

Procedures Manual

**For Licensing Program Analysts Conducting
Adult Care Facilities Inspections**

Procedures Manual

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Procedures Manual (for Adult Care Facilities)

Overview

Introduction

Community Care Licensing Division aims to enhance the quality of life for residents and promote quality of care through an inspection process. This approach is intended to align with the broader mission of the Department, while building upon past successes and lessons learned.

This Procedures Manual provides instruction for inspecting Adult Care Facilities, including

- concepts and processes for conducting inspections, and
 - inspection tools, documents, interview questions, and forms.
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Scope

This Procedures Manual has been developed only for use in Adult Care Facilities. Tools and concepts for other facility types will be addressed in separate manuals.

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FAS Inspection Tool Manual

In addition to this Procedures Manual, readers should consult the FAS Inspection Tool Manual: RCFE/Adult Combined Statewide, which includes detailed information on how to use the inspection tools in FAS.

Part 1

The Inspection Process

Overview

In Part 1

Part 1 of this manual provides a foundation in the components, forms and inspection workflow for the inspection process.

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Purpose of the inspection tools

The purpose of the inspection tools is to ensure that inspections are

- consistent
- thorough
- efficient, and
- effective.

The Community Care Licensing Division has created standardized inspection protocols that cover the full range of important domains in a concise manner, using tools that accurately assess the overall health of a facility.

Goals of the process and tools

The key goals for inspections are

- creating a holistic and accurate picture of facility performance through the collection of actionable data on compliance and non-compliance
 - identifying promising practices by facilities, as well as areas of concern that may require training and improvement, and
 - protecting the health and safety of facility residents through inspections that emphasize prevention and enforcement of regulations.
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Chapter 1

Inspection Procedures

Overview

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Chapter 1 explains the inspection process.

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1-100: Inspection Process

Overview

Contents

This section provides an overview of the inspection process.

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1-101: The Inspection Process Overview

Purpose This section lays out the general process of conducting a facility inspection using the inspection methods, forms, and tools.

Conducting an inspection: notes (1 of 2) The table below outlines the procedure for conducting an inspection. Details of this workflow are discussed in this section and in “Part 2: Procedures and Scripts.”

Item	Description
Stage 1: Planning the inspection	Perform facility file review and prepare the inspection package
Stage 2: Conducting the on-site pre-licensing, post licensing and annual inspections	• Inspection is conducted at the facility using the inspection tool, interview questions, and necessary documentation obtained through the Entrance Checklist Adult Care Facilities (LIC 9241). • Inspection is documented using a Facility Evaluation Report (LIC 809). • An in-depth inspection of a given domain is triggered when ◦ a Domain Focused Tool is triggered because at least one Type A or three Type B deficiencies are cited in the domain while using the Standard tool, or ◦ the Comprehensive Tool is being used (see note below for more information). • When an in-depth inspection is performed in a domain ◦ that specific Domain Focused Tool is used to complete an in-depth inspection of the domain, and ◦ the standard facility inspection is then resumed in subsequent domains. • Any deficiencies are documented in FAS using the LIC 809D page of the LIC 809 form. • If a technical violation is found or technical assistance is warranted, it is documented by using Advisory Notes (LIC 9102TV or LIC 9102TA, respectively). Note: An LPA may manually select to conduct a Comprehensive inspection if the licensee is on probation or on a compliance plan. LPAs should never manually trigger a Domain Focused Tool. The Comprehensive inspection tool contains the requirements of the Standard Tool and all of the Domain Focused Tools.

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1-101: The Inspection Process Overview, Continued

Conducting an inspection:
notes (2 of 2)

The table below outlines the procedure for conducting an inspection. Details of this workflow are discussed in this section and in “Part 2: Procedures and Scripts.”

Item	Description
Stage 3: Concluding the inspection	Conduct the exit interview with the licensee and perform inspection wrap-up.
Follow-up	File completed documents and take any required post-inspection actions.

Three stages of a facility inspection:
Stage 1

Stage 1: Planning the Inspection (before traveling to the facility)

The table below shows the four-step process the Licensing Program Analyst (LPA) must use to plan an on-site facility inspection.

Step	Action
1	In-office facility file review
2	Document the facility file review
3	Plan how the facility inspection will be conducted
4	Gather information to take into the field for reference

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1-101: The Inspection Process Overview, Continued

**Three stages
of a facility
inspection:
Stage 2**

Stage 2: Conducting the Inspection (at the facility)

The table below shows the two-step process the Licensing Program Analyst (LPA) must use to conduct an on-site facility inspection.

Step	Action
1	Greet the licensee or facility representative and give them a printed copy of the Entrance Checklist Adult Care Facilities (LIC 9241).
2	Conduct the inspection using either the Standard Tool or Comprehensive Tool, as appropriate. • A Domain Focused Tool is triggered and used to complete the inspection if one Type A or three Type B deficiencies are found while using the Standard Tool. ◦ Note: The Domain Focused Tools should never be manually triggered individually. • Comprehensive Tools are triggered when all Domain Focused Tools are triggered. ◦ Note: The Comprehensive Tool can be manually selected by clicking the red globe icon in the tool. The Licensing Program Analyst will then be prompted to provide a reason for manually triggering a Comprehensive Inspection which should only be if the facility is on: ◦ Probation ◦ Compliance Plan • The inspection is documented on a Facility Evaluation Report (LIC 809), with other supporting forms as needed.

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1-101: The Inspection Process Overview, Continued

**Three stages
of a facility
inspection:
Stage 3**

Stage 3: Concluding the Inspection (before departing the facility)

The table below shows the two-step process the Licensing Program Analyst (LPA) must use to conclude an on-site facility inspection.

Step	Action
1	Conduct an exit interview with the licensee or facility representative, including • all deficiencies identified in this inspection • all advisory notes issued • all civil penalties assessed in this inspection, and • the Plan of Correction if there is a citation(s).
2	Determine if additional follow-up is needed.

1-102: Stage 1: Planning the Inspection

Purpose	This section provides details regarding the inspection planning stage.
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Planning the inspection	The planning stage involves the Licensing Program Analyst (LPA) • using the Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A) to conduct and document completion of the in-office facility file review • planning, based on careful review of the facility file, how best to conduct the facility inspection in the field, and • preparing the inspection package: arranging to bring pertinent forms, files, and documents, on a case-by-case basis, for use or reference during the inspection.
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Facility file review	The facility file review must include any • past deficiencies • waivers and exceptions • admission agreements • the plan of operation • facility sketch • approved fire clearance (STD 850 or other documentation of fire clearance provided by the applicable fire authority) • facility emergency and disaster plan (LIC 610D or other documentation of the plan) • documents that were approved during the application/licensure process, and • overdue fees.
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The Licensing Program Analyst must ensure that any subsequent revisions to the plan of operation have been reviewed.

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1-102: Stage 1: Planning the Inspection, Continued

**Using the
LIC 9120A**

The Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A) covers many of the items that need to be checked during facility file review. The LIC 9120A is intended for Licensing Program Analyst (LPA) use only, and a copy is not provided to the facility. However, the Entrance Checklist Adult Care Facilities (LIC 9241) is provided to the facility.

LPAs use the LIC 9120A at the on-site inspection to follow-up on issues identified during the facility file review.

For more information on additional items to check during a facility file review, refer to 2-203: Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A).

**LPA data
resources**

Additional information regarding the facility is available to the Licensing Program Analyst (LPA) via the Licensing Information System (LIS) and the Field Automation System (FAS).

- A current Facility Profile (LIS 055) form may be reviewed for accuracy and updated as appropriate.
 - Any new information, such as special conditions, may be noted in the "Comments" section of the form.
 - The LPA should verify the current resident population is correctly identified.

The LPA must review the facility profile for the current administrator on file and ensure that any changes have been documented. If the administrator certificate is expired (for Adult Residential Care Facility (ARF), Adult Residential Facility for Persons with Special Health Needs (ARFPSHN), Community Crisis House (CCH), Enhanced Behavioral Support Home (EBSH)), remember to document this on the Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A) and request a copy during the inspection. Also, the LIC 9120A should be used to cross-check against the facilities' documents.

- A current Facility Personnel Report Summary (LIS 531), available in LIS, can be compared with the facility file's Personnel Report (LIC 500) form. If the LIC 500 is outdated, take a copy of the Facility Personnel Report Roster (LIS 555) to be updated at the inspection.
 - Criminal record clearances should be checked in this manner.
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1-102: Stage 1: Planning the Inspection, Continued

Preparing the inspection package

Based on the information obtained during the planning phase, preparation of the inspection package helps ensure a more thorough and efficient inspection, by highlighting

- items to check during the inspection, and
- questions to ask at the facility.

Note: When preparing the annual inspection package, the Licensing Program Analyst must take care to safeguard any confidential documents taken into the field or accessed on a laptop or tablet from the Field Automation System (FAS).

Inspection package documents

In addition to documents and forms suggested by review of the facility file, it is best practice to include copies of certain forms in the annual inspection package, in the event they are needed during the inspection. These forms include:

- Affidavit Regarding Client/Resident Cash Resources (LIC 400)
- Facility Personnel Report Summary (LIS 531)
- Designation of Facility Responsibility (LIC 308)
- Proof of Correction(s) (LIC 9098)
- current Facility Profile (LIS 055), and
- facility sketch.

The Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A) used during the facility file review should also be available for cross-checking against the facility's on-site documents.

