



Transforming
Lives

AFH Administrator Training

Module 12: RCS Regulatory and Monitoring Visits

Adult Family Home Administrator Manual, Version 5.2

Agenda

- Benefits of the FREE Long Term Care Quality Improvement Program
- AFH inspections and investigations
- The enforcement process
- Your appeal rights



Learning Objectives

At the end of this module, you will be able to:

- Outline the purpose and process of the LTC QIP
- Discuss what happens during an RCS visit to your home
- Explain the difference between the types of visits
- Describe the enforcement process
- Explain the Informal Dispute Resolution (IDR) process

What Do You Know?

True/False

1. If you fail to comply, you may have a condition placed on your license
2. LTC QIP will help with - not report - compliance issues unless it is a matter of abuse or neglect.
3. If the health and safety of residents are in jeopardy a stop placement order may be implemented

Long Term Care Quality Improvement Program (LTC QIP)

The LTC QIP is a free and voluntary,
non-regulatory program offered by
Residential Care Services (RCS)



The LTC QIP Goals

The Goal of the LTC QIP is to provide education and support so you can:

- Strengthen your care and documentation,
- Improve regulatory compliance, or
- Prevent harm to those in your care

To Do This, the LTC QIP Staff:

- Provide a focused review, analysis, and feedback on your home's setup and processes
- Work with you on identifying your goals and developing action plans
- Review and provide you with valuable resources



The LTC QIP Focus

Protocol Visits are focused on six AFH system areas:

- Administration
- Communication & Resources
- Infection Prevention & Control
- Medication Management
- Resident Rights
- Safety

Like you, LTC QIP staff are mandated reporters. Unless they see instances of abuse or neglect - **which must be reported** - their observations, consultation, recommendations, and reports are confidential and not shared with other RCS staff.

The Four LTC QIP Visits

1. 1-Hour **Introductory Virtual or Phone Visit**
2. 4 to 6-hour **On-Site Visit** - This visit will be in your home and include observations, interviews, and record reviews
3. 1-Hour **Virtual or Phone Exit Conference** to review your Summary Report.
Your Summary Report will also be mailed to you.
4. 4 to 6 Month **Follow Up Virtual Visit**

How Can I Request a LTC QIP Visit?

- Meet the prerequisites:
 - Schedule prior to your first inspection
 - Have at least two residents
- Request a visit by sending an email to: RCSQIP@dshs.wa.gov

Top Areas of Non-Compliance

Top 10 AFH Citations 11/1/2023 - 1/29/2024		
<u>Regulation</u>	<u>Description</u>	<u>Times Cited</u>
WAC 388-76-10530	Resident rights—Notice of rights and services.	141
WAC 388-76-10430	Medication system.	124
WAC 388-76-10165	Background checks—Washington state name and date of birth background check—Valid for two years—National fingerprint background check—Valid indefinitely.	112
WAC 388-76-10522	Resident rights—Notice—Policy on accepting Medicaid as a payment source.	107
WAC 388-76-10198	Adult family home—Personnel records.	104
WAC 388-76-10750	Safety and maintenance.	98
WAC 388-76-10650	Medical devices.	92
WAC 388-76-10320	Resident record—Content.	91
WAC 388-76-10015	License—Adult family home—Compliance required.	87
WAC 388-76-10285	Tuberculosis—Two step skin testing.	81



Failed facility practices
can place residents at risk.

What is an AFH Inspection?

"Inspection" means a review by department personnel to determine the health, safety, and well-being of residents, and an adult family home's compliance with state and federal rules and regulations.

