Residential Care Services (RCS)
Operational Principles and Procedures for
Assisted Living Facilities (ALFs)
FULL INSPECTION

FACILITY STAFF SAMPLE/RECORD REVIEW

I. Purpose
To select a staff sample and to determine whether the assisted living facility (ALF) has a systematic and consistent way to ensure that staff meet the statutory requirements for training, certification, experience, qualifications, and credentials to provide the care and services required for the residents in the ALF.

II. Authority
RCW 18.20.110
RCW 18.20.125
RCW 18.20.230
RCW 18.20.270

III. Operational Principles
A. The ALF is responsible for orientation of each staff and ensuring all staff meet the training requirements specified in chapters 388-112 WAC and 388-78A WAC.

B. The ALF is responsible for developing a system to ensure that documents related to the administrator and each staff’s qualifications, training, and other requirements, are obtained and maintained on the ALF premises and easily accessible to department staff

C. The staff sample is selected after the tour.

IV. Procedures
The Licensor will:
A. Request an ALF staff list at the entrance (Attachment B).

B. Select the ALF staff sample at the team meeting (refer to the Information and Assistance section for selection criteria).

C. Provide the list of required staff records to the licensee. Request the staff records on the day of the review.

D. Review staff records for required training, credentials, screenings, and other qualifications as it pertains to their job requirements and document using the staff identifier number on Attachment K.

E. Review that the facility has a disaster plan.

F. Expand the staff sample only if you have determined that there may be issues or concerns regarding the ALF’s ability to ensure that the administrator and staff meet the training and other requirements. Expand the sample only if necessary to determine if the issue is isolated or widespread.

G. Use the resident and staff interviews to identify possible or actual negative outcomes to residents related to staff training and/or qualifications.
V. Information and Assistance

A. Selection criteria for facility staff sample:

1. If the administrator has changed since the last inspection, review the administrator’s records to ensure he/she meets the appropriate administrator qualification and training requirements.

2. Review of staff list for hire dates and titles:
   a. Select 3 employees who have been hired in the period since the last inspection and conduct a full review of training and other requirements and qualifications. If fewer than 3 were hired, review records for all new employees.
   b. Conduct a targeted review of 1 or 2 employees (this could include the administrator) with a work history of over two years at the facility to ensure a system is in place to conduct background re-checks and continuing education requirements.

3. If issues related to quality of life and provision of care and services were identified during the observations and interviews that may indicate the employee’s lack of training or qualifications, review records for pertinent information.

B. For EARC – Specialized Dementia Care Contract, review staff records for:
   Documentation of at least 6 hours of continuing education per year related to dementia. (May be part of the total twelve hours required).

C. Communicate findings of incomplete or outdated information to the licensee/administrator or designee to provide opportunity to attain any outstanding documentation for review.

D. A record review alone may not provide enough information to confirm or disprove a deficient practice. Further data collection from interview and/or observation may be necessary.

E. At the conclusion of the inspection, the Attachment K and other documents will be sent to Headquarters for the official file. The licensor may keep a copy in the working papers.

E Irene Owens, Interim Director
ALTSA/Residential Care Services

January 21, 2014
Date