1-103: Stage 2: Conducting the Inspection

Purpose	This section addresses details of inspecting the facility.
Taking notes during the inspection	Before beginning the on-site inspection, the Licensing Program Analyst (LPA) may suggest, as a best practice, the facility representative • accompany the LPA on the inspection, and • bring a pen/paper or an electronic note-taking device. Note: While there is no requirement for a facility representative to accompany the LPA during the inspection, it serves as a best practice for an LPA and facility representative to tour the facility together. This will allow the facility representative to see first-hand any areas of concern and take notes to help track problem areas for later correction. Any notes taken by the facility representative are distinct from those taken by the LPA.
Entrance Checklist (LIC 9241)	Upon entering the facility, the licensee or facility representative is presented with the Entrance Checklist Adult Care Facilities (LIC 9241) and told the items on the sheet will need to be made available for inspection. For more information on the LIC 9241, see 2-204: Entrance Checklist Adult Care Facilities (LIC 9241) of this manual.
Verify contact information	As part of the inspection process, the Licensing Program Analyst (LPA) must verify the contact information and licensee email and mailing address currently on file for the facility is correct. If incorrect, the LPA must update the Licensing Information System (LIS) with the new data upon return to the Regional Office.

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1-103: Stage 2: Conducting the Inspection, Continued

The inspection process

When beginning an inspection, the Licensing Program Analyst (LPA) follows the recommended sequential methodology, as shown in the table below.

Step	Action
1	Inspect the facility rooms and grounds.
2	Conduct record review.
3	Conduct interviews of clients/residents and staff.

1-103: Stage 2: Conducting the Inspection, Continued

Client Room inspections	For residential facilities, Licensing Program Analysts (LPAs) inspect 10 client rooms or 10% of all client rooms in the facility, whichever is greater.
Client/Resident record review	Licensing Program Analysts review 10 client/resident records or 10% of all client/resident records in the facility, whichever is greater.
Client/Resident interviews	Licensing Program Analysts (LPAs) conduct interviews with 50% of the clients/residents whose records were reviewed and are present at the time of the on-site inspection. If a client/resident cannot be interviewed, the LPA should use the drop-down menu in the interview form that lists possible reasons a client/resident could not be interviewed. Example: In a large facility with 100 clients/residents, 10 client/resident records (10%) are reviewed and 5 of those clients/residents (50% of 10) are selected for interviews. If only 4 of those clients/residents are available for interview at the time of the on-site inspection, then 4 interviews are conducted.
Interview of the resident council president	Licensing Program Analysts should attempt an interview with the facility's resident council president (if applicable), if that individual is present at the facility during the on-site inspection.
Staff record review	Licensing Program Analysts review 10 staff records or 10% of all staff records in the facility, whichever is greater.

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1-103: Stage 2: Conducting the Inspection, Continued

Staff interviews

Licensing Program Analysts conduct interviews with 50% of the facility staff whose records were reviewed and are present at the time of the on-site inspection.

Example: In a facility with 25 staff, 10 staff records (greater than 10%) are reviewed and 5 of those staff members (50% of 10) are selected for interviews. All 5 selected staff are present at the time of the on-site inspection, and so those 5 are interviewed.

Conducting the inspection

The Comprehensive Tool is used to conduct inspections of facilities that are on probation or on a compliance plan, as well as a small randomly selected subset of annual inspections. The Standard Tool is used to conduct pre-licensing, post-licensing inspections and annual random/required inspections. While using these tools, the Licensing Program Analyst must

- document the inspection using the Facility Evaluation Report (LIC 809), and
- make use of supporting forms – such as the Confidential Names (LIC 811) or Detail Supportive Information (LIC 812) form – as needed.

Note: Reference the FAS Manual and the FAS Inspection Tool Manual: RCFE/Adult Combined Statewide for procedures on conducting a continuation visit.

Document review

When checking documents at the facility using the Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A), any requests to the licensee for additional information must be documented in the facility file. The Licensing Program Analyst can document the request using a

- Facility Evaluation Report (LIC 809)
 - Contact Sheet (LIC 185), or
 - Detail Supportive Information (LIC 812) form.
-

Triggering an in-depth inspection

The Standard Tool can lead to the triggering of in-depth inspections through the use of the

- Domain Focused Tools, and
 - the Comprehensive Tool.
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1-103: Stage 2: Conducting the Inspection, Continued

In-depth inspections: Domain Focused Tool

A Domain Focused Tool can be triggered when, within a single domain

- one Type A deficiency is found, or
- three Type B deficiencies are found.

Once triggered, the Domain Focused Tool will automatically be displayed within the domain that provided the trigger. The Licensing Program Analyst (LPA) will proceed with the Standard Tool when the Domain Focused Tool has been completed.

In-depth inspections: Comprehensive Tool

While using the Standard and Domain Focused Tools to conduct an inspection, the Comprehensive Tool can be triggered when

- all Domain Focused Tools are triggered, or
- the Licensing Program Analyst (LPA) manually selects a Comprehensive Tool by clicking the globe icon in the tool.

Note: An LPA may manually select to conduct a Comprehensive inspection if the licensee is on probation or on a compliance plan. A Domain Focused Tool is also triggered if there is a Type A violation or three Type B violations. An LPA should never manually trigger a Domain Focused Tool. The Comprehensive inspection tool contains the requirements of the Standard Tool and all of the Domain Focused Tools.

Citations and other LPA actions: statute

The Licensing Program Analyst (LPA) cites deficiencies and takes other actions regarding the facility as authorized by the Health and Safety Code (HSC) as seen in the table below.

Facility Type	HSC
• Adult Day Programs (ADP) • Adult Residential Facilities (ARF) • Adult Residential Facilities for Persons with Special Health Care Needs (ARFPSHN) • Community Crisis Homes (CCH) • Enhanced Behavioral Supports Homes (EBSH) • Social Rehabilitation Facilities (SRF)	HSC, sections 1500 through 1567.87
Residential Care Facilities for the Chronically Ill (RCFCI)	HSC, sections 1568.01 through 1568.094

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1-103: Stage 2: Conducting the Inspection, Continued**Citations and other LPA actions: regulations**

The Licensing Program Analyst (LPA) cites deficiencies and takes other actions regarding the facility as authorized by the California Code of Regulations (CCR) as seen in the table below.

Facility Type	CCR
Adult Day Program (ADP)	CCR, Title 22, Sections 82000 through 82093
Adult Residential Facilities (ARF)	• CCR, Title 22, Sections 80000 through 80095 • CCR, Title 22, Sections 85000 through 85093 • CCR, Title 22, Sections 85100 through 85175
Adult Residential Facilities for Persons with Special Health Care Needs (ARFPSHN)	CCR, Title 22, Sections 80000 through 80088
Community Crisis Homes (CCH)	• CCR, Title 22, Sections 80000 through 80095 • CCR, Title 22, Sections 85000 through 85093 • CCR, Title 22, Sections 85100 through 85175 • CCR, Title 22, Sections 85300 through 85390
Enhanced Behavioral Supports Homes (EBSH)	• CCR, Title 22, Sections 80000 through 80095 • CCR, Title 22, Sections 85000 through 85093 • CCR, Title 22, Sections 85100 through 85175 • CCR, Title 22, Sections 89900 through 89990
Residential Care Facilities for the Chronically Ill (RCFCI)	CCR, Title 22, Sections 87800 through 87925
Social Rehabilitation Facilities (SRF)	CCR, Title 22, Sections 81000 through 81094.5

Applicable statute and regulations

The Licensing Program Analyst (LPA) is cautioned to only cite deficiencies that are found in applicable statute and regulations.

For details, see the Evaluator Manual, particularly Reference Material for Documentation, and Reference Material for Facility Evaluation/Visits.

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1-103: Stage 2: Conducting the Inspection, Continued

**Clicking
“Complete
Inspection” on
the LIC 809**

Important! Open the Inspection Summary tab and verify that every requirement in every domain has been checked. When all necessary inspection tools have been completed in an on-site inspection (even if no deficiencies were found), the Licensing Program Analyst (LPA) must click the **“Complete Inspection”** button on the Facility Evaluation Report (LIC 809) form to transfer the data from the tool(s) to the form(s).

If the LPA fails to click **“Complete Inspection”** as required, an accurate record of the inspection has not been captured, even if all other on-site inspection steps were followed.

**Completing
the inspection**

The Licensing Program Analyst (LPA) has completed the on-site inspection when

- the Standard or Comprehensive Tool is complete
 - any Domain Focused Tools that were triggered during the inspection are complete
 - the Facility Evaluation Report (LIC 809) is complete, and
 - any other supporting forms used to document the inspection are complete.
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1-103: Stage 2: Conducting the Inspection, Continued**Multi-day inspections**

If an on-site inspection is not completed on the first day, the Licensing Program Analyst (LPA) must follow the procedure shown in the table below to ensure accurate recording of the inspection data.

Step	Action
1	When the LPA runs out of time on the first day, they must • click “Complete Inspection” on the Facility Evaluation Report (LIC 809) to transfer notes and data to the forms • sign the LIC 809 (and LIC 809D or other forms, if necessary) • have the licensee or facility representative sign the LIC 809 (and other forms, if necessary), and • leave a copy of the LIC 809 (and other forms, if necessary) at the facility.
2	To proceed with the inspection on the second day, the LPA must • open the previous day's LIC 809. Select “Continue Inspection” from the Inspection Tool button on the banner, and • open the copy of the partially completed inspection tool and scroll to the position in the tool where the LPA left off on the previous day.
3	Repeat steps 1 and 2, if necessary, until the on-site inspection is concluded.

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1-103: Stage 2: Conducting the Inspection, Continued

Joint inspections

When a larger facility is inspected, it may require more than one Licensing Program Analyst (LPA) to complete the inspection.

Before going on-site to conduct a joint inspection, the lead LPA must determine (during Stage 1: Planning the Inspection) how the assisting LPAs will be assigned at the inspection site, so that the inspection may proceed smoothly at the facility.

