

Transforming  
Lives

# Residential Care Services

**January 23, 2024**

**Mike Tornquist**

**Office Chief, Headquarters Operations**

# ALTSA Organizational Structure

RCS is one of four divisions within the Department of Social and Health Services (DSHS) Aging and Long-Term Support Administration (ALTSA)

- Home and Community Services (HCS)
- Adult Protective Services (APS)
- Office of the Deaf and Hard of Hearing (ODHH)
- **Residential Care Services (RCS)**



# Residential Care Services

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## **Purpose:**

To promote and protect the rights, security and well being of individuals living in these licensed or certified residential settings.

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## **Objectives:**

- Advocacy partnerships with vulnerable individuals, their representatives, family members, providers, and others working for their benefit.
  - A fair, consistent, and efficient regulatory system that promotes positive outcomes.
  - A division culture that values learning, respect, improvement, teamwork, and adaptability.
  - Individual and organization efforts to build a working environment that attracts and retains a highly skilled workforce.
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Amy Abbott,  
RCS Director

# RCS Leadership Team



- **Amy Abbott**, Director
- **Bett Schlemmer**, Special Assistant to the Director
- **Anna Facio**, Policy, Training, IDR, and QI Office Chief
- **Frances Wellsbury**, Business Operations Office Chief
- **Mike Tornquist**, HQ Operations Office Chief
- **Jessica Salquist**, Regional Administrator, Region 1
- **Jeb Korzilius**, Regional Administrator, Region 2
- **Rebecca Kane**, Regional Administrator, Region 3

# RCS Organizational Structure

## Regional Field Offices

- Dedicated units of licensors, surveyors, complaint investigators, and evaluators who conduct RCS work and produce RCS reports
- Each Unit is supported by a Field Manager (FM) and Administrative Assistant
- Each Region is led by a Regional Administrator (RA) and Field Services Administrator (FSA)

## Lacey Headquarters (HQ) Office

- **Units that support RCS inspection work:** Compliance, Informal Dispute Resolution (IDR), Policy, Training, Quality Improvement (QI), Business operations
- **Units that provide consultation to LTC Setting providers:** Behavioral Health Support Team (BHST), Long Term Care Quality Improvement Team (LTC QIP)
- **Additional Work Units:** Initial Licensing Unit, Case Mix Accuracy Review (CMAR), Nurse Aide Training & Competency Evaluation Program (NATCEP), Complaint Resolution Unit (CRU)
- **Administration**

# Residential Care Services Field Work

## Licensing:

- RCS Staff conduct unannounced surveys, inspections and evaluations to ensure LTC setting providers follow state and federal regulations.
- RCS issues reports called Statement of Deficiency (SOD) and if warranted, enforcement actions. Both SOD and enforcement actions require providers to correct identified issue(s).

## Complaints:

- The Complaint Resolution Unit (CRU) receives and processes allegations of abuse, neglect, violation of rights or regulation concerning vulnerable persons living in LTC settings.
- Staff conduct unannounced investigations in response to complaints to verify allegations and assess potential for harm to residents or clients.

# RCS - Designated State Agency

**Federal:** Contracted by the Center for Medicare and Medicaid Services (CMS) to provide regulatory oversight for Federal Programs

- **Nursing Home**

- Facilities must meet federal and state regulatory requirements.
- Case Mix Accuracy Review (CMAR) staff review NH assessments for accuracy.

- **Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICF/IID)**

- State facilities designated to participate in the federal Medicaid program.
- Required to meet federal Conditions of Participation (CoP) when providing services to individuals with intellectual disabilities.

# Types of LTC Settings

Long-term care settings are state licensed or certified settings that help vulnerable adults with daily living, health care, and more in:



**Adult Family Homes  
(AFH)**



**Assisted Living Facilities  
(ALF)**



**Enhanced Services Facilities  
(ESF)**



**Nursing Homes (NH)**



# Types of LTC Settings

## Specific to Individuals with Intellectual Disability

Services help clients live in their own homes with one to three others. Support varies from a few hours to 24 hours/day



**Certified Community Residential Services and Supports (CCRSS)**

Provides individualized habilitative services to support or enhance client's individual skills and strengths



**Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICF/IID)**

# Residential Care Services Regulatory Oversight

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- **1989** Nursing Homes
  - **554** Assisted Living Facilities
  - **4590** Adult Family Homes
  - **3** ICF/ID Facilities
  - **204** CCRSS
  - **10** Enhanced Services Facilities

