



## #7 RCS Inspection Day

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## Module 7 – RCS Inspection Day

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# Inspection Day

## Introduction

This module covers the department's initial AFH licensing inspection process. Initial inspections are done before the home is licensed. The physical structure is reviewed, along with a review of the policies and procedures in place to meet residents' physical, medical, behavioral, and emotional needs. Residential Care Services (RCS) regulates these homes and conducts ongoing inspections every 9 to 18 months. RCS will conduct subsequent inspections if they receive complaints or if problems are identified that require on-site validation of corrections. Also review the [Initial Inspection Process for AFHs](#) slide show.



Remember, you have 12 months from the date your application has been submitted to become licensed.

## Learning Objectives

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

- Report the important timeframes for licensing
- Explain what to expect during an inspection
- Describe the CHOW process

## What Do You Know?

### *True or False*

1. Once you submit your application, the licensor can show up at any time to do your inspection.
2. The licensor will only look at the areas the residents will reside.
3. If doing a Change of Ownership (CHOW), you are required to review the Negotiated Care Plan (NCP), update if necessary and get new signatures on the plan.

## Before the Inspection

The Business Analysis and Applications Unit (BAAU) reviews and ensures your application is approved before they notify RCS they can move forward with your inspection. The assigned RCS licensor will review the file provided by the BAAU prior to contacting you. The licensor will try to call you within five business days. At this time, they will:

1. Review your application file with you and:
  - a. Discuss any issues or concerns with the file.



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- b. Request any missing information/forms needed to review prior to the visit.
  - c. Briefly explain the inspection process and how everything must be ready when they arrive.
  - d. Email you the most current AFH Initial Inspection Preparation Checklist.
2. Ask if you are ready for your initial inspection.

**If you are ready:**

- The licensor may schedule your onsite licensing inspection with you on the phone or arrange to schedule it via email. The offered dates may be within 2-5 weeks.
- Once scheduled, you will receive a confirmation letter which includes the time and date of the scheduled inspection, and a copy of the [AFH Initial Inspection Preparation Checklist](#).

**If you are not ready:**

- 
- If you have already scheduled an inspection date and decide you will not be ready, ask to reschedule for a later date. You will receive an email stating you are “Agreeing to Postpone”.

**Optional Video Pre-Inspection Call**

The licensor will:

- Send an invite through a Teams Meeting or FaceTime for the agreed upon date and time
- Go through a virtual walkthrough of the home
- Look for potential issues that are not quick fixes, for example handrails on ramps
- If you choose to have a Pre-Inspection, you are still required to have an on-site visit

NOTE: If you cannot be reached or if you do not respond after three attempts to contact you, the licensor will send you a “unable to contact” letter. You will need to contact the licensor if you want to continue with your inspection.

### On-Site Entrance Conference

If you are not at home when the licensor arrives, RCS will contact you to ask if you need to reschedule. If the licensor is unable to reach you, you will receive a certified letter informing you that you must send a written request to schedule a new inspection date.

Upon arrival, the licensor will begin making observations of the exterior of the home and continue their observations throughout the visit. The licensor will immediately introduce themselves and provide you with their business card. They will explain the purpose of the visit and the inspection process.



#### Be Prepared To:

- **Identify**
  - who currently lives in the home.
  - who will have unsupervised access to residents.
- **Provide**
  - verification of rabies vaccination for any pets in the home.
- **Indicate**
  - if there are firearms in the home.
  - the type of residents/anticipated types of care needs you plan to admit to your home.
  - any specialty designations you have (for example: Dementia, Mental Health, and/or Developmental Disabilities).

#### Be Prepared To Answer Questions

For example:

- Before a resident moves in, how will you determine you can meet their needs?
- How are you going to staff your home?
- What ways will you assist the resident to feel like this is their home?
- What ways will you help residents maintain their independence?
- How will you plan meals?
- How will you honor residents' rights and protect their privacy?
- How will you respond to residents' concerns?
- How will you determine what activities to offer in your home?

### The Licensing Inspection

- **Plan to spend the entire day working with the licensor.** It is not unheard of for a visit to last 3 – 5 hours or longer.
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- The licensor will **look at all items on the AFH Initial Inspection Preparation Checklist**. Be prepared to provide proof of compliance including:
  - Required postings such as [Reporting Abuse, Neglect, Resident Rights Violations Poster](#)
  - The AFH Policies and Procedures Attestation form which includes:
    - Notice of Rights and Services provided in the home, consistent with WAC [388-76-10530](#)
    - Accepting Medicaid as a payment, consistent with WAC [388-76-10522](#)
    - Medication Disposal, consistent with WAC [388-76-10490](#)
    - Response to medical emergencies, consistent with WAC [388-76-10250](#)
    - Preventing and responding to suspected abandonment, abuse, neglect, exploitation, or financial exploitation of any resident, consistent with WAC [388-76-10675](#)
    - Disclosure of Services form (DSHS [10-508](#)), consistent with WAC [388-76-10532](#)
    - Emergency and Disaster Plan, consistent with WAC [388-76-10830](#)
    - [Respiratory Protection Program](#), consistent with Labor and Industries regulations
  - Administrative records – Be prepared to provide copies of your required documents and logs, such as:
    - Orientation Checklist for New Staff
    - Emergency Evacuation Drill Log
    - Your home’s water and septic system (*refer to module 4 – Getting a Home Inspection for details*)
    - Incident/Injury Log
  - Provider and staff records – Ensure they are kept in a secure location and are set up so it is easy to find the required documents
    - Staff orientation checklist
    - New employee qualification checklist
    - Background checks
    - System for reminders of renewals
  - Resident records – Ensure they are kept in a secure location and are set up. This will make it easy to find the required documents
    - Personal Inventory Sheet
    - Assessment

#### BEST PRACTICE

- Have your computer and printer ready to go in case you need to print any documents.
- Have a handyman available to make immediate minor changes.