The table below shows the procedure for conducting a joint-inspection.

Step	Action
1	The lead LPA is responsible for completing the inspection tool, the Facility Evaluation Report (LIC 809), and other required documentation.
2	Assisting LPAs complete their particular portions of the inspection using a separate, blank copy of the inspection tool on their own.
3	Before the inspection has concluded, the assisting LPAs meet with the lead LPA and the data collected by each assisting LPA is entered into the lead LPAs inspection tool.
4	The lead LPA, with all collected data entered into his or her own inspection tool, now completes the remaining requirements of the inspection.

Using the inspection tools

The tools and forms referenced in this section are described in greater detail in the following additional sections of this manual:

- 2-100: The Inspection Tools
 - 2-200: Documents and Forms, and
 - 3-100: Interview Questions.
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1-104: Stage 3: Concluding the Inspection

Purpose	This section discusses details of concluding the inspection and exiting the facility.
The exit interview	When an on-site inspection has been completed, the Licensing Program Analyst (LPA) must meet with the licensee or their representative to conduct an exit interview. The exit interview allows the licensee an opportunity to • personally receive the notice of deficiency • understand any deficiencies identified • receive consultation from the LPA on the inspection findings, and • create a Plan of Correction, as needed. Note: If the licensee is not at the facility site, the LPA should leave a copy of the notice of deficiency with the person in charge of the facility and mail a copy to the licensee.
Inspection follow-up	After the Licensing Program Analyst (LPA) departs the facility, it is necessary to perform the required follow-up activities for each inspection, including updates to the Control Book/Dashboard to show • Plan of Correction due dates • cleared deficiencies, and • assessment of civil penalties. Note: The LPA must conduct a follow-up inspection within 10 calendar days (unless another due date was specified in the Plan of Correction) following the latest date of correction specified in the notice of deficiency (unless the deficiency has already been demonstrated to have been corrected). If during this visit the required corrections have not been made, the LPA is required to issue a notice of penalty.

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1-104: Stage 3: Concluding the Inspection, Continued

**Follow-up:
contacting
other groups**

When following-up on issues discovered during the inspection, the Licensing Program Analyst (LPA) may need to coordinate with their Licensing Program Manager (LPM) to identify the appropriate next steps. The LPM may instruct the LPA to contact any of the following groups for action or support:

- Community Care Licensing Division Audit Section
- Legal Division
- other public agencies (such as the local planning authority or fire authority), or
- the placement agency, if applicable.

**Handling and
filing
inspection
documents**

When signing, filing, and distributing inspection-related documents, follow the procedures and requirements described in the Evaluator Manual, Section 3-3000: Reference Material for Documentation.

Part 2

Procedures and Interview Questions

Overview

Contents

Part 2 describes the tools, interview questions, and methodologies designed to make the inspection process more consistent and efficient for the Licensing Program Analyst.

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Chapter 2

Inspection Tools and Forms

Overview

Contents

Chapter 2 introduces the Adult Care inspection tools and gives step-by-step instruction for their use. Related forms are also covered.

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2-100: The Inspection Tools

Overview

Contents

This section describes the licensing domains, the inspection tools, and their use.

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**About the
domains and
tools**

The inspection tools organize statute and regulatory requirements into licensing domains.

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2-100: The Inspection Tools, Continued

The inspection tools The table below describes the tools and when each tool should be utilized. For more information, see 2-103: The Inspection Tools.

Tool	Description	When is it used?
Pre-Licensing Tool	Contains the contents of the domains in the Comprehensive Tool that are relevant to a pre-licensing inspection. There are no Domain Focused Tools associated with the Pre-Licensing Tool.	The Pre-Licensing Tool is used during a facility's pre-licensing inspection.
Standard Tool	Contains requirements that are critical to health and safety and that provide an overview of the health of the facility.	The Standard Tool is used for • a facility's post-licensing inspection, and • annual inspections.
Domain Focused Tool	Contains the requirements within a specific domain in the Comprehensive Tool that are not in the Standard Tool.	A Domain Focused Tool is used during • post licensing inspections, • annual inspections, and • in-depth inspections in a specific domain.
Comprehensive Tool	Contains extensive requirements in the domains that are relevant to the type of inspection. This includes all the requirements in the Standard Tool plus the requirements in the Domain Focused Tool.	The Comprehensive Tool is used when • a facility is on probation • a facility is on a compliance plan, or • a facility is included in a small, random subset of annual inspections (for data collection purposes).

2-101: Domains

Purpose

This section introduces the licensing domains and their use in the inspection tools.

Domains

For the inspection tools, licensing requirements are organized into domains. The domains listed below are not used for all adult facility types, as some domains do not apply to all facility types or have few requirements.

The eleven different domains found in the inspection tools for adult care facility types are listed below:

- Client/Resident Records-Incident Reports
 - Client/Resident Rights-Information
 - Disaster Preparedness
 - Emergency Intervention
 - Food Service
 - Health-Related-Services
 - Incidental Medical Services
 - Operational Requirements
 - Personnel Records-Training
 - Physical Plant/Environmental Safety
 - Staffing
-

Where do the domains come from?

The licensing domains have been derived from a grouping of the requirements in the Health and Safety Code (HSC) and California Code of Regulations (CCR):

- The applicable Article titles within the CCR, Chapters 1, 2, 3, 4, 5, 6, 6.1, 8.5, and 11.
 - The applicable sections of the Community Care Facilities (CCF) Act and Residential Care Facilities for the Chronically Ill Act within the HSC.
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2-101: Domains, Continued

Domain: Client/ Resident Records- Incident Reports

The table below lists attributes of the ***Client/Resident Records-Incident Reports*** domain.

Domain Attributes	Details
Facility types affected by this domain	• Adult Day Program • Adult Residential Facility • Adult Residential Facility for Persons with Special Health Needs • Community Crisis Home • Enhanced Behavioral Support Home • Residential Care Facility for the Chronically Ill • Social Rehabilitation Facility
Sample items in this domain	• Client Records • Admission Agreement • Register of Clients • Needs and Services Plan

Domain: Client/ Resident Rights- Information

The table below lists attributes of the ***Client/Resident Rights-Information*** domain.

Domain Attributes	Details
Facility types affected by this domain	• Adult Day Program • Adult Residential Facility • Adult Residential Facility for Persons with Special Health Needs • Community Crisis Home • Enhanced Behavioral Support Home • Residential Care Facility for the Chronically Ill • Social Rehabilitation Facility
Sample items in this domain	• Personal Rights • Administration • Animals and Pets in Facilities

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2-101: Domains, Continued

Domain: Disaster Preparedness

The table below lists attributes of the ***Disaster Preparedness*** domain.

Domain Attributes	Details
Facility types affected by this domain	• Adult Day Program • Adult Residential Facility • Adult Residential Facility for Persons with Special Health Needs • Community Crisis Home • Enhanced Behavioral Support Home • Residential Care Facility for the Chronically Ill • Social Rehabilitation Facility
Sample items in this domain	• Disaster and Mass Casualty Plan

Domain: Emergency Intervention

The table below lists attributes of the ***Emergency Intervention*** domain.

Domain Attributes	Details
Facility types affected by this domain	• Adult Residential Facility • Community Crisis Home • Enhanced Behavioral Support Home
Sample items in this domain	• Emergency Intervention Documentation and Reporting Requirements • Emergency Intervention Staff Training • Medical Examination

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2-101: Domains, Continued

Domain: Food Service

The table below lists attributes of the **Food Service** domain.

Domain Attributes	Details
Facility types affected by this domain	• Adult Day Program • Adult Residential Facility • Adult Residential Facility for Persons with Special Health Needs • Community Crisis Home • Enhanced Behavioral Support Home • Residential Care Facility for the Chronically Ill • Social Rehabilitation Facility
Sample items in this domain	• Food Service • Food Service-Related Personnel Requirements

Domain: Health-Related Services

The table below lists attributes of the **Health-Related Services** domain.

Domain Attributes	Details
Facility types affected by this domain	• Adult Day Program • Adult Residential Facility • Adult Residential Facility for Persons with Special Health Needs • Community Crisis Home • Enhanced Behavioral Support Home • Residential Care Facility for the Chronically Ill • Social Rehabilitation Facility
Sample items in this domain	• Care for Clients with Contractures • Care for Clients with Incontinence • Care for Clients who rely upon Others to Perform All Activities of Daily Living

Continued on next page

2-101: Domains, Continued**Domain:
Incidental
Medical
Services**

The table below lists attributes of the ***Incidental Medical Services*** domain.

Domain Attributes	Details
Facility types affected by this domain	• Adult Day Program • Adult Residential Facility • Community Crisis Home • Enhanced Behavioral Support Home • Residential Care Facility for the Chronically Ill • Social Rehabilitation Facility
Sample items in this domain	• Restricted Health Conditions • Prohibited Health Conditions • Inhalation-Assistive Devices

**Domain:
Operational
Requirements**

The table below lists attributes of the ***Operational Requirements*** domain.

Domain Attributes	Details
Facility types affected by this domain	• Adult Day Program • Adult Residential Facility • Adult Residential Facility for Persons with Special Health Needs • Community Crisis Home • Enhanced Behavioral Support Home • Residential Care Facility for the Chronically Ill • Social Rehabilitation Facility
Sample items in this domain	• Plan of Operation • Fire Clearance • Safeguarding Resident Cash, Property and Valuables • Activities • Fixtures, Furniture, Equipment, and Supplies

Continued on next page

2-101: Domains, Continued

Domain: Personnel Records- Training

The table below lists attributes of the ***Personnel Records-Training*** domain.