Types of AFH Visits

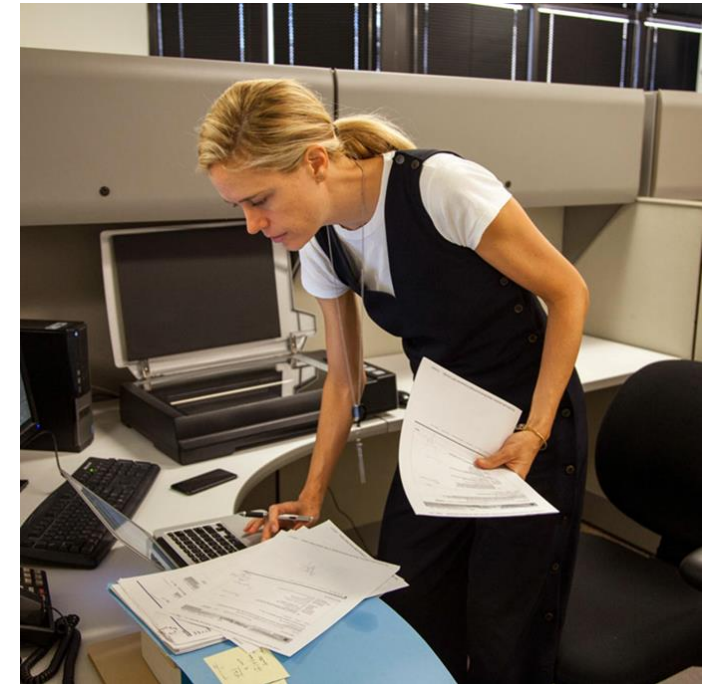
- Initial Licensing inspection
- Full Licensing Inspection
- Follow-up to an investigation
- Complaint investigation
- Monitoring visits



Before the Licenser Arrives

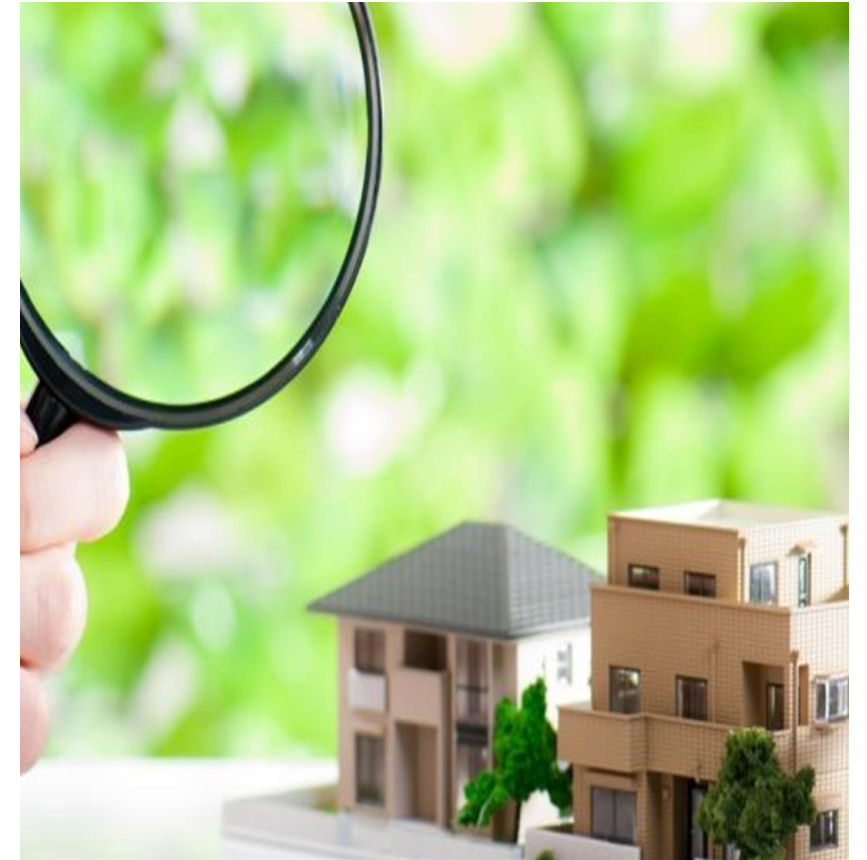
The Licenser will:

- Plan to visit when they can observe care and services
- Review your compliance history
- Look at any complaint investigation reports
- Check in with “Ombuds”
- Review information about your home



Upon Arrival

- The licensor will:
 - Observe their surroundings
 - Always provide credentials and indicate why they are there
 - Not delay the inspection if you are not at home




In the Home

- Provide a place for the investigator to work
 - Ensure they can observe residents
 - Location does not interrupt the daily activities
- Comply with the Inspection Process and Records Request
- Complete a Resident List for interviewing purposes

Records Request and Resident List

- Review the process
- Indicate what documentation they want to review and residents to interview



Washington State
Department of Social
& Health Services
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ADULT FAMILY HOME'S (AFH) NAME	LICENSE NUMBER
PROVIDER / LICENSEE'S NAME	INSPECTION DATE
LICENSOR'S NAME	

