

Cabinet Agencies’ Performance Audit Action Item(s) & Status

Initiative 1163: Long-Term Care Worker Certification Requirements

(See also [cabinet agency response](#) for full context to Washington State Auditor’s Office (SAO) [report](#), December 2014)

Agencies included in the performance audit: the Department of Social and Health Services (DSHS) and the Department of Health (WDOH).

SAO Findings Summary:

1. Several certification improvements have been made to the program since early 2012. Completion rates have increased — as have the number of applicants. However, additional improvements are needed to increase both the timely completion rate and the overall rate. The Executive Workgroup continues to seek ways to help applicants gain certification.
2. Most workers meet I-1163 requirements and that monitoring is reasonable given program capacity.

SAO Recommendations (Rec):

1. To ensure long-term care workers meet I-1163 requirements, the WDOH and the DSHS should continue to work to identify barriers that are keeping workers from applying for, or not completing the certification process.
2. DSHS send written notification to all adult family home providers reminding them of their responsibility to ensure their workers meet I-1163 requirements. The letter should also reiterate that the nursing assistant registered certification does not satisfy I-1163 requirements.
3. DSHS follow up on the one caregiver who is still employed as a long-term care worker and has not obtained the required certification.
4. DSHS during the next inspection, review the qualifications of all caregivers in the homes that employed the other nine uncertified workers in September 2013.
5. DSHS follow up with the adult family homes that did not respond to our audit request to ensure all their workers meet I-1163 requirements.

The table below shows the current status of action items the agency initiated to address issues identified in the performance audit report. Please see the [cabinet agency response](#) for additional context and any additional steps already taken.

For an explanation of the columns below, [see the legend](#).

Issue/ Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources?	Budget Impact?	Legislation Required?	Notes
1	Complete	The agencies will continue to work together and with other interested parties	WDOH	On-going				WDOH and DSHS will continue to work together to identify and remove barriers.
1	Complete	The agencies will continue to work together and with other interested parties	DSHS	On-going				WDOH and DSHS will continue to work together to identify and remove barriers.
2	Complete	Send out management bulletins and provider letters.		N/A				Bulletins and letters were sent in March and May of 2013 informing both providers and staff about the I-1163 requirements.

Issue/ Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources?	Budget Impact?	Legislation Required?	Notes
2	Complete	Letter to adult family homes reminding them of the training and certification requirements.		12/31 /2014				Status update: Dear Provider letter sent out 12/19/14
3	Complete	Follow up on the one caregiver employed who did not meet certification requirements		N/A				DSHS immediately called the complaint resolution unit hotline with the information on the one caregiver who had not obtained the required certification. DSHS sent an investigator to the adult family home and found that while the caregiver completed certified nursing assistant training, the caregiver did not have documentation verifying caregiver mental health or dementia training. The provider was cited and the caregiver was terminated.
4	Complete	Review the qualifications of all caregivers in the homes that employed nine uncertified workers		N/A				DSHS called the complaint resolution unit hotline with the information on the other nine uncertified workers, and investigators will be sent to the home before the next inspection. If investigations find that the training and certification requirements are not met, DSHS will cite the providers and then follow up to ensure compliance. Oct. 2015 Status update: Investigators went out and completed all this work January 2015, they went to each home and determined if the LTC worker needed to meet the training and certification requirements and if this did not happen the facility was cited.
5	Complete January 2015	Follow up with the adult family homes that did not respond to the audit request.		3/31/ 2015				DSHS is following up with adult family homes that did not respond to the audit request. DSHS will investigate the reason for the lack of response and validate to

Issue/ Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources?	Budget Impact?	Legislation Required?	Notes
								ensure that long-term care training and certification requirements were met for staff in the home. Oct. 2015 Status Update: These were all investigated and same action taken as indicated above.