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September 17, 2021

PIN 21-43-ASC
(Supersedes PIN 20-48-ASC)

TO: ALL ADULT AND SENIOR CARE PROGRAM LICENSEES

FROM: *Original signed by Kevin Gaines*
KEVIN GAINES
Deputy Director
Community Care Licensing Division

SUBJECT: **CORONAVIRUS DISEASE 2019 (COVID-19) MITIGATION PLAN
REPORT AND TRAINING**

Provider Information Notice (PIN) Summary

PIN 21-43-ASC supersedes [PIN 20-48-ASC](#), dated December 24, 2020, announcing a requirement for licensees of Adult and Senior Care (ASC) facilities to submit a plan for Epidemic Outbreaks, specific to COVID-19 (“Mitigation Plan Report”) by January 24, 2021. It also indicates the required components for a COVID-19 Mitigation Plan Report; a COVID-19 Mitigation Plan Report template; training resources; and outlines enforcement actions. This PIN provides specific updates to the Mitigation Plan Report submission process and links to Mitigation Plan training.

Please post/keep this PIN in the facility where persons in care can easily access it and distribute the PIN Summary (located at the end of this PIN) to persons in care and, if applicable, their representatives.

This PIN supersedes [PIN 20-48-ASC](#), dated December 24, 2020. Due to the global COVID-19 pandemic, the California Department of Social Services required all licensees of ASC facilities to submit a Mitigation Plan Report to address epidemic outbreaks or communicable diseases specific to COVID-19 by January 24, 2021. Specifically, PIN 21-43-ASC provides the following:

- Updates to the Mitigation Plan Report submission process; and
- Links to Mitigation Plan training provided in December, available on the CCLD website.

A Mitigation Plan Report is required pursuant to the following sections of the California Code of Regulations (CCR):

- Adult Day Programs – [CCR, Title 22, section 82061](#)
- Adult Residential Facilities, Adult Residential Facilities for Persons with Special Health Care Needs, Community Crisis Homes and Enhanced Behavioral Supports Homes – [CCR, Title 22, section 80061](#)
- Residential Care Facilities for the Chronically Ill – [CCR, Title 22, section 87861](#)
- Residential Care Facilities for the Elderly – [CCR, Title 22, section 87211](#)
- Social Rehabilitation Facilities – [CCR, Title 22, section 81061](#)

In addition, components of the Mitigation Plan Report are tied to the following licensing requirements (not all examples apply to every facility category):

- Buildings and Grounds (facility shall be clean, safe, and sanitary at all times)
- Care and Supervision (shall be as necessary to meet the needs of persons in care)
- Health Related Services and Observation of the Client (licensee shall ensure each person in care receives needed medical care; a person in care suspected of having a contagious disease shall be isolated; licensee shall regularly observe persons in care for changes in physical functioning and bring deterioration of health to the attention of the person's in care doctor)
- Personal Rights (personal right to be accorded safe, healthful and comfortable accommodations)
- Personnel Requirements (staff shall be employed in numbers necessary to meet the needs of persons in care; staff shall be trained and have experience/knowledge/skill in sanitation principles, universal precautions, recognition of early signs of illness and the need for professional assistance; all staff shall be in good health; staff with evidence of illness that poses a threat to the health and safety of persons in care shall be relieved of their duties)
- Plan of Operation (report changes such as policies, procedures or plans to prevent disease and control infection; caring for someone with a health condition such as a communicable infection)
- Conduct Inimical (licensee shall not engage in conduct that is harmful to the health or safety of a person in care in the facility)

COVID-19 Mitigation Plan Report

The Mitigation Plan Report requires the following components:

1. **Screening**
2. **Testing**
3. **Quarantine/Isolation/Cohorting**
4. **Infection Control Lead Person**
5. **Personal Protective Equipment (PPE)**
6. **Plans for Staffing Shortages**
7. **Communication**
8. **Memory Care** – Must be completed by licensees who have a dedicated Memory Care Unit or are serving persons in care with memory care needs.

