DSHS WASHINGTON STATE Department of Social and Health Services

Home and Community Living Administration (HCLA)

Staff Qualification and Background Review

For use during Recertification Surveys of Nursing Homes

Facility Name	
Surveyor's Name	License Number
Date	Previous Inspection Date

Item to Review	Please see the following page for instructions.				
	Staff 1 (New)	Staff 2 (New)	Staff 3 (New)	Staff 4 (New)	Staff 5 (Veteran)
Staff name					
Date of Hire					
Title or Position					
OBRA Registry Reviewed (NA-Cs only): For federal surveys only, click N/A for state only licensed surveys	☐ Yes ☐ No ☐ N/A	☐ Yes ☐ No ☐ N/A	☐ Yes ☐ No ☐ N/A	☐ Yes ☐ No ☐ N/A	☐ Yes ☐ No ☐ N/A
License or certification type and expiration date	Type: Date: ☐ N/A	Type: Date: ☐ N/A	Type: Date: ☐ N/A	Type: Date: ☐ N/A	Type: Date: ☐ N/A
Reference checks: For federal surveys only, click N/A for state only licensed surveys	Number of checks: ☐ None done / attempted ☐ N/A	Number of checks: ☐ None done / attempted ☐ N/A	Number of checks: ☐ None done / attempted ☐ N/A	Number of checks: ☐ None done / attempted ☐ N/A	Number of checks: ☐ None done / attempted ☐ N/A
Background Inquiry (BGI) completed date					
BGI Result	Choose One ☐ NR ☐ RR ☐ DQ	Choose One ☐ NR ☐ RR ☐ DQ	Choose One ☐ NR ☐ RR ☐ DQ	Choose One ☐ NR ☐ RR ☐ DQ	Choose One ☐ NR ☐ RR ☐ DQ
BGI re-check completed date					
BGI re-check result					Choose One ☐ NR ☐ RR ☐ DQ
CCS review date only when RR is checked above	CCS Date:	CCS Date:	CCS Date:	CCS Date:	CCS Date:
Notes					

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Staff Name, Position / Title and Date of Hire	Sample should include four current staff (who may have unsupervised access to any resident) hired since last annual survey and one staff employed by the facility for at least two years (veteran). Expand the employment timeframe if needed to review at least five staff. Expand sample as needed. If there is a NAC Medication Assistant, substitute in the sample for new or recheck review or add to the sample.	
Item	**Instructions**	**Reference**
Background Inquiry (BGI) completed date staff 1 – 4 (all new staff)	Verify the facility completed a BGI for new employees prior to permitting that person to have unsupervised access to any resident. Document the date the BGI was completed.	**WAC 388-97-1800** The nursing home must: • Have a valid criminal history background check for any individual employed, directly or by contract, or any individual accepted as a volunteer or student who may have unsupervised access to any resident
Background Inquiry (BGI) completed date staff 5 (veteran staff)	For veteran staff, use the date for the BGI completed **prior** to the most current BGI.	**WAC 388-97-1800** The nursing home must: • Repeat the check every two years
BGI re-check date	For the staff person selected who has been employed at the facility for at least two years, The nursing home must: • Have a valid WA state NDOB check completed every two years from the date the previous one was conducted. In special circumstances, such as the suspicion of new criminal record or charge under **WAC 388-97-1800**, a background check may be completed sooner than two years. If concerns arise the sample must be expanded. • Document the most current BGI date.	**WAC 388-97-1800** The nursing home must: • Repeat the check every two years

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Item	Instructions	Reference
BGI Result: • No Record (NR) • Review Required (RR) • Disqualified (DQ)	Document the result of the BGI. "No Record" means the BGI review found no criminal history. "Review Required" indicates findings on the BGI, but the findings are not necessarily disqualifying. A CCS is required in these instances. "Disqualified" means the person is disqualified from nursing home employment due to a conviction or pending charge under Chapter WAC 388-113.	**WAC 388-97-1820** The nursing home must not employ directly or by contract, or accept as a volunteer or student, any individual: • Who has a criminal conviction or pending charge for a crime, which is automatically disqualifying under chapter 388-113 WAC, or who has one or more of the following disqualifying negative actions: • Is on a registry based upon a final finding of abuse, neglect, or financial exploitation of a vulnerable adult, unless the finding was made by adult protective services prior to October 2003; • Is on a registry based upon a final finding of abuse, neglect, or financial exploitation of a vulnerable adult, unless the finding was made by adult protective services prior to October 2003; • Has a founded finding of abuse or neglect of a child that was made against the person, unless the finding was made by child protective services prior to October 1, 1998; **NOTE: There is additional information about other situations that disqualify a person from nursing home employment in WAC 388-97-1820.**
BGI re-check result	For the staff person selected who has been employed at the facility for at least two years, record the result of the inquiry.	**WAC 388-97-1790** If any background check results show that an employee or prospective employee has a conviction or pending charge for a crime that is not automatically disqualifying under chapter 388-113 WAC, then the nursing home must: • Determine whether the person has the character, competence and suitability to work with vulnerable adults in long-term care; and • Document in writing the basis for making the decision and make it available to the department upon request.

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Item	Instructions	Reference
Character, Competency and Suitability (CCS) review	If the BGI yielded a "Review Required" result, ensure that a CCS review was completed.	
OBRA Registry checked	**For NA-Cs only:** Ensure the facility has verified the NA-C is on the OBRA registry and has no disqualifying findings. Click N/A for state only licensed surveys.	
License or Certification expiration date	**Ensure the facility verified staff has a current license that corresponds with their job responsibilities and has screened the license for action taken against the license for abuse, neglect, or exploitation. If the position listed doesn't require a license or certification check N/A.**	**WAC 388-97-1660 for NA-C's** Staff and equipment. (1) The nursing home must ensure that: (a) Sufficient numbers of **appropriately qualified and trained** staff are available to provide necessary care and services safely under routine conditions, as well as fire, emergency, and disaster situations; **WAC 388-97-1080 for Nurses** Nursing services. (1) The nursing home must ensure that a sufficient number of **qualified nursing personnel** are available on a 24-hour basis seven days per week to provide nursing and related services to attain or maintain the highest practicable physical, mental and psychosocial well-being of each resident as determined by resident assessments and individual plans of care.

Item	Instructions	Reference
Reference Checks	**Ensure the facility has attempted to obtain information from previous and/or current employers to screen for abuse, neglect and exploitation.** **Click N/A for state only licensed surveys.**	F607 I. Screening: The facility must have written procedures for screening potential employees for a history of abuse, neglect, exploitation, or misappropriation of resident property in order to prohibit abuse, neglect, and exploitation of resident property, and consistent with the applicable requirements at §483.12(a)(3). **This includes attempting to obtain information from previous employers and/or current employers** and checking with the appropriate licensing boards and registries. The facility must have written procedures for screening that may include, but are not limited to: • For prospective employees, reviewing: ○ The employment history (e.g., dates of employment position or title), particularly where there is a pattern of inconsistency; ○ Information from former employers, whether favorable or unfavorable; and/or ○ Documentation of status and any disciplinary actions from licensing or registration boards and other registries.