

Rules Committee

October 17, 2023

2:00 p.m. – 3:30p.m.

Present for meeting:

- Mike Tripple (Chair)
- Steve Jobe (BELTSS Staff)
- Rebecca Bollig (BELTSS Staff)
- Bobbie Guidry, Leading Age
- Michaun Shetler, Caring Providers of MN
- Rachel Shands, Aging and Adult Services, DHS
- Daphne Ponds, MDH
- Toby Pearson, Care Providers of MN
- Shauna Kapsner, Care Providers of MN
- Lisa Harrison Hadler, OOMHDD
- Parichay Rudina, OOLTC
- Celestin Marin, MDH
- Cheryl Hennen, OOLTC
- Natalie Morland, Board Member
- Fred Dawe, Board Member
- Sam Smith, Alzheimer's Association
- Zahnia Harut, Residential Provider Association
- Marit Peterson, Elder Justice Center
- Drew Hood, Board Member

Future Meeting Dates (all meetings begin at 2:00 p.m.):

Tuesday, October 17, 2023
Tuesday, October 31, 2023
Tuesday, November 14, 2023
Tuesday, November 28, 2023
Tuesday, December 12, 2023,
Tuesday, January 9th, 2024

Board Mission: The mission of the Board of Executives for Long Term Services and Supports is to promote the public's interest in quality care, effective services and supports for consumers of nursing homes and assisted communities by ensuring that licensed executives are qualified to perform their administrative duties.

The Role of the Advisory Committee.

Advice, not voting. The role of the Rules Committee is to advise BELTTS on the development of these rules. The Board looks to this committee for its expertise in these regulations. The committee does not have voting authority on what will go in the rules; the BELTTS Board makes any final decisions. The committee does, however, have the power of persuasion and the power that comes from having the information needed to make these rules workable.

Represent your interest group. Each of you likely represents an interest group in one way or another, be it a small

assisted living facility, larger facilities, organizations consisting of many facilities, and so on. We encourage you to maintain communication with others who share your interests.

Consensus. Our goal is to achieve consensus on as many issues as possible. Even where there is disagreement on some issues, we hope to make the rules as workable as possible for those who have to comply with them.

Reasonable comments and suggestions. We will carefully consider all comments and suggestions about the rules. You will have the most success persuading the BELTTS Board with your comments and suggestions if you give reasons along the same lines as how the Board has to justify the need for and reasonableness of everything in the rules.

1. **Introduction of Committee and advisory committee members**
 - **Reminded members about the advisory role of the committee**
2. **Explanation of how we believe we will get the most out of the process.**
 - **Requested members to identify areas that may present concerns from each individual background and experiences.**
3. **Start reading through the rules and identify areas that will require more discussion. The purpose of the read through is to identify simple edits and more complex edits that may require a special group or a whole session.**
 - **Will draft discussion questions to allow for comments and assistance with drafting the language**
 - **Website – public notices will continue to post and provide updates. Share information with the groups you are working with.**
4. **Discuss the amount of time was it long at an hour and half?**

General Comments from the Group:

- Passing the exam
- Do they need a national exam
- NAB Core – Medicare guidelines when not applied to Assisted Living
- Mentor – having enough mentors and availability of mentors. NHA they are coming into the facility, ALDs are mentoring ALDIR with Residency Permits who are overseeing their own facility. Too much is required on the mentor's and it is deterring mentors from assisting.
- Qualification new to long-term care
- Rajean Moone – invitation – LALD process – communication early on. Need to consider the racial equity and language barriers. Size of facilities. Training/placement of LALDS/ALDIR.
- Diversity of waivers being served from the provider side.
- Licensure to be attainable given the workforce challenges.
- DHS funding – less than ideal
- Discuss unintended consequences.
- Protect the public and train people the right way. Are we meeting diverse needs, providing knowledge and equipped to do so. Shared Director role – multitude of people to do the work, and don't necessarily want the reputation of providers in general.
- Survey when there is no LALD – operations show challenges in meeting regulatory compliance.
- No affiliation with the Director of Record – many of which are RN but are not listed as the LALD although licensed. Who is charge.
- Small provider workgroup – align with rule-making – is this licensure appropriate for 5 or less. How to assist to help people be successful. Provide resources. Overwhelmed, stressed.
- Additional providers (10 or less) feedback is requested. May be able to assist this group in the future.
- Shared sites – management agreements. Expense when they are smaller providers.
- DHS Providers with Assisted Living – HWS registration with customized living
- DHS 245D – moratorium exception temporarily – extended through December 21. The number of providers to go back is small. Would need to review with the disability services to determine how many would be able to go back to that type of licensure.
- DHS – CMS transition plan included this type of policy. HCBS setting rule.
- Not a lot of maneuverability on BELTSS side but is more driven on the facility license.
- Recommend the sequential order when reviewing a topic. It may trickle down to a topic(s).
- Recommended the committee to review the items
- Recommend points of interest, requests, suggestions, feedback and send to beltss to collaborate ideas and concerns

that are noted.

- Next meeting on November 14. The October 31 has been cancelled.

Meeting Dates have been updated on the invite and Rules attached to the invite.

Board of Executives for Long Term Services and Supports (BELTSS)

Excerpts from Minnesota Rules Chapter 6400 Assisted Living Facility Director Regulations

Discussion Guide for the Rules Committee and Board Invitees

October 17, 2023

CURRENT RULES	COMMENTS
<p>6400.5100 DEFINITIONS.</p> <p>Subpart 1. Scope. The terms used in this chapter have the meanings given them in this part.</p> <p>Subp. 2. Accredited. "Accredited" means approved by a regional accrediting organization for higher education.</p> <p>Subp. 3. Acting administrator. "Acting administrator" means an individual, designated by the controlling persons of the employing nursing facility, who has been issued a permit by the board under part 6400.6770.</p> <p>Subp. 3a. Administrator in residence or AIR. "Administrator in residence" or "AIR" means an individual who works, as part of a formal AIR program, under the guidance and supervision of a preceptor who is a licensed administrator or a health services executive meeting the qualifications established for preceptors by their respective states.</p> <p>Subp. 3b. Administrator in residence program or AIR program. "Administrator in residence program" or "AIR program" means a supervised internship during which the AIR works under the guidance and supervision of a preceptor who is a licensed administrator or health services executive meeting the qualifications established for preceptors by their respective states.</p> <p>Subp. 4. Assistant administrator. "Assistant administrator" means an individual who reports to the nursing home administrator, assumes charge of the facility in the administrator's absence, and has ongoing managerial and supervisory authority over both administrative and resident care functions, operations, and staff in a nursing facility.</p> <p>Subp. 4a. Assistant director. "Assistant director" means an individual who reports to the assisted living director, assumes charge of the assisted living facility in the director's absence, and has ongoing managerial and supervisory authority over both administrative and</p>	

resident care functions, operations, and staff in an assisted living facility.

Subp. 4b. Assisted living contract. "Assisted living contract" has the meaning given in Minnesota Statutes, section 144G.08, subdivision 5.

Subp. 4c. Assisted living director or director. "Assisted living director" or "director" has the meaning given in Minnesota Statutes, section 144G.08, subdivision 6.

Subp. 4d. Assisted living director in residence or ALDIR. "Assisted living director in residence" or "ALDIR" means an individual, designated by the controlling individuals of the employing assisted living facility, who has been issued a permit by the board under part 6400.7080.

Subp. 4e. Assisted living facility. "Assisted living facility" has the meaning given in Minnesota Statutes, section 144G.08, subdivision 7.

Subp. 4f. Assisted living facility with dementia care. "Assisted living facility with dementia care" has the meaning given in Minnesota Statutes, section 144G.08, subdivision 8.

Subp. 4g. Assisted living services. "Assisted living services" has the meaning given in Minnesota Statutes, section 144G.08, subdivision 9.

Subp. 5. Board. "Board" means the Minnesota Board of Executives for Long Term Services and Supports.

Subp. 6. CE credit or continuing education credit. "CE credit" or "continuing education credit" means a unit of measurement of continuing education activity.

Subp. 7. Clock hour. "Clock hour" means an instructional session of 60 consecutive minutes, excluding breaks, registration, meals, and social activities.

Subp. 7a. Controlling individual. "Controlling individual" has the meaning given in Minnesota Statutes, section 144G.08, subdivision 15.