Domain Attributes	Details
Facility types affected by this domain	• Adult Day Program • Adult Residential Facility • Adult Residential Facility for Persons with Special Health Needs • Community Crisis Home • Enhanced Behavioral Support Home • Residential Care Facility for the Chronically Ill • Social Rehabilitation Facility
Sample items in this domain	• Personnel Records • Health-Related Services • Personnel Requirements

Domain: Physical Plant/ Environmental Safety

The table below lists attributes of the ***Physical Plant/Environmental Safety*** domain.

Domain Attributes	Details
Facility types affected by this domain	• Adult Day Program • Adult Residential Facility • Adult Residential Facility for Persons with Special Health Needs • Community Crisis Home • Enhanced Behavioral Support Home • Residential Care Facility for the Chronically Ill • Social Rehabilitation Facility
Sample items in this domain	• Posting of License • Limitations on Capacity and Ambulatory Status • Water Supply Clearance • Buildings and Grounds.

Continued on next page

2-101: Domains, Continued

Domain: Staffing

The table below lists attributes of the **Staffing** domain.

Domain Attributes	Details
Facility types affected by this domain	• Adult Day Program • Adult Residential Facility • Adult Residential Facility for Persons with Special Health Needs • Community Crisis Home • Enhanced Behavioral Support Home • Residential Care Facility for the Chronically Ill • Social Rehabilitation Facility
Sample items in this domain	• Staff-Client Ratios • Staffing related Personnel Requirements • Night Supervision.

Use of domains

While all the state licensing requirements contained in each tool are organized by domain, all domains are not necessarily present in every tool.

Example: For a pre-licensing inspection of an Adult Residential Facility (ARF), with no residents in care, the Licensing Program Analyst (LPA) will not be prompted to complete the Client/Resident Records-Incident Reports domain since there would be nothing related to resident records/incident reports to inspect.

However, if a Pre-Licensing Inspection is related to a Change of Ownership with persons in care, the Pre-Licensing Tool will prompt a Change of Ownership gateway question (e.g. “Is this a change in ownership with clients present?”) for the LPA to answer and the LPA then reviews the Client/Resident Records-Incident Reports domain.

For more information, see 2-102: Gateway Questions.

2-101: Domains, Continued

Using the Domain Focused Tools

Common and important requirements to be checked are grouped together in the tool by domain. However, on the Standard Tool, an ***in-depth*** inspection within a given domain may be triggered by certain criteria.

When an in-depth inspection is triggered, it will

- pertain to the domain that triggered it, and
- be performed using that domain's Domain Focused Tool, and the Domain Focused requirements will appear in yellow highlight within the applicable Domain

See 2-103: The Domain Focused Tools for more information on how an in-depth inspection is triggered, and how it contributes to the completion of the overall inspection.

2-102: Gateway Questions

Purpose

Gateway Questions facilitate a more efficient inspection by prompting Licensing Program Analysts (LPA) to answer a question that is associated with multiple licensing requirements in various domains. Depending on the LPA's response, multiple licensing requirements either will be marked "N/A" or will be left for the LPA to inspect.

How do Gateway Questions work?

Immediately upon opening the inspection tool, a dialogue box with Gateway Questions will appear. Select the appropriate response under each question, and the associated licensing requirements either will be marked "N/A" or will be left for the Licensing Program Analyst to inspect.

Example: Gateway Question

The following table shows an example Gateway Question for Adult Residential Facilities (ARFs) regarding restraints and its association with licensing requirements, statutes/regulations, and affected domains.

Question: Is the licensee using or reasonably foresees that he or she will utilize a manual restraint or seclusion?

Affected domain: Emergency Intervention

Authority: California Code of Regulations, Title 22, Section 85161(b), (g), (g)(1), (g)(5), (g)(7), (g)(7)(A), Section 85165(b), (b)(2), (c), (f), (f)(4), (f)(7), (g), (h), (h)(1), Section 85168.3(b) through (b)(1)(A), (b)(3), (c), Section 85169, and Section 85169(b).

Amending responses to a Gateway Question

If a Gateway Question was answered incorrectly, there are two options. The Licensing Program Analyst (LPA) may either close the inspection tool without saving and begin the inspection from the beginning, or the LPA may override the "N/A" designations in the appropriate domains by either clicking "Yes" or "No" for the specific licensing requirements to indicate if the licensee is in compliance with the requirement.

2-103: The Inspection Tools

What are the inspection tools?

The suite of inspection tools include the

- Pre-Licensing Tool
- Standard Tool
- Domain Focused Tools, and
- Comprehensive Tool.

Note: The inspection tools do not contain all applicable statutes, regulations and licensing standards that the licensee is required to comply with. The inspection tools are only meant to facilitate the annual inspection. During the annual inspection, Licensing Program Analysts (LPA) are required to inspect for compliance with all licensing statutes, regulations and standards, even those not listed in the inspection tools. If an LPA observes a violation that is not on the inspection tool, the LPA must address the violation.

Further, the inspection tools in no way relieves an LPA of his/her duty to conduct a file review prior to beginning the annual inspection.

What is the Standard Tool?

The Standard Tool is used to conduct annual inspections and post-licensing inspections. Annual inspections assess whether the licensee is operating in compliance with state licensing statutes and regulations. A post-licensing inspection is an unannounced inspection of a licensed facility conducted within 90 days after the facility accepts its first resident.

What is a Domain Focused Tool?

A Domain Focused Tool is a group of requirements in a given domain that expand to show additional items that need to be checked. A Domain Focused Tool is triggered if, while using the Standard Tool, one Type A or three Type B citations occur within a single domain.

Continued on next page

2-103: The Inspection Tools, Continued

What is the Comprehensive Tool?

The Comprehensive Tool consists of the Standard Tool requirements and the Domain Focused Tool requirements. The Comprehensive Tool may be used when a facility is on probation or on a compliance plan. Additionally, a facility may be chosen randomly during its regular annual inspection to receive a comprehensive inspection using the Comprehensive Tool to ensure they are operating in compliance with state licensing statutes and regulations.

What is the Pre-Licensing Tool?

The Pre-Licensing Tool is used for inspections that are scheduled with the applicant and conducted prior to licensure to ensure the facility meets licensing requirements.

If the Pre-Licensing inspection is being conducted due to a change of ownership within an adult care facility, the Licensing Program Analyst (LPA) must review with the applicant the documents that are required to be in each file. For Adult Residential Facilities (ARFs), the LPA should use the Records to be Maintained at the Facility-Adult Residential (LIC 311C) form.

Note: During a Pre-Licensing inspection due to a change of ownership with a facility that has residents in care, the current licensee, not the applicant, is responsible for the completeness of both resident and staff files.

Continued on next page

2-103: The Inspection Tools, Continued

Example: inspection tool

The graphic below shows part of an Adult Residential Facility (ARF) inspection tool (in this case, the Standard Tool). Both the Pre-Licensing and the Comprehensive Tools have a similar functionality.

Requirement			Operational Requirements	In Compliance?			Deficiency Type				Notes	
Type	Section	Section Title	B Regulation/Statute Language	Yes	No	N/A	Type A	Type B	Tech V	Tech A		
CCR	80020(a)	Fire Clearance	(a) All facilities shall secure and maintain a fire clearance approved by the city or county fire department, the district providing fire protection services, or the State Fire Marshal.									
CCR	A 80020(c)	C Fire Clearance	(c) A licensee of an Adult Residential Facility or Group Home utilizing secured perimeters shall conduct fire and earthquake drills pursuant to Health and Safety Code section 1531.15(h).		D			E				F
CCR	80022(d)(2)(A)	Plan of Operation	(A) If the licensee plans to admit or care for one or more clients who have a staph or other serious, communicable infection, the plan must include:									
CCR	80022(d)(2)(A)1	Plan of Operation	1. A statement that all staff will receive training in universal precautions within the first 10 days of employment, and before providing care to these clients.									
CCR	80022(e)	Plan of Operation	(e) If the licensee intends to admit or care for one or more clients who rely upon others to perform all activities of daily living, the plan of operation must also include a statement that demonstrates the licensee's ability to care for these clients. The evidence of ability may include but not be limited to:									
CCR	80022(e)(4)	Plan of Operation	(4) Documentation of training the licensee and/or staff have completed specific to the needs of these clients.									
			(b) Upon the occurrence, during the operation of the facility, of any of the events specified in (1) below, a report shall be made to the licensing agency within the agency's next working day									

Reporting: Entrance Guidelines **G** Physical Plant & Environmental **Operational Requirements** Staffing Personnel Records - Training Client Rec. - Incident Reports Client Rights - Info

Example notes: inspection tool (1 of 2)

The table below describes items delineated in each of the columns in the inspection tool graphic above.

Column	Description
A: statute/regulation number	Health and Safety Code (HSC) or California Code of Regulations (CCR) requirements by section and subsection number.
B: statute/regulation language	Text of the HSC or CCR requirement.
C: Section Title	Title of the regulation section or statute section for each requirement.
D: in compliance?	Checkboxes for • “yes” • “no”, or • “N/A” (not applicable).

Continued on next page

2-103: The Inspection Tools, Continued

**Example
notes;
inspection tool
(2 of 2)**

The table below describes items highlighted in the inspection tool graphic above.

Column	Description
E: deficiency type	Checkboxes for • “Type A” deficiency • “Type B” deficiency • “Tech V” (technical violation), or • “Tech A” (technical assistance). On the Standard Tool, one Type A deficiency or three Type B deficiencies within a given domain will trigger an in-depth inspection and use of that domain’s Domain Focused Tool.
F: notes	Room for brief notes by the Licensing Program Analyst (LPA). Notes will be automatically transferred to the Detail Supportive Information (LIC 812) form.
G: domains tabs	Each required domain has its own tab at the bottom of the screen. All requirements in each Domain must be checked by the LPA and recorded for the inspection tool to be completed.

