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

RESIDENT SAMPLE

I. Purpose
To select a sample of residents in the assisted living facility (ALF) that best represents the resident population regarding care and service needs.

II. Authority
RCW 18.20.110
RCW 18.20.125

III. Operational Principles
A. The resident sample is focused on resident care and service needs.
B. The size of resident sample is based on ALF census and consists of residents selected for review.
C. The sample selection must occur as soon as possible after the tour.

IV. Procedures
The Licensor will:
A. Select the residents for the sample from the information gathered during the preliminary sample selection phases: pre-inspection preparation, entrance, tour. If the resident meeting is taking place immediately following the tour, the licensors may postpone the sample selection until immediately following the meeting.
B. Review the completed Resident Characteristic Roster/Sample Selection (Attachment D).
C. Choose resident sample numbers for in accordance with the Sample Size Table below
D. Three quarters of the amount sample size for residents must be selected based upon Attachments B, C, D and the remaining one quarter of the sample residents based upon concerns that have been identified in relation to specific residents that leads you to a higher scrutiny through observations, interviews, and records reviews.
E. Refer to the roster and information obtained through observations and conversations/interviews to ensure residents selected represent as many as possible of the applicable categories identified below:
   1. Identified as interviewable and non-interviewable.
   2. Receive nursing services (if provided by the ALF).
   3. Identified as state pay, if applicable.
   4. Receive basic services.
   5. Identified as having special needs (e.g. dementia, mental illness, or developmental disability).
6. Receive one or more of the services listed under general responsibility for safety and well-being.

7. There is a concern that the resident may have unmet needs.

8. Most at risk for needs not being met (e.g. residents with dementia, infrequent visitors, behavioral issues, non-English speaking, hearing and vision impaired) and/or require high level of care (e.g. residents with chronic conditions, such as diabetes).

F. Make adjustments to the resident sample in the following situations:

1. If the team finds it necessary to remove a resident from the sample, such as:
   a. Resident refuses to be interviewed and/or observed formally;
   b. Resident has previously been reviewed;
   c. Resident is not available during the Inspection; then
   d. Substitute with a resident who best fulfills the reason the first resident was selected.

2. If a pattern or specific area of concern is identified during the inspection; such as:
   a. Diabetic management;
   b. Non-English speaking residents in the building to review;
   c. Residents with communication deficits/disabilities; such as, hearing and vision impaired, which have a significant impact on meeting their care needs; then
   d. Focus the expanded sample on the concern identified and any other concerns that are discovered during the review. If the scope of the problem is adequately identified within the current sample expanding the sample will not be necessary.
   e. Consult with the licensee/administrator, designee or ALF staff if discrepancies are identified on the roster and the observations concerning resident care needs.
   f. Document each sample resident name including the identifier (Resident number) and room number on the resident sample list (Attachment D).
   g. At the conclusion of the inspection, the original Attachment D and other documents will be sent to Headquarters for the official file. The Licensor may keep a copy in the working papers.

### II. Facility Census

<table>
<thead>
<tr>
<th>Facility Census</th>
<th>Total Sample Size*</th>
</tr>
</thead>
<tbody>
<tr>
<td>3-6</td>
<td>All</td>
</tr>
<tr>
<td>7-15</td>
<td>At least 6</td>
</tr>
<tr>
<td>16-30</td>
<td>At least 7</td>
</tr>
<tr>
<td>31-60</td>
<td>At least 9</td>
</tr>
<tr>
<td>61-100</td>
<td>At least 11</td>
</tr>
<tr>
<td>101 - 125</td>
<td>At least 15</td>
</tr>
<tr>
<td>126 and above</td>
<td>At least 19</td>
</tr>
</tbody>
</table>

*Total sample size indicates the minimum number of residents in the sample.
V. Information and Assistance

A. Sample selection must be done as soon after entrance and tour as possible in order to allow more time to observe and interview the selected sample.

B. The licensee/administrator or designee and facility staff may be an important resource of information in selecting the resident sample. They may provide important information about residents.

C. Residents added to supplement the sample and closed record reviews do not count as part of the sample size.

E Irene Owens, Interim Director
ALTSA/Residential Care Services

January 21, 2014 Date