







Audit of Initiative 1163: Long-Term Care Worker Certification Requirements

Joint Legislative Audit and Review Committee
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Today's presentation

-  Opening remarks
-  Overview/What we did
-  The Results
-  The Recommendations



An Overview of Initiative 1163


- Voters passed Initiative 1163 in November 2011 to ensure long-term care workers serving vulnerable populations are qualified and competent.
- The initiative requires workers to complete background checks, training, and tests. It gives the Departments of Health and Social and Health Services four years to implement all the new requirements.
- The first requirements apply to workers hired beginning January 7, 2012.
- The initiative required us to conduct a performance audit of the program by January 2013 and every two years thereafter.




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Audit Objective

Our audit was designed to answer **two specific questions**:

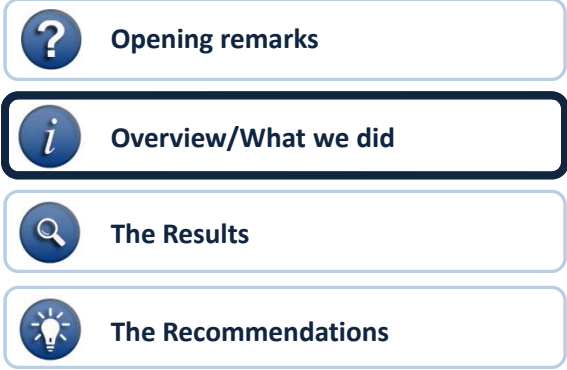
-  Have DOH and DSHS implemented processes to meet initiative 1163's requirements?




Yes. The agencies expanded background checks and developed the required training, skills test, and exam.
-  Did long-term care workers, hired beginning January 7, 2012, meet certification requirements on time?


Most did not. 71% of the long-term care workers we reviewed did not complete the requirements.



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Audit Scope

The Audit focused on all long-term care workers who applied for certification between January 7 through April 30, 2012.

Workers applying during this time period were required to:

Background Checks	Training	Certification Exam & Skills
Pass a State Background, FBI fingerprint, and National Sex Registry check within 120 days of being hired.	Complete 75 hours of training within 120 days of being hired.	Pass a certification exam and skills test within 150 days of being hired.



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Applicant Information

We reviewed a total of 406 workers who applied between January 7 and April 30, 2013.

This population included:

275
Individual
Providers

131
Employees of
facilities &
Agencies



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Objective One: Process Implementation

The Departments of Health and Social & Health Services **have** implemented processes to meet the initiative requirements:

Background Checks	Training	Certification Exam & Skills
DSHS has expanded routine background checks and shares results with DOH.	DSHS has developed training curriculum that can only be provided by qualified instructors.	DOH has established a certification exam and skills test for applicants. Results are shared with DSHS.

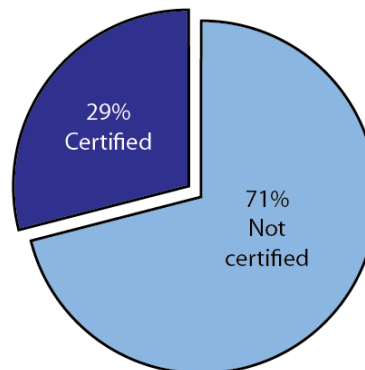


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Objective Two: Certification Requirements

Of the 406 workers that we reviewed:

- 288 were not certified
- 118 were certified



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What We Found:

Applicants did not complete certification requirements for the following reasons:

Reason Not Certified	Number of Applicants	%
Training not completed or exams/test not taken	120	42%
Did not provide sufficient information to complete background check	73	25%
Failed certification exam or skills test	65	23%
Voluntarily withdrew application	6	2%
Other Misc. reasons	24	8%
Total	288	100%



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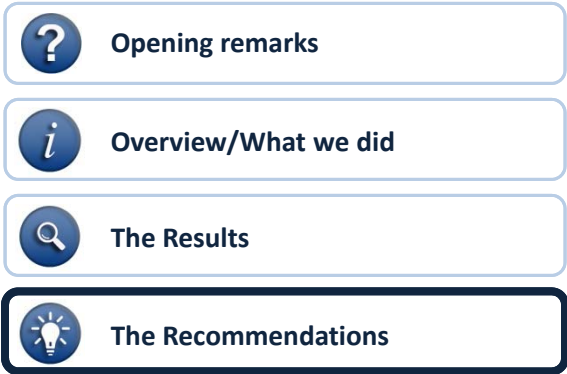
What We Found:

Of the **288** applicants that did not complete certification process:

- **209** identified themselves as individual providers.
- **79** applicants claimed to be employed by an care facility or agency.



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Recommendations for DSHS

- 1. Review list of 288 providers that did not meet certification requirements and verify these workers have either:**
 - a. Have since been Certified; or
 - b. Are no longer serving clients
- 2. Review list of certified individuals that missed a deadline and verify:**

Processes are sufficient to restrict these workers from serving clients until they have met all requirements.
- 3. Review methods used to monitor home care agencies and facilities and make sure:**

These methods are adequate to ensure all workers employed by these agencies and facilities are certified.



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Recommendations for DOH

We recommend the Agency request hire dates and employer verification forms from employers.

This will help ensure the certification deadlines are accurate.



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