Continued on next page

2-103: The Inspection Tools, Continued

Example: The table below describes the icons in the inspection tool and their function(s).
inspection tool icons

Icon	Description
A: Easel Icon 	Show/hide Domain Focused Tools
B: Globe Icon 	Will manually trigger a Comprehensive Visit. Licensing Program Analysts will need to document why the visit was manually triggered in a pop-up box.
C: Search Icon 	Regulation/Statute Language search dialog box will open
D: Summary Icon 	Link to Summary tab
E: Recycle Bin Icon 	Initial use of the Tool: • Will clear the domain. • If gateway NVAs are there, they will remain. Continuation, second or more use of the same tool: • Will preserve previously cited sections. • If gateway NVAs are there, they will remain. • Clear the rest of the sections in the domain.

Triggering an in-depth inspection: Domain Focused Tool

While using the Standard Tool, working within any given domain, the Domain Focused Tool for that domain is used to conduct an in-depth inspection if

- one Type A deficiency is found, or
- three Type B deficiencies are found in that single domain.

Note: For more information, see 2-104: The Domain Focused Tools.

Continued on next page

2-103: The Inspection Tools, Continued

Triggering an in-depth inspection: Comprehensive Tool

The Comprehensive Tool can be triggered if

- all Domain Focused Tools are triggered, or
 - the LPA manually selects a Comprehensive Tool by clicking the globe icon in the tool.
-

Multiple pre-licensing inspections

During the pre-licensing period, if multiple inspections are needed to verify that the facility has made the corrections required to meet licensing standards, each inspection is counted as a pre-licensing inspection, and is completed using a separate Pre-Licensing Tool.

Post-licensing requirements: the licensee

During the post-licensing period, the licensee must notify the department, within five business days after accepting the facility's first resident for placement, that the facility has commenced operation. The post-licensing inspection must then be conducted within 90 days of the notification.

When conducting a post-licensing inspection, the Licensing Program Analyst must inspect the facility using the Standard Tool to

- evaluate compliance with statutes and regulations, and
 - assess the facility's continuing ability to meet requirements.
-

Continued on next page

2-103: The Inspection Tools, Continued

Licensee requests for a copy of the completed inspection tool

If a licensee requests a copy of the completed inspection as shown in the inspection tool, the Licensing Program Analyst (LPA) may follow the steps in the table below to provide the licensee with a PDF file copy.

Step	Action
1	Click on the Summary tab of the inspection tool.
2	Click "Save As PDF" hyperlink. This can be found below the inspection summary table. Clicking "Save as PDF" will cause the inspection tool to be converted to a PDF file.
3	After the tool is converted, a PDF version of the completed inspection tool will automatically open. The generated PDF version of the inspection tool will not contain any notes the LPA may have made due to possible confidential information. This version can be printed and given to the licensee.
4	To email the generated PDF copy of the completed inspection to the licensee as an attachment, click on the envelope icon at the top of the PDF reader. Note: If this is the first time this envelope icon is used, then another window will automatically open. Select "Default email application" button and check the "Remember my choice" box. Then click "Continue" button.
5	A blank email window with the PDF version of the completed inspection attached will automatically open and the LPA can now fill out the rest of the email fields and email the licensee the report.

Note: If an LPA is in a location where sending the licensee an email is not possible, the LPA has the option to send the licensee the completed inspection tool later. A PDF copy of the completed inspection tool is automatically saved to the server under the "Documents" folder.

Continued on next page

2-103: The Inspection Tools, Continued

**Printing
assistance**

For assistance with printing out the completed inspection tool, contact a FAS Specialist at FASSpecialists@dss.ca.gov.

**Using the
inspection
tools in FAS**

For more detailed information on use of the inspection tools in the Field Automation System (FAS), see the FAS Inspection Tool Manual: RCFE/Adult Combined Statewide.

2-104: The Domain Focused Tools

What are the Domain Focused Tools?

When a Domain Focused Tool is triggered while conducting an inspection using the Standard Tool, the Domain Focused Tool for that domain is used to inspect the additional requirements on that tool.

There are nine to eleven Domain Focused Tools available depending on the Adult Care Facility type (refer to 2-101: Domains)

1. Client/Resident Records-Incident Reports
 2. Client/Resident Rights-Information
 3. Disaster Preparedness
 4. Emergency Intervention
 5. Food Service
 6. Health-Related Services
 7. Incidental Medical Services
 8. Operational Requirements
 9. Personnel Records-Training
 10. Physical Plant/Environmental Safety
 11. Staffing
-

Pre-Licensing and the Domain Focused Tools

None of the Domain Focused Tools are used as part of a Pre-Licensing inspection, since the Licensing Program Analyst is only providing technical consultation and the Department does not have the authority to issue citations until a facility is licensed.

Completing a domain for which a Domain Focused Tool was triggered?

When a Domain Focused Tool is triggered, it expands the number of items to be checked in that domain to create a more detailed list of requirements.

After a Domain Focused Tool is triggered and the Licensing Program Analyst (LPA) checks those additional requirements, the LPA proceeds to the next domain in the Standard Tool to continue with the inspection.

Continued on next page

2-104: The Domain Focused Tools, Continued

Triggering a Domain Focused Tool

The table below shows the process for triggering and using a Domain Focused Tool while conducting an inspection.

Step	Action
1	The Licensing Program Analyst (LPA) conducts an inspection using the Standard Tool.
2	The LPA finds one Type A deficiency or three Type B deficiencies in one of the domains, triggering an in-depth inspection in that domain. The Domain Focused Tool items will appear in yellow.
3	The Domain Focused Tool for the triggered domain is completed.
4	Once all the domain's Standard Tool requirements and the Domain Focused Tool requirements have been documented, the inspection for that domain is complete and the LPA proceeds to the next domain on the Standard Tool.
5	If another Type A or another three Type B deficiencies is indicated in a different domain, that domain's Domain Focused Tool will be triggered, as discussed in Step 2. Note: If three Type B deficiencies are cited, but they are not in the same domain, then use of a Domain Focused Tool is not triggered. Only three Type B deficiencies in the same domain can trigger the use of that domain's Domain Focused Tool
6	When the Standard Tool and all triggered Domain Focused Tools are complete use of the inspection tools for that inspection is concluded.

Continued on next page

2-104: The Domain Focused Tools, Continued

More than one Type A deficiency in the same domain

If more than one Type A deficiency (or more than 3 Type B deficiencies) is discovered in the same domain it will not trigger additional Domain Focused Tool items, as an in-depth inspection had already been initiated through the use of the domain focused tool triggered by the first Type A deficiency (or the first 3 Type B deficiencies) encountered.

Example: The table below illustrates the principle of only triggering the Food Service Domain Focused Tool once per domain per inspection.

Step	Action
1	While using the Standard Tool to complete a facility inspection, the Licensing Program Analyst (LPA) documents a Type A deficiency in the Food Service domain.
2	The Food Service Domain Focused Tool expands, adding items to the Food Service tab, so that an in-depth inspection of the facility's food service requirements may be conducted.
3	The first Food Service Type A deficiency is cited on the Standard Tool, triggering the Domain Focused Tool. If there is more than one Type A deficiency in that domain, the LPA will cite the second Type A deficiency on the Standard Tool. However, the Domain Focused Tool will remain unchanged in yellow highlight and additional requirements will not be triggered.
4	When the LPA has completed their inspection, they will close the tool and return to the Facility Evaluation Report (LIC 809).
5	To populate the LIC 809 and LIC 809's Deficiencies page(s) (LIC 809D) from the tool, the LPA will complete the inspection. This will transfer the notes and deficiencies from the Inspection Tool to the LIC 809 and LIC 809D page(s).
6	The additional Type A or B deficiencies found in the Food Service domain while completing the Domain Focused Tool items, are also cited on the LIC 809D page(s).
7	Having completed the Food Service Domain Focused Tool, the LPA continues the inspection by moving to the next domain tab. Be aware that there may be additional requirements related to Food Services that are not included in the inspection tool, and the LPA may create a manual citation for those requirements if a deficiency is identified.

Continued on next page

2-104: The Domain Focused Tools, Continued

Example: Domain Focused Tool

Each of the Domain Focused Tools expands the number of items to be checked in its associated domain. The graphic below shows the Domain Focused Tool portion highlighted in yellow.

Requirement			Operational Requirements			In Compliance?			Deficiency Type				Notes	
Type	Section	Section Title	B Regulation/Statute Language			Yes	No	N/A	Type A	Type B	Tech V	Tech A		
CCR	80020(a)	Fire Clearance	(a) All facilities shall secure and maintain a fire clearance approved by the city or county fire department, the district providing fire protection services, or the State Fire Marshal.				D		E					F
CCR	80020(c)	Fire Clearance	(c) A licensee of an Adult Residential Facility or Group Home utilizing secured perimeters shall conduct fire and earthquake drills pursuant to Health and Safety Code section 1531.15(h).											
CCR	80022(a)	Plan of Operation	(a) Each licensee shall have and maintain on file a current, written, definitive plan of operation.											
CCR	80022(b)(8)	Plan of Operation	(8) A sketch of the grounds showing buildings, driveways, fences, storage areas, pools, gardens, recreation areas and other space used by the clients.											
CCR	80022(b)(9)	Plan of Operation	(9) Sample menus and a schedule for one calendar week indicating the time of day that meals and snacks are to be served.											
CCR	80022(d)(2)(A)	Plan of Operation	(A) If the licensee plans to admit or care for one or more clients who have a staph or other serious, communicable infection, the plan must include:											
CCR	80022(d)(2)(A)1	Plan of Operation	1. A statement that all staff will receive training in universal precautions within the first 10 days of employment, and before providing care to these clients.											
CCR	80022(e)	Plan of Operation	(e) If the licensee intends to admit or care for one or more clients who rely upon others to perform all activities of daily living, the plan of operation must also include a statement that:											
Entrance Guidelines Physical Plant & Environmental Operational Requirements Staffing Personnel Records - Training Client Rec. - Incident Reports Client Rights - Info														

Example notes: Domain Focused Tool (1 of 2)

The table below describes items highlighted in the Domain Focused Tool graphic above.

