

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](#), January 2013)

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

SAO Issues Summary:

1. DSHS has regulatory oversight of assisted living and adult family homes. DSHS relies on Area Agencies on Aging (AAA) and contracted businesses to provide oversight of home care agency employees. A list of long-term care employees working for facilities and agencies is not maintained. SAO recommends:
 - a) DSHS review the list of 288 provider applicants that did not meet certification requirements to determine whether they have completed the process since the conclusion of our audit work. If these applicants are not certified, we recommend the agency take appropriate action in accordance with the initiative directives
2. Not all long-term care providers hired beginning January 7, 2012, met the certification requirements within the required timeframes. SAO recommends:
 - a) DSHS should review processes designed and used to identify providers who have missed Initiative deadlines (including those hired by external parties) and ensure these processes are sufficient to ensure these unqualified providers are restricted from serving clients until they have met all certification requirements.
 - b) DSHS should review methods used to monitor home care agencies and facilities and ensure these methods are sufficient to ensure workers hired by these agencies are certified.
 - c) DOH obtain each applicant’s hire date and enter this date into its licensing system. DOH should require applicants to submit an employer verification form to ensure this date is accurate.

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	Status	Action Steps	Lead Agency	Due Date	Current Resources?	Budget Impact?	Legislation Required?	Notes
1 (a)	Complete	DSHS will review and take action on the list of 288 individuals in the audit sample	DSHS	N/A				
2 (a)	Complete	DSHS implemented a process to ensure unqualified providers are prohibited from serving clients	DSHS	N/A				

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		until they meet all certification requirements						
2 (b)	Complete	A Quality Assurance Process implemented and completed the evaluation of all available programs offering Basic Training (75% of total number). Training Program monitoring is ongoing. Best practices determined and exported to all programs visited. Program Improvement Plans implemented for 2 instructors. Train-the-Trainer completed January, 2014 in Kent and Spokane.	DSHS					
2 (b)	Complete and ongoing	The Northwest Training Partnership and contracted community instructors who provide training for other long-term care workers have agreed to discuss the DOH certification at the beginning of the 70 hour training course. They will also discuss and provide access to Prometric's application for the written and skills testing so that long-term care workers apply earlier in the process in order to meet the 150 day deadline outlined in the initiative. DSHS sent email	DSHS					

Issue	Status	Action Steps	Lead Agency	Due Date	Current Resources?	Budget Impact?	Legislation Required?	Notes
		communication to all Community Instructors teaching Basic Training on 5.9.14 to inform students about contacting Prometric when they know their Basic Training completion date. This will allow them to register for a testing date closer to the completion of training.						
2 (b)	Complete and ongoing	The Membership Resource Center from the Training Partnership and Navigators through the Navigator Program contact all Individual Providers who are required to complete the 70 hour course. The Navigator program started in September, 2013.						
2 (c)	Complete	Home Care Aide Certification application was updated to include date of hire.	DOH	12/12				
2 (c)	Change is complete, activity is on-going	Home care aide records in the licensing system now include date of hire. Going forward date of hire is recorded for all applicants.	DOH	12/12				