Subp. 7b. Delegation of authority policy. "Delegation of authority policy" means the individual assisted living facility policy that identifies the director and chain of command in the event of the absence of the director, ensuring that, at all times, an individual on site has been designated as the responsible individual for long-term services and supports.

Subp. 8. Director of nurses. "Director of nurses" means the individual designated by a nursing facility to perform duties consistent with the responsibilities of the director of nursing services under part 4658.0505, whether in Minnesota or another jurisdiction.

Subp. 9. Domains of practice. "Domains of practice" means the tasks performed by long-term care administrators and the knowledge, skills, and abilities identified as necessary to perform those tasks by NAB in its job analysis of long-term care administrator. The NAB domains of practice for long-term care administrator are found in the Final Report of the Job Analysis of the Practice of Long-term Care Administrators prepared for the National Association of Boards of Examiners for Long-Term Care Administrators. This document is incorporated by reference. It is available on the board's website and is subject to change every five years.

Subp. 9a. [Repealed, 45 SR 1073]

Subp. 9b. Health services executive or HSE. "Health services executive" or "HSE" means an individual who has been validated by NAB as a health services executive and has met the education and practice requirements for the minimum qualifications of a nursing home administrator, assisted living director, and home and community-based services provider. The HSE meets the Minnesota requirement for the administrator of record, required for the Centers for Medicare and Medicaid Services (CMS) minimum requirements of participation.

Subp. 9c. Higher education. "Higher education" means education at a public or private university, college, community college, or technical college.

Subp. 10. License. "License" means a written document issued by the board to indicate that the bearer has been found by the board to meet all requirements for practice as a licensed nursing home administrator, health services executive, or licensed assisted living director in Minnesota. It includes an original license issued for meeting the requirements of part 6400.6000 or 6400.7005, a renewal license issued for meeting the requirements of part 6400.6700 or 6400.7065, and a reinstated license issued under part 6400.6750 or 6400.7070. It does not include a permit to serve as an acting administrator or director in residence.

Subp. 11. Licensee. "Licensee" means an individual who holds a valid license to practice as a nursing home administrator, health services executive, or licensed assisted living director granted by the board under this chapter.

Subp. 11a. Long-term care administrator. "Long-term care administrator" means an individual who manages the daily operations and staff of long-term services and supports communities. A long-term care administrator oversees business management, health care services, and personal supports for the communities they manage. All licensed health services executives, licensed nursing home administrators, and licensed assisted living directors are long-term care administrators.

Subp. 11b. Manager. "Manager" has the meaning given in Minnesota Statutes, section 144G.08, subdivision 35.

Subp. 11c. Managerial official. "Managerial official" has the meaning given in Minnesota Statutes, section 144G.08, subdivision 36.

Subp. 11d. Mentor. "Mentor" means the licensed assisted living director or licensed health services executive directing the field experience of the assisted living director in residence.

Subp. 12. NAB. "NAB" means the National Association of Boards of Examiners

Managerial official – decision making authority for the facility and ongoing management of the facility, and services of employees. Should these individuals be licensed.

“applicant” or

A. Example: A mentor must:

(1) ensure that the ALDR applicant complies with the domains of practice and NAB administrator in training manual;

for Long-Term Care Administrators, Inc.

Subp. 13. Nursing facility. "Nursing facility" means a facility licensed as a nursing home to provide nursing care to five or more persons under Minnesota Statutes, sections 144A.02 to 144A.10, by the Minnesota Department of Health or a similar facility licensed under similar provisions in another jurisdiction.

Subp. 14. Nursing home administrator. "Nursing home administrator" means an individual who has the responsibilities outlined in part 4658.0060 in a nursing facility in Minnesota or another jurisdiction and is licensed by the licensing authority of the jurisdiction responsible for the facility.

Subp. 14a. Ombudsman. "Ombudsman" has the meaning given in Minnesota Statutes, section 144G.08, subdivision 46.

Subp. 15. Permit. "Permit" means the acting license referred to in Minnesota Statutes, section 144A.27, which, for purposes of this chapter, is a temporary authorization issued by the board to an individual who meets the qualifications of part 6400.6770 or 6400.7080.

Subp. 16. Preceptor. "Preceptor" means a nursing home administrator or health services executive who meets the standards in part 6400.6600, subpart 3, and supervises an applicant for licensure during the practicum course.

Subp. 16a. Professional degree. "Professional degree" means a degree that prepares an individual to work in a particular profession often meeting the academic requirements for licensure or accreditation.

Subp. 16b. Professional practice analysis. "Professional practice analysis" means the analysis used to identify the domains of practice, tasks performed, knowledge needed, and skills used by individuals responsible for leadership in organizations that provide long-term services and supports.

The field experience must provide practical learning experiences to complement the ALDIR's Applicant ongoing core training and work or volunteer experience in assisted living, long-term services and supports, general health care, and management.

<p>Subp. 16c. Quality assurance performance improvement or QAPI. "Quality assurance performance improvement" or "QAPI" means a procedure that seeks to ensure continuous quality improvement. QAPI is not a standardized procedure but challenged by unique environmental factors and leadership skills to encourage and support people.</p> <p>Subp. 17. Related individual. "Related individual" means a spouse, natural or adoptive parent, stepparent, natural or adoptive grandparent, step grandparent, natural or adoptive child, sibling, guardian, stepbrother, stepsister, aunt, uncle, niece, nephew, first cousin, or spouse of any person named in the above groups even after the marriage ends by death or divorce.</p> <p>Subp. 18. Resident. A. "Resident," when used in parts 6400.5200 to 6400.6900, means an individual living in a nursing facility. B. "Resident," when used in parts 6400.7000 to 6400.7095, means an individual living in an assisted living facility who has executed an assisted living contract.</p> <p>Subp. 19. Root cause analysis or RCA. "Root cause analysis" or "RCA" means a method of problem-solving used for identifying the root causes of faults or problems.</p>	
<p>Minnesota Rules 6400.5150 to 6900 relating to nursing home administrator requirements are not included.</p> <p>6400.6950 APPLICABILITY.</p> <p>Subpart 1. Assisted living directors. Parts 6400.7000 to 6400.7095 apply to assisted living directors.</p> <p>Subp. 2. Health services executives. Health services executives licensed under this chapter must meet the responsibilities in part 6400.7050 and are subject to the standards of practice in part 6400.7095.</p>	
<p>6400.7000 USE OF TITLE. Only an individual who is licensed as an assisted living director and who holds a valid license under this</p>	

<p>chapter for the current licensure period may use the title "Licensed Assisted Living Director" and the abbreviation "L.A.L.D." after the individual's name.</p>	
<p>6400.7005 LICENSURE REQUIREMENTS.</p> <p>Subpart 1. License; assisted living director. The board shall issue an individual a license to practice as an assisted living director in Minnesota upon determining that the individual:</p> <p>A. has filed a completed application for licensure under part 6400.7010 before or within six months of hire;</p> <p>B. meets the requirements specified in Minnesota Statutes, section 144A.20;</p> <p>C. has successfully completed a criminal background check under Minnesota Statutes, section 214.075;</p> <p>D. has not had an application rejected by the board under part 6400.7010;</p> <p>E. has paid the required fees;</p> <p>F. meets one of the following education and work experience requirements:</p> <p>(1) a high school diploma or equivalent plus two years of work experience in the continuum of long-term services and supports, including one year in a management or supervisory position;</p> <p>(2) an associate's degree plus one year of work experience in the continuum of long-term services and supports, including six months in a management or supervisory position; or</p> <p>(3) a bachelor's degree plus six months of work experience in a management or supervisory experience in the continuum of long-term services and supports;</p> <p>G. has read parts 6400.7000 to 6400.7095 and the Department of Health rules relating to the licensure of assisted living facilities; and</p>	<p>Anyone with needing a permit should apply immediately to obtain permit within required 30 days.</p> <p>Comments:</p> <p>D. we reject (same as “denial”) applications for licensure and issue a denial usually as a result of a CBC background that was not disclosed and there are concerns of public safety, such as disorderly conduct. We specify can reapply in 6 months in denial letter.</p> <ul style="list-style-type: none"> • How does staff reassess – if disclosed – LEC may approve with written explanation. • What if previous application is denied, and then learn of owner/managerial official. <p>(1) ALDIR permit – If an applicant does not have two years of experience, however, we receive permit request application first prior to employment verification being finalized. Field experience currently will count toward the supervisory/managerial experience. Field experience ranges from mid-500 hours up to 1600 hours.</p> <p>We may cause additional barriers of small owners not being able to obtain licensee with HS degree with required experience. Do we consider one year of work experience including 6 months of management experience? If we take out the field experience?</p>

