step 11 if no revisions are needed.** If needed, BAL central licensing staff will send a revisions letter to applicant.
- Step 8** The applicant will submit any requested information as directed in the revisions letter.
- Step 9** BAL central licensing staff will review resubmitted application materials. If revisions are still needed, a final revisions letter will be sent to applicant.
- Step 10** The applicant submits final revisions to BAL central licensing.

- Step 11** If the application is complete, BAL central licensing staff will send the applicant an applicant compliance statement. Once the applicant compliance statement is returned, an initial licensing survey will be scheduled.
- Step 12** If the application is not complete, BAL central licensing staff will contact the applicant to close the application. The license fee is non-refundable.
- Step 13** The initial licensing survey is completed and a license is issued if the licensee and facility meets the specified regulations. If the licensee and/or facility do not meet the specified regulations, the application will be denied.
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RCAC CERTIFICATION / REGISTRATION

RCAC Application Material Changes

- Revised application
- Revised checklist
- New applicant compliance statement

Revised RCAC Certification / Registration Survey Process

Before you submit an application, determine if you are an established or new provider. For example, if you are an established provider, you currently hold a RCAC certification or registration.

- Step 1** The applicant reviews Wisconsin Administrative Code, Chapter DHS 89; Wisconsin State Statutes, Chapter 50; the RCAC certification/registration webcast; and, application materials.
- Step 2** If RCAC is attached to a CBRF or skilled nursing facility (SNF), the applicant submits building plans and fire protection plans to the Office of Plan Review and Inspection. Plans should be prepared by a design professional. If RCAC is a stand-alone structure, the applicant submits building plans and fire safety plans to DSPS.
- Step 3** The applicant submits a caregiver background check form to the Office of Caregiver Quality.
- Step 4** A **new provider** submits an application and other required application materials to the BAL's central licensing unit. The new provider submits all materials specified on DQA form F-02110D, *Residential Care Apartment Complex – New Provider Certification or Registration Application Checklist*, located at: <https://www.dhs.wisconsin.gov/forms/index.htm>
- An **established provider** submits an application and other required materials to the BAL's central licensing unit. The established provider submits all materials specified on DQA form F-02110B, *Residential Care Apartment Complex – Established Provider Certification or Registration Application Checklist*, located at: <https://www.dhs.wisconsin.gov/forms/index.htm>
- Step 5** BAL central licensing staff will review the application materials to ensure required materials are submitted.
- SPECIAL NOTE: If application is incomplete, the application and materials will be returned to applicant.***
- Step 6** BAL central licensing staff will review application materials for compliance with applicable regulations.
- Step 7** **Skip to Step 11 if no revisions are needed.** If needed, BAL central licensing staff will send a revisions letter to the applicant.

- Step 8** The applicant will submit any requested information as directed in the revisions letter.
- Step 9** BAL central licensing staff will review resubmitted application materials. If revisions are still needed, a final revisions letter will be sent to the applicant.
- Step 10** The applicant submits final revisions to BAL central licensing.
- Step 11** If the application is complete, BAL central licensing staff will send the applicant an applicant compliance statement. For certified RCACs, once the applicant compliance statement is returned, an initial certification survey will be scheduled. For registered RCACs, if the application is complete, registration may be issued without conducting an initial survey.
- Step 12** If the application is not complete, BAL central licensing staff will contact the applicant to close the application. The certification fee is non-refundable.
- Step 13** The initial certification survey is completed and a certificate is issued if the licensee and facility meets the specified regulations. If the licensee and/or facility do not meet the specified regulations, the application will be denied.
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TRAINING INFORMATION

DHS will offer training to assisted living providers through a series of webinars and in-person meetings. Training will be provided at Assisted Living Forums.

Training dates and locations will be announced through the Assisted Living Forum email subscription services. You may register for the subscription service at:

<https://www.dhs.wisconsin.gov/regulations/listserv-signup.htm>