ADULT FAMILY HOME SKILL BUILDING TOOL
Complaint Investigation

<table>
<thead>
<tr>
<th>STAFF’S NAME</th>
<th>DATE OF HIRE</th>
<th>PEER COACH’S NAME</th>
<th>REGION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ON-SITE VISIT DATE(S) (MM/DD/YYYY)</th>
<th>ADULT FAMILY HOME NAME</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Expectation:**
It is expected that the new staff member would have participated in the RCS Orientation and be performing at an independent level at the re-inspection process.

**Key Elements:**
- Peer Coach (PC)

Place appropriate observed code next to each critical element. When appropriate, the Peer Coach should describe in the “notes sections” the event that led to the coding within the section and identify and add specific opportunities for growth in needed areas.

<table>
<thead>
<tr>
<th>SKILL LEVEL</th>
<th>CODE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Observation Only</td>
<td>O</td>
<td>Observed survey; did not perform any tasks or elements.</td>
</tr>
<tr>
<td>Demonstrated with Coaching</td>
<td>DC</td>
<td>Required the availability of the PC to provide <strong>directed</strong> assistance and identify areas for improvement.</td>
</tr>
<tr>
<td>Demonstrated with Minimal Coaching</td>
<td>D</td>
<td>Required the availability of the PC to answer questions and give minimal direction.</td>
</tr>
<tr>
<td>Performed Independently</td>
<td>I</td>
<td>Performed the survey tasks and elements independently.</td>
</tr>
<tr>
<td>No applicable</td>
<td>NA</td>
<td>Element has previously been performed at the independent level or was not attempted.</td>
</tr>
</tbody>
</table>

1. **Off-Site Preparation**
The purpose of the off-site preparation is to obtain as much information about the complaint before beginning to plan the investigation.

**Staff Member Preparation:**
- Review the Complaint Process for Community Programs.

**Objectives / Critical Elements:**

<table>
<thead>
<tr>
<th></th>
<th>DC</th>
<th>D</th>
<th>I</th>
<th>NA</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ ☐ ☐ ☐ ☐</td>
<td>Reviewed the complaint and identified the priority timeframe of the complaint.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ ☐ ☐ ☐ ☐</td>
<td>Reviewed and identified the issues within the complaint.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ ☐ ☐ ☐ ☐</td>
<td>Determined if and what further information needed to be obtained about the resident and/or staff involved.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ ☐ ☐ ☐ ☐</td>
<td>Contacted the complainant and verified the issues in the written complaint. Obtained further information regarding the complaint.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ ☐ ☐ ☐ ☐</td>
<td>Developed a written plan of data gathering including information that would need to be obtained in order to make determinations about the issues within the complaint. Reviewed this with the Peer Coach and/or Field Manager.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ ☐ ☐ ☐ ☐</td>
<td>Identified the practical methods of obtaining that information i.e. interviews with specific individuals, specific logs etc. Called the ombudsman to discuss other or on-going issues within the home. Contacted the complaint investigator and/or licensor for previous issues and concerns.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ ☐ ☐ ☐ ☐</td>
<td>Reviewed previous complaints to identify possible trends or repeat issues within the last six months.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**NOTES**

2. **Introduction**

**Objectives / Critical Elements:**

<table>
<thead>
<tr>
<th></th>
<th>DC</th>
<th>D</th>
<th>I</th>
<th>NA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
On-site investigation was unannounced. Provider was not notified by phone of the upcoming on-site investigation.

Licensee was advised only of the general purpose of the visit.

Confidentiality of the complainant was kept and information was kept confidential. (CRU form was not brought into the home.)

Requested needed facility records appropriate to the issues.

Identified other appropriate issues requiring investigation.

### 3. Adult Family Home Tour and Inspection

The purpose of this task is to determine the information needed, and what sequence it should be obtained in to verify and/or substantiate the alleged issues within the complaint.