H. meets one of the following subitems for education, experience, and training:

(1) has successfully:

(a) completed a core course of study covering the topics listed in part 6400.7015;

(b) completed a Minnesota-based course of study covering the topics listed in part 6400.7020;

(c) completed a **director in residence** field experience according to part 6400.7030;

(d) **passed the NAB core knowledge and line of service examinations for assisted living** directors to test knowledge of subjects pertinent to the domains of practice of assisted living as identified in the NAB job analysis for assisted living directors; and

(e) passed the state examination approved by the board to test the knowledge of Minnesota laws governing assisted living facility operations in Minnesota;

(2) meets all requirements under part 6400.7045, subpart 1 or 2, for qualification by endorsement; or

(3) ~~applies for licensure by July 1, 2021, attests that the applicant has read the laws governing assisted living facilities, and:~~

~~(a) has training that relates to the domains of practice for assisted living as identified in the NAB job analysis for assisted living directors and has a higher education degree in nursing, social services, or mental health, or another professional degree;~~

~~(b) has at least three years of supervisory, management, or operational experience and higher education training related to the domains of practice for assisted living as identified in the NAB job analysis for assisted living directors;~~

~~(c) has completed at least 1,000 hours of an executive in training program provided by an assisted living director licensed under this subitem on or before July 1, 2021; or~~

Managerial/Supervisory experience – do we need a definition.

Do we allow practicum to count toward experience. If not we may create additional barriers.

c. and/or field experience (eliminate director in residence). ALDIR is associated with Residency Permit.

Comment: NAB Exams are problematic for applicants. References are \$70 and there are up to 11 different references.

Requesting and will reviewing data on domains and correlation of pass rate and program participated in.

Applies to Legacy Applicants ended on July 1, 2021

<p>(d) has managed a housing with services establishment operating under assisted living title protection for at least three years.</p>	
<p>6400.7010 APPLYING FOR LICENSURE.</p> <p>Subpart 1. Application contents. An applicant for licensure must apply electronically through the board's online services. The application must include the following information:</p> <p>A. the applicant's name;</p> <p>B. the applicant's e-mail, home, and work addresses;</p> <p>C. the applicant's telephone numbers;</p> <p>D. the applicant's Social Security number;</p> <p>E. the applicant's education and degree information;</p> <p>F. the applicant's employment and practice history;</p> <p>G. the applicant's health care professional licensure and disciplinary history in Minnesota and other jurisdictions;</p> <p>H. the applicant's evidence of successful completion of a criminal background check under Minnesota Statutes, section 214.075;</p> <p>I. the applicant's criminal convictions, if any; and</p> <p>J. use of alcohol or drugs or a mental, physical, or psychological condition, which may reflect on ability and fitness to practice.</p> <p>Subp. 2. Continuing education requirements for select licensees. All individuals licensed under subpart 1, item H, subitem (3), must complete, within the first year of licensure, at least seven hours of continuing education in topics related to assisted living facilities.</p> <p>Subp. 3. Application expiration. Applications expire 18 months after the date that the application form is filed with the board. If the applicant does not fulfill all licensure requirements within the 18-month application</p>	<p>Comment: Personal (private) and professional (public) email, Public and mailing address – does not state home or work in application system used by licensing boards. Conflicting information.</p> <p>Subp 2. Remove language – applicants required to take 120-hour coursework or licensed as NHA/HSE. Endorsement required to take 40 hours. This was in rule for Legacy Applicant.</p> <p>This was placed in wrong section. Needs to move to 6400.7005</p>

<p>period, the applicant must resubmit the application and another application fee to continue to seek licensure.</p> <p>Subp. 4. Examination attempts and score expiration. Examination scores expire two years after the date that the examination was taken if the applicant has not become fully licensed within that two years.</p> <p>Subp. 5. Grounds for denial. The board shall deny an application for licensure that does not meet the requirements of part 6400.7005 within the 18-month application period. The board shall deny an application for licensure where the applicant has committed acts in this or any other jurisdiction that would be grounds for discipline under part 6400.7095, subpart 1, taking into account the considerations in part 6400.7095, subpart 3.</p> <p>Subp. 6. Notice of denial. If the board denies an application for licensure, the board must provide written notice to the applicant of the denial, the reasons for the denial, and the right to a hearing under Minnesota Statutes, chapter 14, within 30 days of receiving notice of the denial.</p>	<p>Application expiration (18 months) versus permit expiration dates (12 month)</p> <p>Comment: This may become more problematic with time due to one of the exams being difficult to pass. An exam may be outside of two-year window, and we would need to require another state or other NAB exam.</p> <p>In the NHA Rules: <i>the applicant must submit to the board a study plan and wait six months from the date of the examination attempt to sit for the examination a third time. If an applicant does not pass the NAB or state examination on the third attempt, the applicant must submit a revised study plan and wait one year from the date of the third examination attempt to sit for the examination a fourth time. The applicant may also be required to reapply in order to comply with subpart 3</i></p> <p>Comment: “the right to an appeal process” Revise letter from AG office. Review letter draft - You may appeal the committee’s decision by contacting the Board, in writing, within 30 days of receipt of this letter</p>
<p>COURSE REQUIREMENTS</p> <p>6400.7015 CORE COURSE REQUIREMENTS.</p> <p>Subpart 1. Basic requirements of course of study. An applicant must complete a course of study with a minimum of 80 hours in core subjects necessary to perform the duties of an assisted living director and including the requirements of this part.</p> <p>Subp. 2. Customer care, services, and supports. An applicant must complete a course in customer care, services, and supports covering:</p> <p>A. quality systems, including customer satisfaction, problem identification, data collection, root cause analysis, and quality management programs;</p> <p>B. hospitality, including models for customer engagement and satisfaction;</p>	<p>NAB is reviewing their criteria, and reexamining the requirements for the RCAL and CORE</p>

<p>C. coordination and arrangement of services with physicians, hospice, home care, podiatrists, audiologists, and other health care and community service providers; and</p> <p>D. how to address complaints and resident and family councils.</p> <p>Subp. 3. Human resources. An applicant must complete a course in human resources covering:</p> <p>A. recruitment practices;</p> <p>B. screening practices;</p> <p>C. hiring principles;</p> <p>D. employee training;</p> <p>E. employee retention and satisfaction, including performance management;</p> <p>F. employment policies and procedures; and</p> <p>G. compliance requirements related to state and federal laws.</p> <p>Subp. 4. Finance. An applicant must complete a course in finance covering financial management, including invoicing and managing revenue cycle, operating and capital budgeting, budgeting and rate setting, accounting, quality and performance assessments related to financial and business operations, and Medicaid and other payment sources.</p> <p>Subp. 5. Environment. An applicant must complete a course in assisted living facilities environment covering:</p> <p>A. risk management, including risk identification and emergency plans for both shelter in place and evacuation;</p> <p>B. culinary services, including diets and meals, safety and sanitation;</p>	<p>“Operations – An applicant must complete a course in Human Resources covering”:</p> <p>Financial Management Risk Management Human Resources</p> <p>“Financial Management”</p> <p>Environment and Quality</p>
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<p>C. plant operations, including preventative maintenance, comfort and security issues, infection control, environmental design, assistive technology, and compliance with the Occupational Safety and Health Administration (OSHA) and the Americans with Disabilities Act;</p> <p>D. current regulatory requirements on the physical plant; and</p> <p>E. grounds and contracts management.</p> <p>Subp. 6. Management and leadership. An applicant must complete a course in management and leadership covering:</p> <p>A. leadership styles and theories;</p> <p>B. confidentiality under state and federal law, including the Health Insurance Portability and Accountability Act (HIPAA);</p> <p>C. marketing, including community connections and legal marketing practices;</p> <p>D. management practices, including team building;</p> <p>E. culturally sensitive workplaces, services, and practices; and</p> <p>F. problem-solving and ethical decision-making.</p>	<p>Leadership and Strategy Organizational strategy</p>
<p>6400.7020 MINNESOTA COURSE REQUIREMENTS. An applicant must complete a course of study with a minimum of 40 hours in subjects necessary to perform the duties of an assisted living director in Minnesota, including:</p> <p>A. person-centered care practices;</p> <p>B. vulnerable adult protection under Minnesota Statutes, chapter 626, including all reporting requirements;</p> <p>C. Minnesota statutes or rules governing assisted living, including survey compliance and preparedness;</p>	