AGING AND LONG-TERM SUPPORT ADMINISTRATION (AL TSA)
Inspection Process and Records Request

The inspection process consists of:

- Entrance onsite
- Inspection tour
- Sample selection
- Resident interviews
- Observation of care
- Medication review
- Resident record review
- Staff record review
- Exit conference
- Disclosure of charges


LICENSEE / RESIDENT MANAGER

Please make the following available to the Licensor today:

- ☐ Resident and staff list (please include all employees since the last inspection)
- ☐ Resident records, including the negotiated care plan
- ☐ Personnel files, including orientation, CPR, First Aid training, TB testing, background check information, basic or modified training, continuing education and specialty training (as required)
- ☐ Proof of current liability insurance
- ☐ Evacuation drills

The Licensor may require further records and information during the inspection process. Thank you for your assistance.

NOTES



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ADULT FAMILY HOME'S (AFH) NAME	LICENSE NUMBER	PROVIDER / LICENSEE'S NAME	INSPECTION DATE
LICENSOR'S NAME			

AGING AND LONG-TERM SUPPORT ADMINISTRATION (AL TSA)
Resident List

	CHECK HERE IF COMPREHENSIVE STATE / PRIVATE PAY	ABLE TO INTERVIEW	OUT OF HOME	TRANSFER STATUS	ASSISTIVE MOBILITY DEVICES NEEDED	EVACUATION LEVEL	INFECTIOUS ILLNESS IN THE HOME	INJURIES / FALLS IN LAST 30 DAYS	WANDERING	PAIN	BEHAVIOR AFFECTING SELF OR OTHERS	DIABETES	INCONTINENT	NIGHTTIME ASSISTANCE REQUIRED	SKIN CARE ISSUES	NUTRITION ISSUES	WEIGHT LOSS / GAIN	MEDICATION LEVEL	NURSE DELEGATION	OUTSIDE AGENCY
R1																				

Inspection Process

The Inspection Process Consists Of:

- Entrance Onsite
- Inspection tour
- Sample selection
- Resident interviews
- Observation of care
- Medication review
- Food Services
- Resident and staff record review
- Abuse and Neglect Prevention
- Consultation
- Exit Conference
- Other

Quick Note

- Consultation may be provided or require outside consultation if the violations are first time violations, resulting in minimal or no harm to residents, and have been corrected.
- Even if you correct a situation while the licenser is there, they must still note it as “not met”.
- If an immediate plan of correction is required, you must develop the plan, sign and date the attestation prior to the licenser leaving the home.

Enforcement Actions

- Enforcement Actions outline what **must** be done to bring your home into compliance
- Non-compliance of statutory or regulatory requirements result in **Citations**
- Citations make up a **Statement of Deficiency (SOD)**
- The SOD is your formal notification and includes the Attestation Statement of when the deficiency will be corrected

Enforcement Letters

- You will receive SODs and enforcement letters when a civil fine is imposed
- Enforcement letters are public records and posted under your home on the AFH Locator

Facility Info	Contracts & Specialties	Beds	Documents & Reports
AFH Name License#: Contact: Region/Unit: Address Phone Directions	Specialties: Mental Health, Dementia Contract(s): Meaningful Day, Adult Family Home Can accept Medicaid	6	Disclosure of Services View Reports

Responding to Citations

- Don't Wait!
- Each cited deficiency must
 - Have a Plan of Correction (POC)
 - Be corrected
 - Have a plan to maintain compliance

Follow-up Visits

- Are scheduled
- Determine if you are back in compliance
- Focus on the areas of deficient practice previously cited
- Can be done by phone, letter/documentation or on-site



Actions Taken

RCS may take one or more of the following actions if you fail or refuse to comply with the requirements:

- Impose reasonable conditions on a license
- Impose civil penalties
- Order Stop Placement
- Summary Suspension
- Revocation of a License



Conditions on a License

- A condition is an additional requirement, such as:
 - Specific time frames
 - Required training
 - Limitation of types of residents
 - Discharge of a resident
 - Change in license capacity
 - Remove specialized home designation
 - Prohibit specified person access
 - Financial Solvency

Civil Penalties

- Are based on severity (minimal, Moderate, Serious, Imminent Danger/Immediate Threat)
- Minimum \$100/day/violation
- Examples:
 - Up to \$1,000 – willful interference with a LTC Ombuds
 - Up to \$3,000 – Retaliation
 - Up to \$10,000 – Operating an unlicensed home
- AFH State Civil Penalty Reinvestment Program