The Department has provided a [template for the COVID-19 Mitigation Plan Report](#) as a courtesy for licensees. **Licensees are strongly encouraged to use this template.**

Submitting a Mitigation Plan Report

Completed Mitigation Plan Report must be signed, dated, and submitted to:

- CCLDFacilityCovidPlan@dss.ca.gov

After receipt of the Mitigation Plan Report, the Department will notify the licensee of any missing components so the plan can be resubmitted, or with an email verifying receipt of the mitigation plan and that the mitigation plan has been input into the facility file system.

Local Health Department Mitigation Plan

If licensees have an approved Local Health Department (LHD) Mitigation Plan, the Department may accept that Mitigation Plan to satisfy the Department's Mitigation Plan Report requirement. Please submit as indicated above.

In the event the LHD Mitigation Plan does *not* include the Memory Care component, but your facility has a dedicated Memory Care Unit or is serving persons in care with memory care needs, the licensee must additionally submit the Memory Care component (e.g., Section 8 of the COVID-19 Mitigation Plan Report template). Licensees may submit the Memory Care component as an addendum to the approved LHD Mitigation Plan if applicable.

Training

In order to assist licensees, the Department provided a training on December 29, 2020 on how licensees should develop a COVID-19 Mitigation Plan Report and the required components of the plan. The recording of that training can be found on the CCLD website at [DSS COVID-19 Mitigation Plan Licensee Training](#). Should licensees have any questions not answered in the recording, they are encouraged to contact their local Adult and Senior Care Regional Office.

Enforcement Actions

Failing to develop and/or submit the Mitigation Plan Report to the Department as required by the licensee may be considered a violation of the applicable licensing requirements/regulations listed above. Additionally, a licensee's failure to follow the Mitigation Plan Report to prevent and mitigate the spread of COVID-19 may be conduct inimical to the health, welfare and safety of persons in care.

If you have any questions, please contact your local

- [Adult and Senior Care Regional Office](#).

**Provider Information Notice (PIN) Summary for Residents
PIN 21-43-ASC,
Coronavirus Disease 2019 (COVID-19) Mitigation Plan Report**

The California Department of Social Services (CDSS) has prepared this **PIN Summary for residents** as a companion to **PIN 21-43-ASC** to inform you of guidance we provided to your care providers concerning your care.

PIN 20-48-ASC announced a requirement for the licensee of your facility to submit a plan for Epidemic Outbreaks, specific to COVID-19, by January 24, 2021. We are calling this a “Mitigation Plan Report.” This PIN also indicates the required components to include in a COVID-19 Mitigation Plan Report; a COVID-19 Mitigation Plan Report template; training resources; and outlines enforcement actions.

COVID-19 Mitigation Plan Report

The Mitigation Plan Report requires the following components:

- 1. Screening**
- 2. Testing**
- 3. Quarantine/Isolation/Cohorting**
- 4. Infection Control Lead Person**
- 5. Personal Protective Equipment (PPE)**
- 6. Plans for Staffing Shortages**
- 7. Communication**
- 8. Memory Care** – Must be completed by licensees who have a dedicated Memory Care Unit or are serving person in care with memory care needs.

The Department has provided a [template for the COVID-19 Mitigation Plan Report](#) as a courtesy to the licensee of your facility.

Submitting a Mitigation Plan Report

The licensee of your facility must submit a completed Mitigation Plan Report to:

- CCLDFacilityCovidPlan@dss.ca.gov

After receipt of the Mitigation Plan Report, the Department will notify the licensee of your facility of any missing components or if the plan is complete with a verification of receipt via email.

Local Health Department Mitigation Plan

If the licensee of your facility has an approved Local Health Department (LHD) Mitigation Plan, the Department may accept the LHD Mitigation Plan to meet the Department's requirement for a Mitigation Plan Report. The licensee of your facility must additionally submit the Memory Care component to the LHD Mitigation Plan if applicable.

Training

In order to assist the licensee of your facility, the Department provided training on how to develop a COVID-19 Mitigation Plan Report. This training is recorded and posted to the [Community Care Licensing Division website](#).

Enforcement Actions

If the licensee of your facility does not develop and/or submit a Mitigation Plan Report to the Department this may be considered a violation of the reporting requirement regulations. Also, if the licensee of your facility does not follow the Mitigation Plan Report, this may be considered a failure to protect your health, welfare, and safety.

Your care providers, the licensee of your facility, and the [Ombudsman](#) (call 1-800-510-2020) are available to answer your questions.