<p>D. landlord-tenant law, including fair housing and consumer transparency in collateral;</p> <p>E. role of the state ombudsman, including coordination and collaboration roles of governmental authorities, and resident rights;</p> <p>F. elder care rights, including voice of the family, learning objectives, and addressing complaints;</p> <p>G. practice acts for the Minnesota health-related licensing boards, as defined in Minnesota Statutes, section 214.01, subdivision 2;</p> <p>H. client and family relationships; and</p> <p>I. health and wellness topics, including diets, nutrition, and hydration; basic concepts in gerontology and geriatrics; common conditions and diagnoses in an assisted living setting; and medication management and preventing diversion.</p>	<p>Food code – unless statute takes food code out</p>
<p>6400.7025 EVIDENCE OF COURSE COMPLETION.</p> <p>Subpart 1. Types of evidence. Evidence to verify satisfactory completion of requirements in part 6400.7005 must consist of documentation or attestation of the program director designated in part 6400.7040, subpart 2, showing completion of a course of study approved by the board or NAB including the domains of practice identified in NAB's job analysis for assisted living directors and the topics listed in parts 6400.7015 and 6400.7020. Attestations of course completion by the course provider must be submitted to the board.</p> <p>Subp. 2. Supplementing evidence older than seven years. Evidence presented under subpart 1 for completion of academic programs or academic courses taken more than seven years prior to the submission of information to the board must be supplemented by either:</p> <p>A. evidence that the applicant has been employed within the last seven years in a capacity that required</p>	<p>Would they need to take the 40-hour course if approved by NAB.</p> <p>Exam may be taken after the coursework is completed</p>

<p>using the knowledge gained in the core course requirements; or</p> <p>B. evidence that the applicant has completed continuing education within the past two years to renew and update knowledge gained in any academic course taken more than seven years prior to submission.</p> <p>Subp. 3. No additional fees required. No fees in excess of fees associated with the standard application process may be charged to applicants for review of continuing education courses submitted as evidence to meet course requirements.</p>	
<p>6400.7030 ASSISTED LIVING DIRECTOR IN RESIDENCE; FIELD EXPERIENCE.</p> <p>Subpart 1. Field experience requirements and content. An applicant for licensure as an assisted living director must complete a field experience. The field experience must provide practical learning experiences to complement the ALDIR's applicant ongoing core training and work or volunteer experience in assisted living, long-term services and supports, general health care, and management. The field experience must follow the National Administrator in Training Program Manual ("program manual") or a similar training program preapproved by the board. The program manual is incorporated by reference. The program manual is available on the board's website and is subject to change every five years. The field experience must be conducted within an assisted living facility or facilities and require the ALDIR's residency to average 20 hours per week. Upon mutual agreement of the ALDIR and the director, an assisted living facility may serve as the field experience site for a student who is employed by the assisted living facility, provided that the ALDIR is relieved of all previous duties during the time of the field experience.</p> <p>Subp. 2. Mentor. A. The field experience must be completed under the direction of a mentor. A mentor must be a licensed assisted living director or a licensed health services executive. A mentor must be licensed and practicing</p>	<p>OR</p> <p>ALDIR replace with applicant</p> <p>Applicant – no timeframe ALDIR – permitted average 20 hours per week</p>

for at least two years or be licensed on or before July 1, 2021.

B. A mentor must:

(1) ensure that the ALDIR complies with the domains of practice and NAB administrator in training manual;

(2) ensure that the ALDIR has experience with professional practice analysis; and

(3) not supervise an ALDIR who is a related individual or who resides in the immediate household of the mentor.

Subp. 3. **Duration.** Before beginning the field experience, the ALDIR applicant must complete a self-assessment prescribed by the board that identifies topics where education, experience, and training are needed. The ALDIR must share the results of the self-assessment with the mentor and allow the mentor to provide input into the self-assessment. The mentor must determine the duration of the field experience, with 480 hours recommended but a minimum of 320 hours required and a maximum of 1,000 hours allowed, and the focus of the field experience based on the topics identified in the self-assessment.

Subp. 4. **Contents and topics for field experience.** Regardless of the areas identified in the self-assessment, the field experience must include, but need not be limited to, the following:

A. exposure to all areas of operations within the assisted living facility to provide the ALDIR with knowledge of all functions of the assisted living facility;

B. review of the findings and results of regulatory inspections and responses of the assisted living facility;

C. observation of the integrative and administrative role of the director through attendance with the director or mentor at meetings with staff, families, governing

Practicing for at least two years “in assisted living” (clarifies if a NH licensee can mentor, if licensed before July 1 as Legacy).

ALDIR - applicant

Complete a mentor course approved by the board or by NAB

(NAB offers a four-part module for mentor – small nominal fee of \$15).

Associations -teach a class.(?)

This speaks to Course Provider Review in 6400.7040 F (2)

Comment:

6-month requirement of supervisory/managerial experience. 520 hours assuming 20 hours per week.

<p>bodies, community groups, resident councils, or other groups;</p> <p>D. observation of the relationships between the assisted living facility and community and other health care providers and organizations operating in the continuum of health care; and</p> <p>E. participation in and completion of a quality assurance and performance improvement project.</p> <p>Subp. 5. Completion of self-assessment. At the end of each field experience and as part of the licensure process, the ALDIR and the mentor must provide evidence to the board demonstrating completion of the board-approved self-assessment and remediation of any areas identified in the self-assessment as deficient.</p>	<p>Applicant and Mentor Mentor evaluation is used as “evidence” or toolkit</p>
<p>6400.7040 COURSE PROVIDER REVIEW.</p> <p>Subpart 1. Program review and approval. Upon request of a course provider, the board shall review course content offered by the course provider, and upon finding conformity between the proposed program and the requirements of this chapter, shall approve the course provider as offering courses that meet all of the course requirements for licensure.</p> <p>Subp. 2. Requesting course review. When submitting a program of study offered by a course provider to meet the course requirements, the course provider shall provide the following information in an application for the board's review:</p> <p>A. designation of a program director to coordinate the course provider's program or course offerings with the board. If the program director determines that courses from students transferring into the course provider's program or courses from students enrolled in the program who cannot arrange class schedules to permit timely completion of the board-approved courses are equivalent in content to those accepted by the board to fulfill the course requirements in parts 6400.7015 and 6400.7020, the program director must submit the students' equivalent courses to the board. The board</p>	

must determine that the courses are equivalent in content to fulfill the course requirements in parts 6400.7015 and 6400.7020;

B. evidence of the establishment and use of an advisory group of assisted living directors and others in the long-term services and supports industry, including the names and experience of group members and the frequency of meetings, to review course requirements and practicum activities;

C. a published marketing description of the course of study offered or recommended by the provider for those interested in licensure as an assisted living director in Minnesota. Nothing in this chapter restricts course providers from designing or implementing curricula, or establishing requirements for courses, majors, or other designations offered by the institution, more comprehensive than required under this chapter for licensure;

D. a topic-by-topic review of how each course offered by the course provider meets the requirements in parts 6400.7015 and 6400.7020;

E. an outline of each course offered by the course provider to fulfill one or more of the licensure course requirements, listing texts and materials used in the course; and

F. identification of one or more course providers to:

(1) coordinate director in training field experiences for students; and

(2) provide instruction to any director becoming a mentor for the first-time regarding objectives for the director in training or evidence of use of NAB's mentor training modules.

Subp. 3. **Review and approval process.** Upon receipt of an application package for approval of a course provider's program to meet board course requirements, the board shall acknowledge receipt of the request and identify any missing requirements to the program director. Upon receipt of all required information, the

Not sure if all coursework providers use this.

Not sure if all program course providers are doing this.