Stop Placement Order

- Temporarily prevents new admissions
- Notifications are made
- Health and safety of residents are jeopardized and your ability to provide care is limited
- Violations are serious, pervasive, repeated or uncorrected and necessary to protect the safety and welfare of residents



Summary Suspension – Revocation of a License

- Summary Suspension immediately suspends your license
- Revocation of a license takes away your license
 - Fail or refuse to comply with statutes/regulations that results in jeopardizing the health and safety of residents – ability to provide care is seriously limited
 - Lie on your application for a license
 - Prevent, interfere, or impede in any way an inspection or investigation by the department

Public Records

- Online Postings
 - Disclosure of Services
 - Inspection reports
 - Enforcement Actions
- Have available inspection and investigation reports for the last three years:
 - The last year must be posted in a common space in the AFH
 - The other two years must be available upon request.



Appeal Rights

- Informal Dispute Resolution (IDR) – a process that reviews citations and/or enforcement actions outside of the formal administrative hearing process.
- Administrative Hearings – Formal appeal process used instead of an IDR or if you are not satisfied with the IDR outcome.

Orders of the department imposing license suspension, stop placement, or conditions on a license are effective immediately upon notice and shall continue pending dispute resolution.

Keeping up to date with RCS Policy

ALTSA Provider/Administrator Letters

Subscribe to GoDelivery! By doing so, you will receive an email link to topics of interest as soon as they are posted.

Access the archive from calendar years 2014 and prior

Provider Type

AFH 

Select the type of provider letter

Year

-Year 

Select the year

Subject

Enter a keyword to search by subject

Apply


Provider Type	Letter	Date	Subject	Status	Notes
AFH	021-001	01/11/2021	AFH N95 Respirator Distribution and Fit Testing	Current	
AFH	020-076	12/24/2020	WASHINGTON STATE LEGISLATIVE SESSION EDUCATIONAL CLASSES	Current	

Click on link to open the letter

Information Changes

Notifying the BAAU in changes to your:

- Phone, fax, mailing address and/or email address
- Specialty Designation
- Resident Manager
- Entity Representative

 Adult Family Home Information Changes				FACILITY NAME	
				LICENSE NUMBER	
Facility Information					
NEW FACILITY NAME					
MAILING ADDRESS		CITY		STATE	ZIP CODE
FACILITY NUMBER (WITH AREA CODE)		CONFIDENTIAL FAX NUMBER (WITH AREA CODE)		CELL PHONE NUMBER (WITH AREA CODE)	
EMAIL ADDRESS			WEBSITE		
Did specialty designations change? <input type="checkbox"/> Yes <input type="checkbox"/> No					
		ADDED	ENDED	CHANGE ER / RM	
Dementia.....		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Mental Health.....		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Developmental Disabilities.....		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Did Resident Manager change? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, all information below is required.					
<input type="checkbox"/> New Resident Manager meets qualifications in Chapter 388-76 WAC.					
OUTGOING RESIDENT MANAGER NAME				END DATE	
INCOMING RESIDENT MANAGER NAME		SOCIAL SECURITY NO.		DATE OF BIRTH	START DATE
Signature of Licensee					
Form submitted without signature will not be processed.					
I attest that all above changes are true and accurate. Forms without a signature will be rejected.			SIGNATURE OF LICENSEE		DATE
Please email completed Adult Family Home Information Changes form to BAAU@dshs.wa.gov .					
BAAU Use Only					
<input type="checkbox"/> FMS			ENTERED BY: _____ DATE ENTERED _____		
New license required (street address or specialties updated)? <input type="checkbox"/> Yes <input type="checkbox"/> No			DATE LICENSE MAILED _____		
Contracts notified of changes (facility name or address)? <input type="checkbox"/> Yes <input type="checkbox"/> No			DATE CONTRACTS NOTIFIED _____		
<input type="checkbox"/> Not processed; returned to Licensee.			DATE RETURNED TO LICENSEE _____		



Summary Review

During this module, you learned...

- About the purpose of the LTC QIP and how to request a visit
- What occurs when RCS visit to your home
- The difference between the types of RCS visits
- About the enforcement process
- How the Informal Dispute Resolution (IDR) process works

Quiz #4





Get Ready For Your Next Class

- Read Module for next class