*As of: 5/30/2023*

## For Profit vs. Non-Profit Facilities

Provider Type	For Profit	Non Profit	Total
Adult Family Home	4,552	38	4,590
Assisted Living Facility	478	76	554
Enhanced Services Facility	10	0	10
ICF/IID	0	3	3
Nursing Home	149	49	198
Supported Living	108	96	204
Grand Total	5,297	262	5,559

# Adult Family Home (AFH)

- Regular residential homes licensed to care for two to six residents.
- Beginning in June 2020, AFHs who meet certain criteria may apply to increase their capacity to eight residents.
- These are private businesses and provide residents with a room, meals, laundry, supervision, and personal care and some specialty care.
- AFH populations vary widely and may include people who require very little care who will live in the home for years or the home may offer services to people who require a great deal of care and are near the end of their life.



# Assisted Living Facility (ALF)

- Provide room and board and help with activities of daily living. Some provide limited nursing services; others may specialize in serving people with mental health problems, developmental disabilities, or dementia (Alzheimer's disease).
- Vary in size and ownership from a private/family-operated 7-bed facility to a 200-bed facility run by a large national corporation.
- Levels of Care
  - **ALF**- private apartment with intermittent assistance
  - **ARC**- Adult Residential Care- medication/personal care and limited supervision
  - **EARC**- Enhanced Adult Residential Care, meds and personal care, intermittent nursing, specialized dementia care



# Enhanced Service Facility (ESF)

- Provides a community placement option for individuals whose complicated personal care and behavioral challenges do not rise to a level that requires an institutional setting.
- Up to 16 beds.
- **Eligibility requirements:** individuals who are at least eighteen years old and require daily care by, or under the supervision of, a mental health professional, chemical dependency professional, or nurse; or assistance with three or more activities of daily living.



# Nursing Home (NH)



- Federally Certified and/or State Licensed that provide acute and sub-acute care in a facility setting from qualified staff.
- Skilled Nursing Facilities (SNF) are Nursing Homes that provide specialized nursing or medical care for residents depending on the assessed needs of each resident.
- Nursing Home inspectors are called Surveyors
- Each Surveyor must pass the Surveyor Minimum Qualifications Test (SMQT) Certification prior to being able to enter a NH independently without another SMQT surveyor present.

# Certified Community Residential Services and Supports (CCRSS)

- Funded through Home and Community Based Services waiver that supplies instruction and support to Developmental Disabilities Administration (DDA) clients ages 18 and older.
- Residential services are provided to clients living in their own homes in the community, which are owned, rented, or leased by the clients or their legal representatives.
  - (1) Supported living services;
  - (2) Group Home services; or
  - (3) Group Training Home.





# Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICF/IID)

- Federally certified program.
- 24-hour continuous, comprehensive, and structured approach to delivering generic training, treatment, healthcare and related services to individuals with developmental disabilities.
- Typically, campuses have multiple cottages with multiple bedrooms.
- May also have Nursing Home services on campus.



# Types of LTC Residential Settings and Visits

<b>AFH, ALF, ESF</b>	<b>Licensing Inspections</b>	<b>AFH: 9 to 19 months, ALF and ESF: Every 18 months</b>
<b>NH &amp; ICF/IID</b>	<b>NH Recertification Surveys + ICF, focused fundamental, extended and full surveys</b>	<b>NH: 9 to 15 months ICF/IID: 12-15 months</b>
<b>CCRSS</b>	<b>Certification Evaluation</b>	<b>At least every 24 months. Must occur before certification expirations date.</b>

## All Programs

- **Complaint Investigations** - As assigned based on priority
- **Follow-up and Revisits – (can be sooner)**
  - LTC setting has up to 45 days to implement corrective action.
  - RCS has up to 60 days to complete this visit.
- **Monitoring Visits** - After completion of visit with enforcement due to resident safety issues, harm or Immediate Jeopardy
- **Plan of Correction or Attestation**

# Statement of Deficiency (SOD) Process

## If Out of Compliance:

- A SOD is written within 10 business days of the on-site inspection or last day of data collection.
- If harm, pattern, recurring/repeated or other egregious non-compliance is found, enforcement action may be recommended.

## Timeline: LTC Setting has

- 10 calendar days to return a written plan of correction or Attestation (signature alleging that the deficiency has been or will be corrected).
- 45 days to implement corrective action.