Item	Description
A: statute/regulation number	Health and Safety Code (HSC) or California Code of Regulations (CCR) requirements by section or subsection number.
B: statute/regulation language	Text of the HSC or CCR requirement.
C: Domain Focused Tool additions	If a Domain Focused inspection is triggered, additional Domain Focused Tool items will automatically appear within the Standard Tool in that domain tab, with rows shaded in yellow.

Continued on next page

2-104: The Domain Focused Tools, Continued

**Example
notes: Domain
Focused Tool
(2 of 2)**

The table below describes items highlighted in the Domain Focused Tool graphic above.

Item	Description
D: in compliance?	Checkboxes for • “Yes” • “No,” and • “N/A”
E: deficiency type	Checkboxes for • “Type A” deficiency • “Type B” deficiency • “Tech V” (technical violation), or • “Tech A” (technical assistance).
F: notes	Room for brief notes by the Licensing Program Analyst.
G: domains tabs	The tab of the Domain Focused Tool’s domain appears at the bottom of the screen, displayed adjacent to the main inspection tool’s other domain tabs. It remains active until the domain focused inspection in that domain is complete.

**Using the
Domain
Focused Tools
in FAS**

For more detailed information on the use of the Domain Focused Tools in the Field Automation System (FAS), see the FAS Inspection Tool Manual: RCFE/Adult Combined Statewide.

2-200: Documents and Forms

Overview

Contents

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2-201: Facility Evaluation Report (LIC 809)

Purpose This section describes changes to the “deficiencies” page(s) (LIC 809D) of the Facility Evaluation Report (LIC 809).

What is the Facility Evaluation Report (LIC 809)? The **Facility Evaluation Report (LIC 809)** is the form used by a Licensing Program Analyst to record the narrative of a **non-complaint** licensing inspection. The LIC 809D is the page used in FAS specifically to detail deficiencies, citations and Plans of Correction as part of the LIC 809 report.

What is the LIC 809D? The **LIC 809D** is the page used in FAS specifically to detail deficiencies, citations and Plans of Correction. It is part of the Facility Evaluation Report (LIC 809).

Changes to the LIC 809D page The changes to the LIC 809D page are shown in the table below. Much of the new functionality applies specifically to the electronic FAS version of the form.

With the Old LIC 809D	On the Revised LIC 809D
Room for writing up each deficiency and its Plan of Correction is constrained.	The layout of the LIC 809D in FAS is revised to allow more room horizontally for regulation language, Statement of Deficient Practice, and Plan of Correction.
In FAS, statutory/regulatory language must be entered for each deficiency.	In FAS, statutory/regulatory language will be automatically entered into the LIC 809D when a Type A or Type B deficiency is selected in the inspection tool.
In FAS, Narrative and Statement of Deficient Practice text must be entered manually.	In FAS, text in the Notes column of the inspection tools are automatically transferred to the Detail Supportive Information (LIC 812) form, and deficiencies recorded in the inspection tools are transferred to the LIC 809Ds Deficient Practice Statement sections. These may be edited later if needed.

Continued on next page

2-201: Facility Evaluation Report (LIC 809), Continued

Populating the LIC 809 with the inspection tool data

When the Licensing Program Analyst (LPA) uses the inspection tools, information from the tools is automatically entered into the appropriate areas of the Facility Evaluation Report (LIC 809 and LIC 809D) and the Detail Supportive Information (LIC 812) form, by clicking the “Complete Inspection” button on the LIC 809 form in FAS. The placement of the transferred information is indicated in the table below.

Note: To ensure accuracy in the report, the LPA may edit any narrative or Deficient Practice Statement text that has been transferred to the LIC 809, LIC 809D page, and LIC 812 from the tools.

Inspection Tool Data	Data Is Entered Into
Notes entered into the tool	The narrative box on the LIC 812.
Statutory/Regulatory Reference	The “Section Cited” field on the LIC 809D.
Language of the referenced statute or regulation	The large “Citation” textbox on the LIC 809D.
Principles of documentation template	The Deficient Practice Statement on the LIC 809D.

Inspection data may be public

Important! Licensing Program Analysts (LPA) should be aware that data entered in the inspection tools will be available to the public. This can occur because

- the LIC 809 (which includes the LIC 809D page from the Field Automation System (FAS)) is a public form, and is ultimately filed in the public section of the facility file
 - Type A and Type B violations entered into the inspection tools automatically populate into the deficiencies page (LIC 809D) of the Facility Evaluation Report (LIC 809), and
 - copies of the completed inspection tool(s) may be provided to licensees upon request, at which point the information in the provided tool must be considered public and not contain confidential information.
- Note:** Refer to 2-103: Inspection Tools for details on how to provide a copy of a completed inspection tool to a licensee.

Therefore, LPAs should take care that confidential information not be entered into the publicly-filed inspection documents when conducting an inspection. The notes taken in the tool will auto-populate into the Detail Supportive Information (LIC 812) form. The LPA should then copy any non-confidential notes needed in the LIC 809 or LIC 809D page from the LIC 812.

Continued on next page

2-201: Facility Evaluation Report (LIC 809), Continued

**Example:
Facility
Evaluation
Report:
deficiencies
page
(LIC 809D)**

The graphic below shows the top of the Facility Evaluation Report: deficiencies page (LIC 809D) in FAS.

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY		CALIFORNIA DEPARTMENT OF SOCIAL SERVICES COMMUNITY CARE LICENSING DIVISION CCLD Regional Office, 1700 9TH STREET, FOURTH FLOOR SACRAMENTO, CA 95814	
FACILITY EVALUATION REPORT (Cont)			
FACILITY NAME:		FACILITY NUMBER:	
DEFICIENCY INFORMATION FOR THIS PAGE:		VISIT DATE: 01/23/2020 16	
DEFICIENCIES & PLANS OF CORRECTION (POCs)			
A	Type B	Section Cited	HSC 1503.2
General Provisions			
Every facility licensed or certified pursuant to this chapter shall have one or more carbon monoxide detectors in the facility that meet the standards established in Chapter 8 (commencing with Section 13260) of Part 2 of Division 12. The department shall account for the presence of these detectors during inspections.			
This requirement is not met as evidenced by: B			
Deficient Practice Statement			
1	Based on [(observation) (interview) (record review)], the licensee did not comply with the section cited above in [count]		
2	out of [total count] [(objects) (persons)] [identifiers] which poses/posed a potential health, safety or personal rights risk to		
3	persons in care. C		
4			
POC Due Date:			
Plan of Correction			
1			
2			
3			
4			
Section Cited			

**Example:
revised
LIC 809D**

The table below details items highlighted in the LIC 809D graphic above.

Item	Description
A: citation issued	Deficiency type and statutory/regulatory reference.
B: statute/regulation language	The specific language of the cited statutory/regulatory reference.
C: Deficient Practice Statement	The specific facts/findings which support citation of the deficiency.
D: Plan of Correction	The written Plan of Correction for the associated cited deficiency.

2-202: Advisory Notes (LIC 9102TA and LIC 9102TV)

Purpose This section describes changes to the Advisory Notes (LIC 9102TA and LIC 9102TV) forms.

What are the Advisory Notes forms? **Advisory Notes** (LIC 9102TA and LIC 9102TV) are the forms used by a Licensing Program Analyst to record technical assistance and/or technical violations. The information for these observations is provided to the licensee to make them aware of best practices or minor issues of non-compliance before these issues become citable deficiencies.

Changes to the Advisory Notes forms The changes to the Advisory Notes (LIC 9102TA and LIC 9102TV) are shown in the table below.

With the previous version of the LIC 9102	On the revised LIC 9102TA and 9102TV
The form layout is designed for providing freeform written consultation for licensees.	The layout captures specific information (technical violations or technical assistance) by type, and is specifically used to record any minor issue of non-compliance that is not cited.
The form was filed in the confidential section of the facility file and may contain confidential information.	The form is filed in the public section of the facility file and is considered a public document (although not currently posted to the transparency website). Confidential information must not be included in the form.
In FAS, the LIC 9102 could be accessed and linked to the Facility Evaluation Report (LIC 809) form used to conduct the inspection.	In FAS, the LIC 9102 form can also be generated directly from the inspection tool by selecting 9102TA or 9102TV, as appropriate.
The form must be filled in manually.	In FAS, statutory/regulatory language will be automatically entered into the LIC 9102TA or LIC 9102TV, depending on which has been selected.

Continued on next page

2-202: Advisory Notes (LIC 9102TA and LIC 9102TV), Continued

Advisory Notes

The graphic below shows the top of the Advisory Notes – Technical Assistance (LIC 9102TA) form.