#### Objectives / Critical Elements:

- Conducted a focused physical environmental and resident tour. Focused on the complaint while looking at the general cleanliness, safety and comfort of the residents.
- Prioritized information gathering, obtained the most critical information first. Collected data to substantiate the licensor’s / complaint investigators conclusions.
- Identified the residents involved in the complaint. Identified from tour other residents who may have the same issues and concerns.
- Performed appropriate observations, interviews and record reviews of resident, staff and home. Focused on the issue(s) in order to verify the allegation(s) within the complaint.
- Performed observations and interviewed the resident(s) identified within the complaint.
- Documented questions and answers given in all interviews.
- Determined if the issues identified within the complaint happened or were substantiated.
- Determined if facility practices resulted in the issues outlined in the complaint. Determined if those practices were non-compliant according to the WACs.
- Conducted focused information gathering and/or closed record reviews for other residents at risk for the issue as appropriate depending on the type of complaint.
- Made every effort to maintain confidentiality of the complainant throughout the investigation.
- Recorded information at the level needed for evidence for determination to be clear as to the homes compliance or non-compliance.

### 4. Exit Preparation / Exit

The intent of the exit meeting is:

- To assist the licensor and/or the complaint investigator to gather, organize and determine where the inconsistencies are and to resolve them with further data collection.
- To assist the licensor to use the above information to determine if non-compliant facility practices exists.
- To assist the licensor in preparing for the exit meeting.
- To inform the home of the preliminary deficiencies.

#### Objectives / Critical Elements:

- Reviewed recorded information for completeness of data related to the complaint issue and gathered further evidence if needed.
Determined if the issue was verified to have or have not happened.
Appropriately identified and investigated any imminent danger that was found according to principles and procedures in enforcement Management Bulletin(s) #02-019 (amended) and consulted the Peer Coach and/or Field Manager appropriately.
Licensor and/or complaint investigator did not leave the home if immediate correction was warranted.
Summarized findings clearly for licensee/provider and communicated timeframes clearly if the licensee was going to be cited. Identified the specific WAC/RCW references.
Notified the licensee if the complaint was unsubstantiated and that there was no indication of deficient practice.
Answered questions the licensee had without revealing the specifics of the complaint or complainant or other residents named within the complaint.
Informed licensee if further collateral contacts are needed to be made after leaving the AFH.

5. Report Writing

The purpose of the statement of deficiencies is to provide written verification and documentation using the prescribed methods in principles of documentation, for the public, the home and the residents and serves as a permanent record for the state enforcement and licensing agency.

Objectives / Critical Elements:
- Completed a collateral interview for each sample resident. Clearly identified the issues and concerns about the resident’s care and services.
- If the home was found to have deficient practice the SOD was written following the Principles of Documentation and was clear, concise and within the required timeframes for community programs. Editing was performed using the review tool.
- After the SOD review was completed by the Field Manager and/or Enforcement Officer, the SOD and the appropriate cover letter were forwarded to the Field Manager for signature.
- SOD was written using the correct WACs and RCWs
- Inspection, deficiencies were entered into the AFH Tracking System per timelines for data entry.
- The Complaint was entered into the Tracking System.
- The Investigation Summary was written within the guidelines for complaint summaries.
- The Complaint Closure Face Sheet was completed
- Ensured that proper records of deficiencies, events, process and agreements were maintained under guidelines established for retention of records. Working papers were completed, compiled and forwarded to administrative assistant.
- If enforcement action was taken, the licensor and/or the complaint investigator consulted with the Field Manager and the enforcement officer appropriately.
- The complaint investigation, statement of deficiencies, complaint investigative report and the working paperwork were completed within the required time requirements.
- Follow-up visit was scheduled on licensee’s complaint investigators schedule.
- Complainant was contacted with results of the investigation if appropriate.

NOTES

6. Professional Manner
Check all that apply. Peer Coach may add other descriptors in the “other” box.

- Projects and promotes a positive image / attitude / working relationship
- Identifies areas of improvement and responds favorably to suggested actions for improvement
- Stern
- Challenging
- Communicates effectively
- Forceful / argumentative
- Other:

- Punctual
- Focuses on relevant and essential issues
- Unsure / hesitant / indecisive
- Applies new concepts and techniques effectively
- Strident
- Condescending
- Assertive
- Tactful

NOTES

- Staff Member brought the appropriate state statutes and regulations on inspection.
- Staff used the appropriate RCS approved forms.
- Goals for improvement:

<table>
<thead>
<tr>
<th>PEER COACH’S SIGNATURE</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>STAFF MEMBER’S SIGNATURE</td>
<td>DATE</td>
</tr>
<tr>
<td>FIELD MANAGER’S SIGNATURE</td>
<td>DATE</td>
</tr>
</tbody>
</table>