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- Preliminary Service Plan
- Negotiated Care Plan
- Nurse Delegation/Medical Orders
- MAR
- Disclosure of Charges
- Financial record keeping
- Legal documents
- Signed Admission Agreement and other policies

- Medication storage – Be prepared to show how you will you securely store medications

**Exception** - RCS will no longer measure:

- Toilet and bathing unit grab bars
- Shower stall sizes
- Ramps and walkway slopes

During your interview with the licensor, remember what you have learned about person-centered philosophy and Resident Rights.

The licensor will conduct a physical environment inspection of your entire home, including your private areas and any outbuildings, to ensure your home meets minimum licensing requirements, as well as determine the home's resident capacity and identify any potential safety concerns. They will also be looking to see if your home is clean, in good repair, and if it has a homelike atmosphere.

### The Exit Conference

The purpose of the exit conference is for the licensor to either explain to the applicant which area(s) did not meet minimum licensing requirements or to recommend the home be licensed.

If you met all the licensing requirements:

- You will be asked to review and sign the **Floor Plan** and the **Floor Plan Key** that the licensor developed. You will receive a copy of the Floor Plan and Floor Plan Key for your records.
- Once your home is recommended for licensure, RCS will email your license within 2 days followed by a copy in the mail with your background check and fingerprint results.



If you did not meet all the licensing requirements:

- The licensor will review the Exit Summary Worksheets with you to ensure you understand the deficiencies.
- You will receive a **certified letter** within 10 working days of the inspection that will:
  - Identify the areas that do not meet the minimum licensing requirements.
  - Outline the procedures for scheduling a follow-up inspection.

### Follow-up Licensing Inspection – On site

If a follow-up inspection is needed, it will be made after the licensor receives written notification from you that corrections have been made and you are ready. You will then be scheduled for a follow-up visit on the next available date on the licensor's schedule. Be sure you truly are ready – if you fail three inspections, you may not get another one.

### Change of Ownership (CHOW)

[WAC 388-76-10105](#), [WAC 3588-76-10106](#), [WAC 388-76-10107](#)

A Change of Ownership (CHOW) of an adult family home occurs when a currently licensed AFH transfers business operations and management responsibility to another qualified party. The CHOW can occur for many reasons; the provider may be selling their home, changing their business structure, or adding/removing someone from their license. The following section provides direction on how a CHOW relates to the inspection process.



#### CHOW Application

1. Send the AFH application to the BAAU for processing with these additional documents:
  - a. [AFH License Relinquishment Letter](#) -DSHS 10-412 – This must be completed and signed by the current licensee.
  - b. Copy of the 60-day CHOW notice given to the resident(s) of the AFH. This is completed by the current licensee.
2. BAAU will:
  - a. Discuss the application with RCS
  - b. Recommend approval if all requirements in the application are met

#### Preparing for your CHOW

**BEFORE** the CHOW process is complete, review the following information to ensure you are familiar with the residents and their specific care and service needs. By reviewing each resident's assessment, you must also ensure you are qualified and prepared to meet their care and service needs. It is suggested you sign each assessment indicating you have reviewed the document.

You will also need to create your own Negotiated Care Plan (NCP) for each resident or review the current NCP to ensure its accuracy. The NCP must also be updated with signatures, including the AFH representative and the resident/representative.

**DURING** a CHOW, you may either create your own Notice of Rights and Service Requirements (NORSR) or use the one currently in place. If you are using what's currently in place, you must:

- Ensure the information within the NORSR is applicable to your home, as this is a legal contract between the home and resident/representative.
- Update the AFH representative and resident/representative signatures.

**AFTER** the CHOW process is completed, if the name of the AFH's name changed it will need to be updated on all relevant documents.

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### CHOW Inspection

- No initial inspections are completed prior to CHOW licensure, but it is possible that the annual or a complaint investigation could take place prior to the CHOW taking effect.
- If the CHOW consists of changes to the administrative structure of the home, RCS will try to keep to the previous inspections schedule.
- If the home is under a **Plan of Correction (POC)** for outstanding violations:
  - A full inspection must be completed within 30 days if the person or entity is not licensed for another home at the time of the CHOW.
  - A full inspection must be completed within six months if the person or entity is licensed for another home at the time of the CHOW.

### Final Note



- RCS may call for an inspection at any time if problems are identified in the home.
- All inspections, other than the initial, will be unannounced and done according to the inspection procedure.

### Summary Review

#### During this Module We Learned...

- The important timeframes for licensing
- What to expect during your inspection
- About the CHOW process

### Test Your Knowledge



#### True or False

1. You have 12 months after you submit your application to obtain your license.
2. A licensing inspection goes quickly, you should with done within an hour.
3. You can copy other AFH's policies and use them as your own – you don't need to know what is in them so long as you have them.

### Get Ready for Your Next Class



- Read and prepare to discuss assigned modules

### Acronyms Used in this Module

Acronym	Description
CHOW	Change of Ownership
RCS	Residential Care Services
BAAU	Business Analysis and Applications Unit
NCP	Negotiated Care Plan
NORSR	Notice of Rights and Service Requirements
POC	Plan of Correction

## Revision Table

Date	Volume	Changes
1/2025	V5.2	<ul style="list-style-type: none"><li>• Removed Orientation Class reference</li><li>• Revised the information in the Before the Inspection section</li><li>• Updated Administration Records for review</li><li>• Minor grammar, formatting corrections</li><li>• Added/removed, and repaired links throughout</li><li>• Added Summary Review</li></ul>