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

RESIDENT RECORD REVIEW

I. Purpose
To collect and review documented data in the assisted living facility (ALF) to determine if resident care and service needs are being met. The record review is primarily used to obtain information necessary to validate and/or clarify information already obtained through observations and interviews to determine deficient practice.

II. Authority
RCW 18.20.110
RCW 18.20.125 (1)
RCW 18.20.280

III. Operational Principles
A. Record reviews are resident centered and focused on obtaining specific information to validate and clarify issues identified with a resident’s provision of care and services, quality of life and safety.

B. A more thorough record review is done only if there is a probable or actual resident outcome identified that drives a more in-depth gathering of information, including expanding the resident sample for record review and resident interview.

C. The record review will focus on documentation since the last six months, unless further review is warranted.

IV. Procedures
The Licensor will:

A. Conduct a complete resident record review for residents in the sample who were chosen for a more in-depth review. For evaluation of the records follow the formal interview and document information on Attachment J including:
   1. Resident assessment;
   2. Monitoring of resident’s well-being;
   3. Negotiated service agreement;
   4. Medication record and other information.

B. Conduct a record review for other residents in the sample, if necessary. A record review for sample residents is not a routine process. It is driven by a specific issue or concern identified during:
   1. Informal interview/conversations,
   2. Observations and
   3. Data collected during the observations, interviews, and record reviews of in-depth sample residents.
C. For all sample residents, gather information from the record review to support or validate issues identified during observations and interviews.

D. Determine if information obtained from record review will require further interviews and observations.

E. Review the information/findings on licensor notes and applicable attachments, to determine the information is complete for each sampled resident.

F. Expand record review only if necessary to make a compliance decision.

V. Information and Assistance

A. The resident record provides a documented source of information regarding each resident as addressed by the licensee and staff. It is intended to provide a current picture of the resident as identified by observations and interview.

B. Because observations and interviews are the primary source of data gathering, record review should only be a small portion of the total Inspection.

C. Observations and ongoing communication with the ALF staff continue throughout the record review process. However, issues that may lead to a failed practice should not be communicated until sufficient evidence is collected, unless it represents an immediate danger to a resident or residents.

D. If information regarding assessment issues have been identified, the licensor may review the qualified assessor qualifications.

E. Expanding record review:
   1. Only expand the sample or add supplemental records if necessary to determine if there is a pattern of deficient practice. The focus will be only on the concern identified. (Refer to Resident Sample Selection Process).
   2. Expand the documentation review beyond six months only when an actual or potential outcome requires further history.

F. The review of facility records, closed records, and records outside the facility should not be done routinely; only if a specific issue is identified that requires further information to determine failed practice.

When to review a facility record:

1. Review of additional documentation kept by the ALF may be required to complete data collection regarding a specific issue, such as review of incident reports for a resident with recent falls. ALF documentation that may need to be reviewed if further information is needed to determine compliance include:
   a. Incident/accident documentation
   b. Policies and procedures (rarely)
   c. Financial records (only as they are related to resident care or services not being met) (rarely)
   d. Quality Assurance Committee notes (only for the information necessary to determine the existence of a QA committee and that it is operating in compliance with the regulations, or if the licensee offers the QA committee records as evidence of compliance)
When to review a closed resident record:

1. Review a resident record when an issue is identified that directly relates to a specific resident no longer in the ALF, if no current residents reside in the ALF, or if there is a concern regarding discharge or transfers.
   a. Request closed resident record from licensee or staff by resident name if the issue is resident specific, or a closed record from the last year.
   b. If no specific resident has been identified but a concern regarding discharge or transfer has been determined, review the resident register for recent discharges.
   c. Interviews with other residents and staff may also assist in selecting the closed record; therefore, selection of the closed record may occur later in the process.
   d. Note if the closed record was a state contracted resident and review for discharge and bed hold requirements if appropriate according to WAC 388-110-100.
   e. Review record for identified concern and document using Attachment J and/or Attachment L.
   f. Obtain a name and contact phone number for family/representative, if necessary to determine facility compliance.
   g. Obtain a name and contact phone number for the healthcare practitioner, if necessary to determine ALF compliance.

When to review other records:

1. Review of outside records, such as hospital records, police records, agency records, and other records not associated with the ALF will rarely be done, and only done when necessary to determine failed practice.
   a. Document a contact name and number or address regarding outside record (Attachment H).
   b. Interview resident and/or licensee/staff to ensure the contact information are accurate.
   c. Initiate the review of outside records (written request, onsite visits, fax or phone) as soon as possible. The inspection is not complete until the last date of data collection.

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E Irene Owens, Interim Director
ALTSA/Residential Care Services

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Date