Not sure if all program course providers are doing this

board shall review all materials presented and may request an appearance by one or more representatives of the program at a meeting to review all material for conformance to requirements. The board shall base its decision to approve or reject the course provider's program on whether the application materials presented cover the course topics outlined in parts 6400.7015 and 6400.7020 with sufficient depth to enable students to attain the knowledge, skills, and abilities required to begin work as an assisted living director. If the application package and discussion with program officials fail to show compliance with parts 6400.7015 and 6400.7020 or to provide sufficient evidence to satisfy the board members that they can infer beginning-level competency among students completing the proposed course, the board shall notify the program director in writing of the deficiencies the course provider must remedy. Once all deficiencies are satisfactorily remedied, the board shall grant approval to the course provider in writing and include reference to the course provider's offerings in its correspondence with students interested in learning where courses approved by the board to meet licensure requirements are available. If the deficiencies are not corrected, the board shall deny approval for the course provider's program by written notice to the program director.

Subp. 4. **Annual review.** Annually on or before **September 1**, the program director of a course provider with an approved program or courses shall file with the board on forms prescribed by the board for that purpose a report indicating:

A. any changes in any of the information presented to satisfy the requirements outlined in this part since the initial application or since the updated report of the preceding year; and

B. . to the extent available, a schedule of when throughout the year the approved courses will be offered by the course provider or the link to the course website.

Subp. 5. **Five-year course provider review.**

Change to **January 1** – due to other time constraints within the board and part of the QA report provided to board. NAB reports do not get produced until Q4

A. Every fifth year following the board's initial approval of a course provider's program or courses, the program director shall provide a complete review of the course provider's program by submitting to the board by September 1 of the fifth year a review application package in the same format and incorporating the same information as required in subpart 2 for a new program approval application. When no change has occurred since the initial application, the program director may submit a copy of the initially submitted information with an updated date and attestation that the information is current.

B. The board shall review the five-year program review package submitted by the course provider and approve or deny continued board approval for the program as provided in subpart 3. If the board finds it necessary to deny continued approval to a program or to specific courses, the board shall provide information to the program director about ways in which students currently enrolled in the program may obtain supplementary or alternative courses to complete the requirements for licensure in view of the revocation of approval for courses offered by the course provider. The program director shall provide the information to all students enrolled in the previously approved program or courses and shall work with the students to provide a smooth transition to alternative course providers offering approved courses.

C. In addition to the five-year program review, if the board receives information that the success rates fall below the national average for candidates from the program who, during the annual review period, wrote for the first time the national examination for assisted living directors developed by NAB, the board must take one of the actions described in subitems (1) to (3):

(1) if success rates are below the national average for one period, the board shall require the program director to identify factors that potentially affect the low success rate of the licensure examination. The director shall submit a plan of corrective action by a specified date. The plan of action must be on a board-supplied form and include the signature of the program director and another course provider representative. If during

<p>the following year the success rate is above the national average, no action by the board is required;</p> <p>(2) if the success rates are below the national average for two consecutive periods, the board shall notify the program director of a survey to identify additional factors affecting the low success rate and review progress on the plan for corrective action submitted the previous year. The survey must include the director, presenters, students, and a course presenter representative. The program director shall submit a revised plan of corrective action by a specified date. The plan of corrective action must be on a board-supplied form and include the signatures of the program director and course provider representative. If during the following year the success rate is above the national average, no action is required by the board; or</p> <p>(3) if success rates are below the normal average for three consecutive periods, the board shall require the program director and another course provider representative to meet with a committee of board members and board staff for a survey for compliance with all applicable rules and for the implementation of the plan for corrective action submitted the previous year. Upon completion of the survey, the board shall take action according to subpart 3.</p>	
<p>LICENSES AND PERMITS</p> <p>6400.7045 ENDORSEMENT. Subpart 1. License; assisted living director. The board shall issue an assisted living director license to an individual who has been issued and currently holds a license as an assisted living director in another jurisdiction if:</p> <p>A. the other jurisdiction maintains requirements for assisted living director licensure that are equivalent to those required under part 6400.7005 or the applicant is currently licensed as an assisted living director and provides the board evidence of having successfully completed a professional program in assisted living administration endorsed by NAB or approved by the board;</p>	

<p>A. comply with the laws of Minnesota and the rules of the board and other Minnesota state agencies regarding licensure as an assisted living director and operation of an assisted living facility in Minnesota;</p> <p>B. provide notice to the board within five working days of any change in e-mail address, mailing address, or telephone number pursuant to Minnesota Statutes, section 13.41, subdivision 2, paragraph (b);</p> <p>C. provide notice to the board within five working days of any change in employment as an assisted living director for an assisted living facility;</p> <p>D. notify the board within five working days of any formal disciplinary action or charge against any license the licensee holds as an assisted living director, health services executive, or other health care professional in Minnesota or any other jurisdiction;</p> <p>E. cooperate with the board by providing data, reports, or information requested by the board that is relevant to the board’s licensure and disciplinary authority and complying with requests to attend conferences, meetings, or hearings scheduled by the board concerning license renewal or complaint investigations and discipline;</p> <p>F. provide, when requested, a defined delegation of authority, in the case of director absences, at each assisted living facility where the licensed assisted living director serves as director; and</p> <p>G. be responsible for the general administration and management of the assisted living facility and oversee the day-to-day operation of the assisted living facility. This includes responsibility for:</p> <p>(1) ensuring that services and support are provided to residents in a manner that protects their health, safety,</p> <p>(2) maintaining compliance with applicable laws and regulations;</p> <p>(3) developing and implementing all policies, procedures, and services required in</p>	<p>C. provide notice to the board within five working days of any change in employment as an assisted living director for an assisted living facility. Residency permit director are required to provide written notification;</p>
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<p>Minnesota Statutes, chapter 144G;</p> <p>(4) ensuring staff and volunteers comply with residents' rights;</p> <p>(5) maintaining buildings and grounds;</p> <p>(6) recruiting, hiring, training, and supervising staff; and</p> <p>(7) ensuring the development, implementation, and monitoring of an individualized, person-centered plan of care for each resident, regardless of the internal or contracted service model.</p>	
<p>6400.7055 DISPLAYING LICENSES.</p> <p>A licensee actively practicing shall display the board-issued license, not a photocopy, in a conspicuous place in the assisted living facility that the licensee directs, that is visible to residents and visitors.</p>	
<p>6400.7060 DUPLICATE LICENSES.</p> <p>Upon receipt of a notarized statement from a licensee that the licensee's license has been lost, mutilated, or destroyed, or that the licensee has had a name change, the board shall issue a duplicate license. A licensee may also apply for a duplicate license to display at each assisted living facility where the licensee serves as the assisted living director under this chapter. Licensees obtaining duplicate licenses are subject to the applicable fee.</p>	<p>Language needs to be modified. “notarized document or statement that the licensee has had a name change, or an attestation of a lost, mutilated, or destroyed license.”</p> <p>Duplicate license: Language change Or may also “request” duplicate licenses whereas the assisted living facility meets the definition as a campus under statutes 144G.07(?) with multiple buildings under the same license.</p>
<p>6400.7065 RENEWING LICENSES.</p> <p>Subpart 1. Forms; time for renewal. Every individual who holds a valid license issued by the board shall annually apply to the board on or before October 1 for renewal of the individual's license and shall report any information pertinent to continued licensure requested by the board. The applicant shall submit evidence satisfactory to the board and subject to audit under part 6400.7090, subpart 3, that during the annual period immediately preceding the renewal application the</p>	<p>Assisted Living and Shared Assisted Living License October 31</p> <p>Change to an annual renewal of license and CE requirement. This is confusing when CE is every two years.</p>

licensee has complied with the rules of the board and completed continuing education requirements for license renewal.

Subp. 2. Upon making an application for license renewal, the licensee shall pay the annual fee. If submitting CE credits that include clock hours for workshops, seminars, institutes, or home study courses that have not been preapproved by the board, the licensee shall also pay a fee for review of clock hours based upon the total number of non-preapproved clock hours being submitted for CE credit to meet renewal requirements. If the application for renewal has not been received by October 31 of each year, the license lapses and the holder of a lapsed license is subject to the reinstatement procedure and late renewal fees.

Subp. 3. **Exemption from. Renewal.** Pursuant to Minnesota Statutes, section 326.56, a licensee who is in active service, as defined in Minnesota Statutes, section 190.05, for the armed forces of the United States or is employed outside of the United States in employment that is essential to the prosecution of any war or the national defense, according to Minnesota Statutes, section 326.56, and whose license was in effect at the time of entry into the armed forces or engagement in employment outside the United States, is not obligated to renew licensure. The board must be notified in writing by the licensee regarding the qualifications for this exemption. The exemption ceases six months after discharge from active service or termination of the aforementioned employment. A license renewal notice shall be sent to the licensee at the time that a license renewal notice would normally be sent to the licensee. The licensee may be requested to reconfirm exempt status. If the licensee no longer qualifies for the exemption, the requirements for license renewal must be met.