# Statement of Deficiency (SOD) Follow Up

## Follow-up / Revisit

- Occurs within 60 days of the on-site visit or last day of data collection.
- Provider is placed back in compliance or recited.



# Enforcement

Type of Enforcement	Description
Civil Fines AFH, ALF	Results in actual or potential harm, recurring/repeated, uncorrected, pervasive or present threat to the health and safety or welfare of residents.
Condition on License NH, AFH, ALF	Serious, repeated or uncorrected violations. Discharge of a resident, access to resident, unable to meet financial need, change in license capacity, removal of specialty designation.
Stop Placement NH,	Failing or refusing to comply with regulations that: 1. Jeopardizes the health and safety of residents; and/or 2. Seriously limits the settings capacity to provide care and services.
License Revocation NH, AFH, ALF	<ul style="list-style-type: none"><li>• Demonstrated inability to comply with the regulations.</li><li>• Shown limited ability to safely operate the home and residents are at risk.</li><li>• Refusal to comply with statutes and regulations.</li><li>• Operating without license.</li><li>• False statements, prevention/ interference or attempt to impeded inspection or investigation.</li></ul>

# Enforcement - Continued

Type of Enforcement	Description
Summary Suspension	<p>Fails or refuses to comply with regulations that place residents in imminent danger or harm</p> <ol style="list-style-type: none"><li>1. Serious physical harm or death of a resident has occurred; or</li><li>2. A serious threat to the life, health or safety of a resident exists.</li></ol>
Temporary Manager	<p>State enforcement and federal remedy that can be used when:</p> <ul style="list-style-type: none"><li>• Facility has failed to comply or refused to comply with licensing requirements</li><li>• Medicaid contractor has failed or refused to comply with Medicaid in the requirements of Title XIX of the social security act.</li></ul>
Facility Closure	<p>Close facility with Collaboration with DDA and HCS for developing a plan and relocation as needed.</p>

# Reporting to Complaint Resolution Unit (CRU)

- **Facilities must report abuse, neglect, financial exploitation and misappropriation within 24 hours to CRU**
- **Each complaint is prioritized and has an associated investigation timeline**
  - Emergent – 2 working days
  - High – 10 working days
  - Routine – 20 or 45 working days
  - Quality Review
- **Each setting has a guidance on what and where to report**
  - Online reporting [Report Abuse and Neglect | DSHS \(wa.gov\)](#) or
  - Call 1-866-ENDHARM

# RCS Referral and Coordination

## **RCS sends referrals through CRU to:**

- Adult Protective Services/Child Protective Services
- Law Enforcement
- Medicaid Fraud Unit and Office of Financial Management
- State Fire Marshall
- Department of Health Licensing Boards
- Construction Review Services
- Local Building Code Enforcement Agency
- Labor and Industries
- Other

## **RCS coordinates with agencies referred to through CRU**



# Additional Coordination

## RCS works closely with

- **CMS and Other States**

- As part of the Region 10 Survey Agencies, we collaborate regularly with Alaska, Oregon and Idaho.
- RCS is a member of the Association of facilities, health and survey agencies. (AFHSA).

- **The Long-Term Care Ombuds**

- Advocates for the rights of vulnerable adults in long-term care facilities.
- Contact 1-800-562-6028 or visit <http://www.waombudsman.org/>