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY		CALIFORNIA DEPARTMENT OF SOCIAL SERVICES COMMUNITY CARE LICENSING DIVISION CCLD Regional Office, 1700 9TH STREET, FOURTH FLOOR SACRAMENTO, CA 95814	
Advisory Notes - Technical Assistance A			
THIS IS NOT A NOTICE OF DEFICIENCY			
Advisory Notes are kept in the public portion of the facility file. Do not enter confidential information.			
TECHNICAL ASSISTANCE: Not tied to a technical violation. Provides assistance and/or best practices to maintain compliance. May be given in connection with a Health and Safety Code (HSC), a regulation (CCR), an interim licensing standard (ILS), or none of these (N/A). Only one item of technical assistance may be recorded on each form. This form is not used to provide information related to a technical violation. To record a technical violation, use form LIC 9102TV.			
FACILITY NAME: B		FACILITY #	DATE: 01/28/2020
Select One: ☐ HSC ☒ CCR ☐ ILS ☐ NA C		HSC / CCR / ILS # (if applicable) or N/A: D 80021(a)(2)	
(2) Subsequent to initial licensure, the licensee shall provide evidence of a bacteriological analysis of the private water supply as frequently as is necessary to ensure the safety of the clients, but no less frequently than specified in the following table: For a licensed capacity of 6 or fewer analysis is required at initial licensing and subsequent analysis is not required unless evidence supports the need for such analysis to protect clients. For a licensed capacity of 7 through 15 analysis is required at initial licensing and subsequent analysis is required annually. For a licensed capacity of 16 through 24 analysis is required at initial licensing and subsequent analysis is required semiannually. For a licensed capacity of 25 or more analysis is required at initial licensing and subsequent analysis is required quarterly. E			

Example notes: Advisory Notes (1 of 2)

The table below details items highlighted in the revised Advisory Notes graphic above.

Item	Description
A: form types	The form is identified by the type of Advisory Note being provided (either Technical Assistance or Technical Violation) followed by a definition of that type.
B: facility information	Identifying information of the facility being inspected, including - the name of the facility - the facility number, and - the date of the inspection.

Continued on next page

2-202: Advisory Notes (LIC 9102TA and LIC 9102TV), Continued

**Example
notes:
Advisory
Notes (2 of 2)**

The table below details items highlighted in the Advisory Notes graphic, above.

Item	Description
C: authority source	“CCR” is selected for Title 22 regulations, “HSC” for the Health and Safety Code (the “ILS” entry is for future use).
D: section cited	The section/subsection number of the cited authority.
E: section text	The language of the statute or regulation associated with the form entry; like other items in the form, this is automatically supplied upon transfer from the inspection tool.

**Technical
violations and
technical
assistance**

For more information on identifying and documenting technical violations and technical assistance, see the Evaluator Manual, Reference Material for Documentation.

2-203: Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A)

Purpose This section describes the Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A) form.

What is the LIC 9120A? The ***Licensed Facility Inspection Checklist Adult Care Facilities*** (LIC 9120A) is used by the Licensing Program Analyst (LPA) to ensure that the Regional Office facility file is up to date and outstanding components of a facility inspection have been completed.

Changes to the LIC 9120A form Changes to the Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A) are shown in the table below.

With the Previous LIC 9120	On the Revised LIC 9120A
Using the form is optional.	Using the form is required.
There was no space to include facility name and other information about the facility.	There is space to include facility name, license number, and other facility specific information.
There was only space to indicate license anniversary date.	There is space to include additional inspection information, such as the Licensing Program Analyst name, file review date, and license anniversary date.
Tracking of items is by date received to the licensing agency.	Items can be tracked by confirming information is included in the facility file, whether the item needs to be reviewed at the facility, and, if applicable, the date when the item was received at the Regional Office or during the inspection.
There is no space for notation beside each item on the list.	There is space for brief notations beside each item on the list.

License Anniversary Date on the LIC 9120A The ***License Anniversary Date*** for a facility is the date the facility is originally licensed, which will be recorded in the facility file. On the Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A), the numerical date will be entered near the top of the form next to "Licensing Anniversary Date".

Continued on next page

2-203: Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A), Continued

Example: The graphic below shows part of the revised Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A).
LIC 9120A

State of California – Health and Human Services Agency	California Department of Social Services												
LICENSED FACILITY INSPECTION CHECKLIST ADULT CARE FACILITIES													
Review Regional Office (RO) facility file prior to inspection. During the inspection of the facility, check to see that the below documents are updated (if required) and contained in the licensee's facility file. • The RO column is to indicate which items were checked at the RO as part of the review. • The FAC column is to indicate those items which require follow-up at the facility. • The Notes column is to use as needed to document any other pertinent information, which could include relevant document dates (i.e. date item was submitted to Department, date of most recent update to document, etc.). This form is for internal use but is still subject to the Public Records Act. A													
<table style="width: 100%;"> <tr> <td style="width: 50%;">Facility Name: _____</td> <td style="width: 50%;">License Number: _____</td> </tr> <tr> <td>Phone Number: _____</td> <td>E-Mail: _____</td> </tr> <tr> <td>License Anniversary Date: _____</td> <td>Capacity: _____ B</td> </tr> <tr> <td>LPA Name: _____</td> <td>File Review Date: _____</td> </tr> </table>		Facility Name: _____	License Number: _____	Phone Number: _____	E-Mail: _____	License Anniversary Date: _____	Capacity: _____ B	LPA Name: _____	File Review Date: _____				
Facility Name: _____	License Number: _____												
Phone Number: _____	E-Mail: _____												
License Anniversary Date: _____	Capacity: _____ B												
LPA Name: _____	File Review Date: _____												
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;"></th> <th style="width: 10%;">RO</th> <th style="width: 10%;">FAC</th> <th style="width: 40%;">Notes</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;"> Administrative Organization (LIC 309)* C </td> <td style="text-align: center; vertical-align: middle;">D</td> <td style="text-align: center; vertical-align: middle;">E</td> <td style="text-align: center; vertical-align: middle;">F</td> </tr> <tr> <td style="padding: 5px;"> Admission Policies and Procedures/ Admission Agreement Note: Documents should be verified during inspection to confirm they are the same as approved by CDSS. </td> <td></td> <td></td> <td></td> </tr> </tbody> </table>			RO	FAC	Notes	Administrative Organization (LIC 309)* C	D	E	F	Admission Policies and Procedures/ Admission Agreement Note: Documents should be verified during inspection to confirm they are the same as approved by CDSS.			
	RO	FAC	Notes										
Administrative Organization (LIC 309)* C	D	E	F										
Admission Policies and Procedures/ Admission Agreement Note: Documents should be verified during inspection to confirm they are the same as approved by CDSS.													

Continued on next page

2-203: Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A), Continued

**Example
notes:
LIC 9120A**

The table below details items highlighted in the revised Licensed Facility Inspection Checklist Adult Care Facilities (LIC 9120A) graphic.

Item	Description
A: Facility Inspection Checklist directions	Prior to an inspection, review the facility file for all information specified on the Facility Inspection Checklist as specified in the directions.
B: Facility/inspection information	Data fields in which the following are entered • facility name • license number • facility phone number • facility email • license anniversary date • facility capacity • Licensing Program Analyst (LPA) name • file review date
C: Checklist items	This column lists all the items that must be reviewed at the Regional Office prior to the inspection.
D: RO	Indicate that the item has been reviewed at the Regional Office.
E: FAC	If a listed item requires follow up while the Licensing Program Analyst (LPA) is conducting the inspection at the facility, this box should be marked as a reminder. The heading of this column is an abbreviation of the word " FAC ility".
F: Notes	LPAs may make a brief note beside a checklist item, either before or during the facility inspection and relevant document dates if applicable.

2-204: Entrance Checklist Adult Care Facilities (LIC 9241)

Purpose

This section describes the Entrance Checklist Adult Care Facilities (LIC 9241).

What is the Entrance Checklist Adult Care Facilities (LIC 9241)?

The Entrance Checklist Adult Care Facilities (LIC 9241) is a form used by the Licensing Program Analyst (LPA) to collect, track and review items needed during an inspection.

At the start of an on-site inspection, the LPA provides a hard copy to the licensee or their designee. The LIC 9241 helps to facilitate the inspection by specifying the documents the LPA will require from the facility during the on-site inspection.

Example: LIC 9241

The graphic below shows the top of the Entrance Checklist Adult Care Facilities (LIC 9241).

State of California – Health and Human Services Agency		California Department of Social Services	
ENTRANCE CHECKLIST ADULT CARE FACILITIES			
Upon entrance to the facility, the Licensing Program Analyst (LPA) provides this checklist to the licensee or their designee to help facilitate the inspection. <u>This checklist does not need to be retained in the facility file at the conclusion of the inspection.</u>			
Note: Asterisk (*) indicates other verifying documents may be substituted for form.			
Facility Name: _____		License Number: _____	
Inspection Date: _____		Inspection Time: _____	
Facility Phone Number: _____		Facility E-mail (optional): _____	
LPA Name: _____		Administrator/Designee: _____ A	
ITEMS & INFORMATION REQUESTED FROM THE FACILITY			
B	C	A. INFORMATION REQUESTED FROM THE FACILITY UPON ENTRANCE	
☐	1.	Copy of Applicable Waivers (e.g., hospice, etc.)	
☐	2.	Copy of Floor Plan	
☐	3.	Register of Clients o Current Census o Non-Ambulatory/Bedridden Persons in Care? ☐ Yes / ☐ No (check one) o If "Yes", how many? _____ o Persons in Care on Hospice? ☐ Yes / ☐ No (check one) o If "Yes", how many? _____ D	
☐	4.	Personnel Report (LIC 500)*	
☐	5.	Emergency Disaster Plan	
☐	6.	Emergency Intervention Training Certification for All Staff (if applicable)	
B. INFORMATION REQUESTED FROM THE FACILITY DURING PHYSICAL PLANT INSPECTION			
☐	7.	License	
☐	8.	Licensing Reports (last 12 months)	
☐	9.	Posting of Personal Rights (if applicable)	
☐	10.	Activity Schedule (ADP ¹ only) or Planned Activity Poster (ARF ² , CCH ³ , EBSH ⁴ , SRF ⁵ , only)	
☐	11.	Dietitian Consultation (if applicable)	

Continued on next page

2-204: Entrance Checklist Adult Care Facilities (LIC 9241), Continued

**Example
notes:
LIC 9241**

The table below details items highlighted in the Entrance Checklist Adult Care Facilities (LIC 9241) graphic shown above.