6400.7070 LICENSE REINSTATEMENT.

An assisted living director previously licensed in this state whose license has lapsed may apply under items A to C for reinstatement of a license within five years of the date the individual was last licensed. If an individual's license has been revoked or if the

The applicant shall “attest” or submit satisfactory evidence to the board subject to an audit under....

individual has not been licensed for five years or more, the license cannot be reinstated but the former licensee may apply for relicensure under the requirements in part 6400.7010.

A. If a license has been lapsed in Minnesota for less than two years prior to the date of the application for reinstatement, the board must reinstate the license if the former licensee has not had disciplinary action against a health care professional license in Minnesota or another jurisdiction during the time that the Minnesota license was lapsed and the former licensee:

(1) files with the board a completed application for reinstatement;

(2) provides evidence of having completed the continuing education requirements under part 6400.7090, subpart 1, for each of the years the license has lapsed; and

(3) pays the license renewal and late fees for each of the years the license has lapsed.

B. If a license has been lapsed in Minnesota for more than two years but less than five years prior to the date of the application for reinstatement and the former licensee has been continuously licensed as an assisted living director or health services executive in one or more other jurisdictions since the date the license lapsed in Minnesota, the board must reinstate the license if the former licensee has not had disciplinary action against a health care professional license in Minnesota or another jurisdiction during the time the Minnesota license was lapsed and the former licensee:

(1) files with the board a completed application for reinstatement;

(2) provides evidence of having completed the continuing education requirements under part 6400.7090, subpart 1, for each of the years the license has lapsed;

(3) pays the license renewal and late fees for each of the years the license has lapsed; and

(4) successfully completes the state examination.

Comment: Confusion around this “individual has not been licensed for five years or more, the license cannot be reinstated”.

Applies to Legacy Applicants, that would need to start application process over. (Exams, Field Experience, Coursework).

<p>C. If a license has been lapsed in Minnesota for more than two years but less than five years prior to the date of the application for reinstatement and the former licensee has not been continuously licensed in one or more jurisdictions since the date the license lapsed in Minnesota, the board must reinstate the license if the former licensee has not had disciplinary action against a health care professional license in Minnesota or another jurisdiction during the time that the Minnesota license was lapsed and the former licensee:</p> <p>(1) files with the board a completed application for reinstatement;</p> <p>(2) provides evidence of having completed the continuing education requirements under part 6400.7090, subpart 1, for each of the years the license has lapsed;</p> <p>(3) pays the license renewal and late fees for each of the years the license has lapsed;</p> <p>(4) successfully completes the state examination; and</p> <p>(5) successfully completes the NAB core knowledge and line of service examinations.</p>	
<p>6400.7075 VERIFICATION OF MINNESOTA LICENSE.</p> <p>Upon request and payment of a fee under this chapter by the licensee, the board shall issue a certified statement of the licensee's licensure status and examination scores to another jurisdiction.</p>	
<p>6400.7080 ASSISTED LIVING DIRECTOR IN RESIDENCE PERMITS.</p> <p>Subpart 1. Board to issue permits. When the controlling individuals of an assisted living facility designate an ALDIR under this part, the designee must secure a permit within 30 days of the designation. To secure a permit, the ALDIR must designate on the permit application the person who will serve as a</p>	<p>Language Change: <i>Assisted Living Director In Residence (ALDIR) on a temporary basis</i> <i>May need to be shortened from 30 days</i></p>

<p>mentor during the director in residence field experience. The board shall issue a permit to serve an assisted living facility as an assisted living director in residence for up to one year. A permit to serve as an ALDIR is not renewable beyond the one year for which it was issued.</p> <p>Subp. 2. Qualifications. An applicant for a permit to serve an assisted living facility as an ALDIR must furnish satisfactory evidence that the applicant:</p> <p>A. has graduated from high school or holds a general education development (GED) certificate of equivalent competency;</p> <p>B. has experience in the management of an assisted living facility or related facility or program or is enrolled with a course program approved by the board within six months of designation;</p> <p>C. is in good standing in each jurisdiction from which the applicant has ever received a health care license;</p> <p>D. has successfully completed a criminal background check under Minnesota Statutes, section 214.075; and</p> <p>E. has established a mentor relationship, including providing information about the mode and frequency of communication between the mentor and the assisted living director in residence.</p> <p>Subp. 3. Responsibilities. The assisted living director in residence must meet the licensee responsibilities set forth in part 6400.7050.</p>	<p><i>Residency permit director are required to notify the Board when no longer serving at the location the permit was issued at within 5 working days.</i></p> <p><i>Add Language: If applicant is not licensed within the one year, the controlling individuals must designate an LALD or another ALDIR.</i></p> <p>Limit on number of sites – add language for more than one location. No more than 2 sites for a shared permit</p> <p>Add language “for a minimum of one year” “and”</p> <p>Comment: May not have the 2 years working in the continuum of long term services and supports including 6 months is a supervisory or managerial position</p> <p>Discussion: Extension of permit – 6 months (when experience is not met, or exams cannot be passed).</p> <p>Current practice: Must have an active application on file for the duration of the permit. If application expires, and permit expires, applicant can reapply and if different location can be issued a new permit for a new location for 12 months.</p> <p>Add Some language around ALDIR and field experience. Field experience 20 hours per week from 6400.7030 ALDIR Field Experience</p>
<p>6400.7085 SHARED DIRECTOR.</p>	

<p>A. With approval of the board, an assisted living facility may share the services of a licensed assisted living director or a permitted assisted living director in residence. The director or director in residence must maintain an on-site presence to administer, manage, and supervise each assisted living facility and meet the domains of practice according to the requirements of this chapter.</p> <p>B. Within 15 days after assuming the position, the shared director or director in residence must submit an application to serve as a shared director, on forms provided by the board. All applications for a shared director arrangement must be signed by a legal representative of the facility or by a controlling individual.</p> <p>C. The board shall consider the following criteria to determine whether to approve the shared arrangement:</p> <ul style="list-style-type: none"> (1) education and experience of the director or assisted living director in residence; (2) geographic location and distance between assisted living facilities; (3) whether the assisted living facilities share common management or common ownership; (4) external or regional administrative support and clinical support; (5) number of assisted living facilities to be shared; (6) services provided at each assisted living facility; (7) number of residents at each assisted living facility; (8) licensed staffing at each assisted living facility; (9) proposed duration of the shared director arrangement; (10) compliance and complaint history; (11) written delegation of authority policy; 	<p>Need to add language around “Shared Permits when licensed. Shared permits become licenses when fully licensed as an assisted living director”.</p> <p>Add Language: “and shared agreement” Replace arrangements with agreement</p> <p>“agreement”</p> <p>Management agreement – define what we are looking for (legal document signed by managing entity and each owner -speaking to certain requirements within the management agreement such as systems, policies and procedures). Perhaps the management agreement provides the external and regional support for both entities by the management entity for each owner group.</p> <p>Size capacity or number of residents</p>
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(12) communication plan for residents, families, and staff; and

(13) acknowledgment of ongoing satisfaction of resident contracts at each assisted living facility

D. If the proposed shared assisted living facilities are five or fewer in number, are all within a 60-mile radius and have common management, and the assisted living facilities' licenses and the license or permit of the proposed director are in good standing, the board shall administratively approve the shared assisted living facility arrangement.

E. The board shall review all shared assisted living facility arrangements approved or denied administrative approval under item D at the board's next regularly scheduled board meeting following the approval or denial. The board must determine, according to the criteria in item C, whether to ratify the administrative approval or approve the shared arrangement previously denied administrative approval.

F. If the board approves the request to serve as a shared director, the licensee or permit holder must:

(1) establish procedures and delegate authority for on-site operations in the director's or assisted living director in residence's absence;

(2) be available to staff at each assisted living facility that the licensee or permit holder directs;

(3) post at each assisted living facility a board-issued license or permit in a conspicuous place within the assisted living facility;

(4) post at each assisted living facility the procedure to contact the person in charge on the premises in the absence of the director or assisted living director in residence; and

(5) make communication plans available to residents, families, and staff at each assisted living facility the licensee or permit holder directs.