# **Residential Care Services Resources & Regional Contacts**

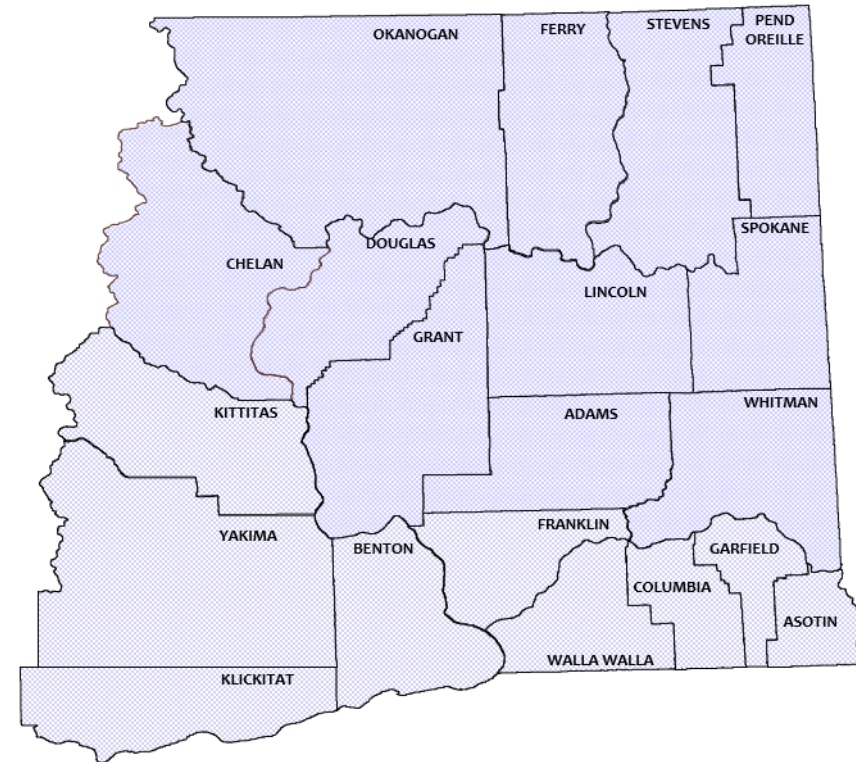
# Region 1 Field Managers

## Spokane Office

- [Tamara Tredo](#) –AFH
- [Stephanie Jenks](#)–ALF/ESF
- [Cindy CoVille](#) –NH
- [Lori Redford](#) – CCRSS & ICF/IID

## Union Gap Office

- [Michelle Closner](#) –AFH
- [Gwin Kaercher](#) –ALF
- [Melly Thompson](#) –NH
- [Jessie Rangel](#) – Region 1 Field Services Administrator



AFH	543
ALF	148
ESF	4
NH	55
SL	47
ICF/IID	1

*As of 5/30/23*

# Region 2 Field Managers

## Arlington Office

- [Nicholette Flynn](#) –AFH
- [Kim Ripley](#) –ALF
- [Michelle Reynolds](#) –NH
- [Jayne Hill](#) – Region 2 Field Services Administrator

## Lynnwood Office

- [Renee Bourque](#) – Lynnwood, AFH
- [Ann Lee-Hunter](#) – Lynnwood, AFH
- [Jamie Singer](#) – Lynnwood, ALF
- [Arlene Calague](#) – Lynnwood, NH

## Kent Office

- [Cecile Leano](#) –AFH
- [Lydia Owusu-Acheampong](#) – AFH
- [Laurie Anderson](#) –ALF
- [Susan Loewen](#) –NH
- [Andrea Pearson](#) – CCRSS & ICF/IID



AFH	2281
ALF	238
ESF	1
NH	80
SL	82
ICF/IID	1

As of 5/30/23

# Region 3 Field Managers

## Lakewood Office

- [Lisa Cramer](#)— Lakewood, AFH
- [Manfay Chan](#) — Lakewood, ALF
- [Tammey Thompson](#) — Lakewood, NH

## Tumwater Office

- [Jennifer LeMaster](#) — Tumwater, AFH
- [Cory Cisneros](#) — Tumwater, ALF/ESF
- [Sonya Conway](#) — Tumwater, NH

## Vancouver Office

- [Michael Burdick](#) — Vancouver, AFH & ALF/ESF
- [Arika Brasier](#) – CCRSS & ICF/IID
- Jody Just – Region 3 Field Services Administrator



AFH	1405
ALF	167
ESF	4
NH	64
SL	68
ICF/IID	2

*As of 5/30/23*

# Resources and Standard Operating Procedures

- [RCS Internet Provider pages](#)
- [Chapter 4: Complaint Resolution Unit](#)
- [Chapter 5: Construction Review](#)
- [Chapter 7: Enforcement](#)
- [Chapter 9: Public Disclosure](#)
- [Chapter 11: Residential Inspection and Quality Assurance](#)
- [All LTC Program Chapters specific to setting](#)

# Resources

## Abuse/Neglect Reporting References

- [AFH Guidebook](#)
- [ALF Guidebook](#)
- [NH Guidebook](#)
- [CCRSS Guidebook](#)
- [ICF/IID Mandated Reporter](#)

## Fact Sheets

- [Complaint Resolution Unit](#)
- [Behavioral Health Support Team](#)
- [Long-term Care Quality Improvement Program](#)
- [Adult Family Homes](#)
- [Assisted Living Facilities](#)
- [Enhanced Services Facilities](#)
- [Nursing Homes](#)
- [Certified Community Residential Supports & Services \(CCRSS\)](#)

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**Thank You  
Any Questions?**

**Contact Information**