Item	Description
A: basic information	Data fields in which the following are entered • facility name • license number • inspection date • inspection time • facility phone number • facility email address • Licensing Program Analyst (LPA) name, and • name of administrator or designee
B: checkbox	The box beside each item on the list is checked by the LPA as the item is completed.
C: ordinal count	A sequential numbering of all items on the checklist, to make referencing of individual items easier and less prone to mistakes.
D: items for inspection	Documents that must be reviewed during the on-site facility inspection.

Continued on next page

2-204: Entrance Checklist Adult Care Facilities (LIC 9241), Continued

Using the checklist

The Entrance Checklist Adult Care Facilities (LIC 9241) provides a list of items that may need to be reviewed by the Licensing Program Analyst (LPA) during the course of an inspection. The table below outlines the checklist use during an inspection.

Step	Action
1	The LPA provides a hard copy of the LIC 9241 to the licensee or their designee to specify the documents the LPA needs to review during the inspection. The LPA may utilize another copy throughout the inspection process to track documents received by the licensee or their designee.
2	The LPA does not need to collect the licensee's copy of the LIC 9241. The LPA does not need to file the LIC 9241 in the facility file.

Chapter 3

Interview Questions

Overview

Contents

This chapter contains ready-to-use interview questions to aid the Licensing Program Analyst in conducting inspections.

Topic	See Page
3-100: Interview Questions	63

3-100: Interview Questions

Overview

Contents

This section provides scripted assistance to the Licensing Program Analyst, including questions and assessment methods for client/resident and staff interviews.

Topic	See Page
3-101: Client/Resident Interview Questions	64
3-102: Staff Interview Questions	68

3-101: Client/Resident Interview Questions

Purpose

This section provides questions and a response rating method for client/resident interviews.

Number of interviews

Licensing Program Analysts (LPAs) interview half of the clients/residents whose records were reviewed as part of the resident record review portion of the inspection if they are present in the facility at the time of the on-site inspection.

Whenever possible, the resident council president must be included as one of the resident interviews.

Using the client/resident interview questions

When conducting a client/resident interview, the Licensing Program Analyst (LPA) tracks the interviewee's responses using a scoring system based upon a 5-point Likert scale.

Each of the five questions in this section is designed to elicit a response regarding the client/resident's sense of satisfaction. For each question, the LPA asks the client/resident to help choose one of the five ratings, from "always" to "never". When appropriate, the LPA may use the "faces" response scale card.

Note: The process outlined below instructs that an LPA use the 5-point Likert scale/"faces" to track interviewee responses. An LPA can use other methods to obtain responses, if necessary, based on various circumstances that may arise during the interview.

Response scores

The response to each question is scored using the scheme in the table below. For a response score of 1, 2 or 3 on any question, the Licensing Program Analyst should ask additional questions to determine the circumstances contributing to the resident's response.

Response	Response Score
Always / Very Smiley	5
Almost always / Smiley	4
Sometimes / Neutral	3
Almost never / Frowny	2
Never / Very Frowny	1

Continued on next page

3-101: Client/Resident Interview Questions, Continued

Non-responsive interviewees

If an interviewee is non-responsive or if it is difficult to obtain a response from a client/resident, the Licensing Program Analyst (LPA) may indicate that an interview was attempted but unsuccessful on the Interview Form. The LPA may use the drop-down menu at the top of the form to select the appropriate reason the interviewee was unable to participate.

Follow-up questions

The questions in this section are used to initiate a discussion with the client/resident. The Licensing Program Analyst (LPA) should ask additional questions to validate findings. The LPA may rephrase the questions for clarity if necessary.

Question 1

This question relates to the Food Service domain.

1. Are you happy with the food served here?

- ☐ Always
 - ☐ Almost always
 - ☐ Sometimes
 - ☐ Almost never
 - ☐ Never
-

Question 2

This question relates to the Operational Requirements domain.

2. Are there activities here you like to participate in?

- ☐ Always
 - ☐ Almost always
 - ☐ Sometimes
 - ☐ Almost never
 - ☐ Never
-

Continued on next page

3-101: Client/Resident Interview Questions, Continued

Question 3

This question relates to the Incidental Medical Services domain.

3. If you need medical assistance, do you get it? (For example, are you offered help with your medication, or help getting to a doctor?)

- ☐ Always
 - ☐ Almost always
 - ☐ Sometimes
 - ☐ Almost never
 - ☐ Never
-

Question 4

This question relates to the Staffing domain.

4. Do you get other kinds of help when you need it? (Other than help with medical needs)

- ☐ Always
 - ☐ Almost always
 - ☐ Sometimes
 - ☐ Almost never
 - ☐ Never
-

Question 5

This question relates to the Client/Resident Rights-Information domain

5. Do you feel you are treated well here?

- ☐ Always
 - ☐ Almost always
 - ☐ Sometimes
 - ☐ Almost never
 - ☐ Never
-

Continued on next page

3-101: Resident Interview Questions, Continued

**Alternative
response
scale**

If a client/resident has trouble answering the interview questions, it may be appropriate to use the “faces” response scale card.

The “faces” response scale shown below assists the interview process by providing the resident with the five possible Likert scale responses that may be given for each of the main interview questions.

Question	Response
1: How do you feel when you think about the food here?	    
2: How do you feel when you think about the activities here?	    
3: When you need medical assistance, how do you feel about the help you get?	    
4: When you need other kinds of help, how do you feel about the help you get?	    
5: How do you feel about the way people here treat you?	    

3-102: Staff Interview Questions

Purpose	This section provides interview questions and response prompts for staff interviews.
Preparing for staff interview	Before interviewing staff, the Licensing Program Analyst (LPA) must always first become familiar with the facility's plan of operation. LPAs must keep in mind that issues revealed during interviews may not necessarily lead to a citation but may result in more detailed questioning in the area of concern.
Number of interviews	Licensing Program Analysts interview half of the staff whose records were reviewed as part of the staff record review portion of the inspection if they are present in the facility at the time of the on-site inspection.
Using the staff interview questions	When conducting a staff interview, the Licensing Program Analyst (LPA) evaluates the staff's responses and determines if the provided answers demonstrate competency in the requirements, based upon the associated criteria for each question, as shown below: • If the staff member demonstrates competency, the LPA marks "Yes". • If the staff member cannot demonstrate competency, the LPA marks "No", and briefly explains why the staff member's competency is deemed inadequate. • The "N/A" response option is reserved for a question that goes unasked, such as when the LPA judges the question inapplicable in a particular staff interview. Note: If the LPA marks "No" to any question, the LPA should ask the staff member for more information about the specific question, such as • the interviewee's training • related available resources, or • who provides the interviewee with information or direction.
Questions in this section	The six questions in this section are arranged in sequential order. Each question is shown with its possible response options and, sometimes, with supporting material.

Continued on next page

3-102: Staff Interview Questions, Continued

Question 1

This question is in the Staffing domain.

1. How do you meet the basic services the client/resident needs?

Were staff able to adequately respond?

☐ Yes

☐ No If "No", please explain:

Question 2

This question is in the Staffing domain.

2. How do you find information for a new client/resident, and how do you use that information to provide care to the client/resident?

(Some responses to consider: the staff is knowledgeable in the care of the client/resident, the staff refers to and knows how to read the client/resident's plan of care information, the staff ask a more experienced staff member, etc.)

Were staff able to describe?

☐ Yes

☐ No If "No", please explain:

Question 3

This question is in the Health-Related Services domain.

3. How do you find out about changes in your clients/residents? For example, if a client/resident went to the hospital or has changes in care needs?

Were staff able to describe?

☐ Yes

☐ No If "No", please explain:

Continued on next page

3-102: Staff Interview Questions, Continued

Question 4

This question is in the Health-Related Services domain.

4. Can you explain how you would help a client/resident get medication?

(Some responses to consider: the staff is knowledgeable in the facility process, the staff refers to and knows how to use the facility's policy on medication assistance, the staff member doesn't assist with medications, etc.)

Were staff able to describe?

☐ Yes

☐ No If "No", please explain:

Question 5

This question is in the Personnel Records-Training domain.

5. Describe some of the personal rights of clients/residents.

Were the staff able to describe?

☐ Yes

☐ No If "No", please explain:

Question 6

This question is in the Personnel Records-Training domain.

6. What are some types of abuse you might see? What would you do if you observed any type of abuse?

(Some responses to consider: protect the client/resident, report the abuse to the administrator immediately, follow the facility abuse reporting process, knowledge of the SOC 341, report the suspected abuse to the ombudsman, licensing agency and law enforcement, etc.)

Were the staff able to describe?

☐ Yes

☐ No If "No", please explain:

Chapter 4

Additional Resources

Overview

For more information...

For more information or guidance, please refer to the

- FAS Manual
- FAS Inspection Tool Manual: RCFE/Adult Combined Statewide, or
- Inspection Process Project training materials in SharePoint.

FAS help

If you have a question about FAS, contact FASSpecialists@dss.ca.gov.

New Inspection Process help

If you have any questions about the inspection process, forms, or tools, contact ASCPTraining@dss.ca.gov.