<p>G. If the board does not approve the request to serve as a shared director, the board shall provide the director written notice of the board's decision and a remediation plan.</p>	
<p>6400.7090 CONTINUING EDUCATION REQUIREMENTS.</p> <p>Subpart 1. Renewal requirements. At the time of license renewal, each licensee shall provide evidence to the board that the licensee has completed in the preceding two years 30 continuing education credits of continuing education activities as specified in this part and Minnesota Statutes, section 144A.20, subdivision 4, paragraph (c). Licensees in their first year of licensure shall have the number of CE credits required for license renewal prorated for the number of months they were licensed during the preceding year. For purposes of obtaining and presenting CE credits, a year runs from September 1 to August 31.</p> <p>Subp. 2. Evidence of continuing education requirement completion. Licensees must maintain proof as described in part 6400.7091 of having completed the number of CE credits claimed at the time of renewal and shall, upon request of the board, make that proof available for audit to verify completion of the number and validity of credits claimed. Documentation to prove completion of CE credits must be maintained by each licensee for four years from the last day of the licensure year in which the credits were earned.</p> <p>Subp. 3. Audit. The board shall annually select on a random basis at least five percent of the licensees applying for renewal to have their claims of CE credits audited for compliance with board requirements. Nothing in this subpart prevents the board from requiring any individual licensee from providing evidence to the board of having completed the CE credits required for license renewal.</p>	<p>“Preceding year, 15 continuing education credits”</p>

Subp. 4. Acceptable content for continuing education activities. Unless otherwise specified in part 6400.7091, the content of continuing education activities must relate to one or more of the following:

A. administration of services for persons needing long-term services and supports;

B. current issues and trends in long-term services and supports and assisted living licensure;

C. the relationship of long-term services and supports to other aspects of the health care continuum; and

D. responsibilities, tasks, knowledge, skills, and abilities required to perform assisted living director functions as outlined in the NAB domains of practice.

Subp. 5. Credits to maintain another professional license. Continuing education required to maintain another professional license, such as a nursing home administrator license, nursing license, social worker license, mental health professional license, or real estate license, may be used to satisfy the requirements of subpart 4 when approved by the board. The board shall approve continuing education credits under this subpart when the continuing education is related to the domains of practice of assisted living as identified in the NAB job analysis for assisted living directors.

Subp. 6. Unacceptable content for continuing education activities. Subjects for continuing education that are not acceptable to meet license renewal requirements include:

A. general personal development including stress management;

B. assisted living facility or company orientation;

C. assisted living facility or company policies or procedural issues;

<p>D. organizational functions such as business meetings and election of officers;</p> <p>E. medical treatment at a clinical level beyond that required for licensure as an assisted living director; and</p> <p>F. any other subject unrelated to content specified under subpart 4.</p> <p>Subp. 7. Requirements in specified subjects. The board shall, when compelled by advancement in scope of practice or emerging long-term services and supports issues, and by public written notice to each licensee on or before September 1, require all licensees to attend continuing education programs in specified subjects.</p>	
<p>6400.7091 NUMBER OF CE CREDITS FOR ACTIVITIES.</p> <p>Acceptable activities to meet continuing education requirements for license renewal and the number of continuing education credits that licensees may obtain for each are described in items A to K.</p> <p>A. A licensee who attends board-approved seminars, webinars, institutes, or workshops shall receive CE credit on a clock-hour basis for the actual amount of time spent in the seminar rounded to the nearest lower one-quarter hour. To verify clock hours of attendance at seminars, webinars, institutes, or workshops, a licensee must maintain an attendance certificate provided by the sponsoring organization.</p> <p>B. A licensee who completes board-approved home study courses, including correspondence work, televised courses, and audio or video recordings, shall receive CE credit for the number of clock hours reasonably required to complete the home study course as determined by the board. To verify completion of the course, the licensee must maintain a certificate of course completion from the sponsor that must include evidence of passing a test corrected by the sponsor.</p>	

C. A licensee who attends seminars, webinars, institutes, or workshops, or completes home study courses approved by NAB shall receive CE credit on the basis of clock hours assigned by NAB. To verify clock hours of attendance at NAB-approved seminars, webinars, institutes, or workshops, or completion of NAB-approved home study courses, the licensee must maintain a certificate provided by the NAB-approved sponsor.

D. A licensee who attends, in another state, seminars, webinars, institutes, or workshops approved by the assisted living director or health services executive licensing authority of the other state shall receive CE credit on the basis of the number of clock hours attended. To verify clock hours of attendance at seminars, webinars, institutes, or workshops approved by another state's licensing authority, the licensee must maintain a certificate of attendance from the sponsor including verification of the state's licensing authority's approval.

E. A licensee who passes academic courses applicable to the domains of practice taken at an accredited postsecondary institution shall receive nine CE credits per quarter credit and 12 CE credits per semester credit. To verify passage of academic courses, the licensee must maintain a copy of an academic transcript showing the course grade and the date it was awarded.

F. A licensee who writes an article on a topic related to long-term services and supports that is published in a national periodical shall receive two CE credits for an article of 500 to 1,000 words and one additional credit for each additional 500 words to a maximum of ten CE credits per year. To verify publication, the licensee must maintain a copy of the periodical containing the published article.

G. A licensee who presents a paper or lecture on a topic related to long-term services and supports of at least one hour at a national or statewide meeting shall receive two CE credits per one hour of initially presented lectures and one CE credit per hour of lectures repeating previously presented material to a maximum of ten CE credits per year. To verify the

presentation, the licensee must maintain a copy of the text of the information delivered and a copy of the program for the conference or workshop at which the paper or lecture was delivered.

H. A licensee who delivers a lecture on a topic related to long-term services and supports of at least one hour at an academic institution or through a course provider shall receive two CE credits per one hour of initially presented lectures and one CE credit per hour of lectures repeating previously developed material to a maximum of ten CE credits per year. To verify lecture delivery, the licensee shall maintain corroboration from the participating academic institution.

I. A licensee who serves as a member of a board, committee, council, or work group that includes members from several nursing or assisted living facilities or organizations and deals primarily with issues in assisted living facility operation or long-term services and supports shall receive CE credit per

membership position held provided the group meets at least quarterly or for at least four hours of work in a year to a maximum of six CE credits per year for all membership positions combined. Where the licensee verifies that the licensee's participation on a single board, committee, council, or work group exceeded the minimum specified for a single CE credit by double the amount of hours of attendance, the licensee shall receive two CE credits per membership position to a maximum of six CE credits per year for all membership positions combined. To verify board, committee, council, or work group participation, the licensee must maintain written verification of membership and attendance from an officer of the group and must provide the learning objectives of the meeting.

J. A mentor for an assisted living director in residence's field experience shall receive two CE credits per month spent serving as director to a maximum of 16 CE credits per year. To verify mentor service, the mentor must maintain documentation of service from the participating course provider. An individual who attends training sessions to prepare mentors to oversee

<p>field experiences shall receive CE credit on the same clock-hour basis as for seminars, webinars, institutes, and workshops under item A. This item also applies to a health services executive applying for licensure renewal under part 6400.6740 who serves as a mentor for an assisted living director in residence's field experience.</p> <p>K. Other continuing education activities not specified in items A to J may be approved for up to ten CE credits per year on an individual basis upon submission of information to the board concerning the activity in which the licensee has engaged, the results of the learning, the number of hours involved, the number of CE credits requested, and some means of verifying completion of the activity. The board shall consider the information submitted and determine whether to approve the activity and, if so, what number of CE credits to award for the activity, and shall notify the requesting licensee of the board's determination. In making its determination, the board shall consider whether the activity contributed to the advancement and extension of professional skill and knowledge of the licensee in matters related to the practice of assisted living facility direction.</p>	
<p>6400.7092 SPONSORING CONTINUING EDUCATION.</p> <p>Subpart 1. Applying for individual program approval. Individuals, groups, or organizations wishing to sponsor educational seminars, webinars, institutes, workshops, or home study programs shall submit the following, in writing, to the board to obtain review and approval for clock hours of CE credit for licensees to use in meeting continuing education requirements for license renewal:</p> <p>A. date, time, and location of presentation;</p> <p>B. presentation content, showing specific time periods, topics, titles, and speakers including their professional qualifications;</p> <p>C. number of clock hours requested;</p>	

D. a statement indicating the sponsor's willingness to maintain a means of verifying attendance and provide each attendee a certificate of attendance or other appropriate means of attesting to the number of clock hours actually attended by each attendee;

E. for home study programs, evidence of a testing process to measure the participant's attainment of knowledge and information provided in study materials; and

F. a fee based on the number of clock hours requested to be reviewed and approved.

Subp. 2. Licensee-sponsored programs and courses.

A licensed director who attends a seminar, webinar, institute, or workshop, or participates in a home study course that has not been reviewed and approved by the board for a sponsor, may serve as the sponsor of a program and obtain review of the program and assignment of clock hours by submitting to the board:

A. a copy of the seminar program or other document identifying the program content and other information required of program sponsors under subpart 1, items A to C; and

B. a fee in the same amount as would be charged to a sponsor under subpart 1, based on the total number of clock hours requested to be reviewed and approved.

Subp. 3. Review of sponsor requests. The board shall review sponsor requests and approve CE credit hours for programs with content, presenters, and means of verifying attendance or measuring knowledge attainment under subpart 1 and part 6400.7090, subpart 4, and notify the requesting sponsor of the decision.

Subp. 4. Designation of registered continuing education sponsors. An organization that annually sponsors multiple educational seminars, webinars, institutes, workshops, or home study courses may request designation by the board as a registered continuing education sponsor on an annual basis beginning September 1 and ending August 31.

Registered continuing education sponsors may assign CE credit hours to their own program offerings applying the provisions of this chapter. The board shall review and approve request for designation and authority as a registered continuing education sponsor if the sponsor:

A. is a regionally accredited university or college or division thereof or a state or national membership organization in the field of health care;

B. has been a sponsor of continuing education programs approved by the board under subpart 3 for the two years preceding the request to be named a registered sponsor;

C. has complied fully with the board's criteria for sponsors of continuing education programming;

D. has requested designation on forms prescribed by the board;

E. has signed an agreement to:

(1) comply with the rules of the board in assigning clock hours to continuing education programs;

(2) provide certificates of attendance to participants; and

(3) provide the board with information concerning sponsored programs; and

F. has paid the balance of the registered sponsor fee within 30 days of notification by the board of approval of the organization as a registered continuing education sponsor.

Subp. 5. Performance review of registered sponsors.

The board shall review performance of registered sponsors annually upon the sponsor's request to renew the one-year sponsor agreement with the board or more frequently if determined necessary in the judgment of the board and shall remove registered sponsor status from an organization upon 30 days' notice if the

<p>sponsor has been found to violate the terms of the agreement with the board.</p> <p>Subp. 6. Course program provider waiver. A course program provider approved by the board is exempt from the annual fee by validating attendance and recording and merging the verified attendance records with the board's online continuing education attendance system.</p>	
<p>STANDARDS OF PRACTICE</p> <p>6400.7095 STANDARDS OF PRACTICE; ENFORCEMENT.</p> <p>Subpart 1. Criteria. The board may impose disciplinary action as described in subpart 2 against an applicant, the holder of a permit to serve as a director in residence, or a licensee when the board determines, by a preponderance of the evidence and after notice and an opportunity to be heard at a contested case hearing, that the applicant, permit holder, or licensee:</p> <p>A. has been convicted of a felony or gross misdemeanor, including a finding or verdict of guilt, whether or not the adjudication of guilt has been withheld or not entered, an admission of guilt, or a no contest plea, when the felony or gross misdemeanor is related to the practice of assisted living director, as evidenced by a certified copy of the conviction;</p> <p>B. has been convicted of a crime against a minor, including a finding or verdict of guilt, whether or not adjudication of guilt has been withheld or not entered, an admission of guilt, or a no contest plea;</p> <p>C. is not eligible to be employed as an assisted living director under Minnesota Statutes, section 144A.20, subdivision 4;</p> <p>D. has failed to comply with Minnesota Statutes, section 626.557, the Vulnerable Adult Act;</p>	

E. has violated a statute, rule, or order that the board issued or is empowered to enforce or that pertains to directing an assisted living facility or to the responsibilities of an assisted living director;

F. has discriminated against any resident or employee based on age, race, sex, religion, color, creed, national origin, marital status, status with regard to public assistance, sexual orientation, or disability;

G. has committed acts of misconduct related to qualifications, functions, or duties of an assisted living director and evidenced unfitness to perform as an assisted living director in a manner consistent with protecting resident health, safety, and welfare;

H. has engaged in fraudulent, deceptive, or dishonest conduct, whether or not the conduct relates to the practice of assisted living facility direction, that adversely affects the individual's ability or fitness to practice as an assisted living director or health services executive;

I. has engaged in unprofessional conduct, including any departure from or failure to conform to the minimum standards of acceptable and prevailing practice, as specified in state and federal statutes and rules concerning administration of assisted living facilities, without actual injury having to be established;

J. has failed to take good faith efforts to protect the safety, health, or life of a resident;

K. has willfully permitted the unauthorized or illegal disclosure of information relating to a resident;

L. has engaged in sexual harassment, made sexual advances toward, or engaged in sexual contact with any

resident, student, or trainee under the individual's supervision, or engaged in sexual harassment of an employee, consultant, or visitor to the facility in which the individual practices;

M. has practiced fraud, deceit, cheating, or misrepresentation, or provided misleading omission or material misstatement of fact, in securing, procuring, renewing, or maintaining a license or permit;

N. has used the individual's professional status, title, position, or relationship as a licensee or permit holder to coerce, improperly influence, or obtain money, property, or services from a resident, a resident's family member or visitor, an employee, or any person served by or doing business with the assisted living facility that the individual administers or is employed by;

O. has paid, given, caused to be paid or given, or offered to pay or give to any person a commission or other consideration for solicitation or procurement either directly or indirectly for assisted living facility patronage. Nothing in this item shall be construed to limit or restrict commercial advertisement;

P. has knowingly aided, advised, or allowed an unlicensed person to engage in the unlicensed practice of assisted living facility direction;

Q. has practiced fraudulent, misleading, or deceptive advertising with respect to the facility of which the licensee is director;

R. has wrongfully transmitted or surrendered possession of the individual's license or permit to any other person, either temporarily or permanently;

S. has falsely impersonated another licensee or permit holder;

T. has practiced without a current license or permit;

U. has made a false statement or knowingly provided false or misleading information to the board; failed to submit reports as required by the board; failed to cooperate with an investigation of the board, the Office of the Attorney General, or the Minnesota Department of Health; or violated an order of the board;

V. has been the subject of a reprimand, restriction, limitation, condition, revocation, suspension, surrender, or other disciplinary action against the person's assisted living director license in another jurisdiction or any other health care professional license or permit in Minnesota or another jurisdiction;

W. has failed to report a reprimand, restriction, limitation, condition, revocation, suspension, surrender, or other disciplinary action against the person's license in another jurisdiction or failed to report the existence of a complaint or other charges against the person's license in this or another jurisdiction or has been refused a license as an assisted living director by any other jurisdiction for reasons other than a difference in academic or experience requirements among jurisdictions;

X. has abused or is dependent on alcohol, a legend drug as defined in Minnesota Statutes, chapter 151, a chemical as defined in Minnesota Statutes, chapter 151, or a controlled substance as defined in Minnesota Statutes, chapter 152, and this abuse or dependency has negatively affected the performance of the individual's duties; or

Y. has failed to meet the requirements of part 6400.7030 when mentoring an assisted living director in residence during the field experience.

Subp. 2. **Actions.** If grounds for disciplinary action exist under subpart 1, the board shall take one or more of the following actions:

- A. refuse to grant a permit;
- B. refuse to grant or renew a license;
- C. revoke a license or permit;
- D. suspend a license or permit;
- E. impose limitations or conditions on a license or permit;
- F. censure or reprimand the licensee or permit holder;
or
- G. refuse to permit an applicant to take the licensure examination or refuse to release an applicant's examination score.

Subp. 3. **Considerations.** In determining what action to take under subpart 2, the board shall consider:

- A. the responsibility and response of the individual prior to, during, and after the occurrence warranting disciplinary action under subpart 1;
- B. extenuating circumstances;
- C. repeated complaints against the individual; and
- D. the severity of or the potential of harm to residents.