



Monitoring/ Inspection of Adult Care Homes Protocols 2009



OBJECTIVES

At the end of this session

the participant will be able to:

- **Identify the purpose of inspection/monitoring**
- **Identify the types of inspection/monitoring**
- **Utilize general inspection/monitoring protocols**
- **Utilize a six-step inspection/monitoring process**

Purpose Of All Inspection/Monitoring Is To:

- * Evaluate/Determine/Promote Rule Compliance with an Overall Intent to Protect the Health, Safety, and Welfare of North Carolina Adult Care Home Residents**

Monitoring Triggers:

- * **Routine (planned) monitoring at least quarterly**
- * **Complaint Investigations**
- * **Follow-Ups**

General Inspection/Monitoring Protocols

▲ Attitudes (Personal Skills)



- * Professional/Courteous/
Congenial
- * Open/Direct/Concise
- * Objective/Constructive/Helpful

General Inspection/Monitoring Protocols

▲ Visits:

- * Routinely Unannounced
- * Routinely during established business hours
- * Always have a specific purpose and a detailed plan



General Inspection/Monitoring Protocols

▲ Resident Interactions:

- * **Respect Rights/Confidentiality**
 - * **Knock before entering room**
 - * **Seek consent to speak to or examine resident or belongings**
 - * **Request staff presence with physical interventions**
 - * **Ensure private discussions are not overheard**

General Inspection/Monitoring Protocols :

▲ Staff Interactions:

- * **Respect Needs/Confidentiality**
 - * **Initiate Contact & Identify Purpose**
 - * **Be Considerate of Need to Serve Facility & Residents**
 - * **Ensure private discussions are not overheard**

General Inspection/Monitoring Protocols

▲ Staff Interactions:

- * Respect Needs/Confidentiality
 - * Seek Understanding
 - * Share/Clarify/ Validate Findings
 - * Intervene Only to Prevent Serious Errors or Provide Technical Assist.
 - * Acknowledge Good Work & Problem Solving Efforts

Monitoring Process

▲ Step 1. Plan and Prepare

Monitoring Trigger	Plan Based On:
Routine (planned)	Annual Assessment Findings
Complaint Investigation	Potential Rule/Rights Non-Compliance
Follow Up	Previous Rule/Rights Non-Compliance

Monitoring Process



▲ Step 2. Conduct Entrance Conference:

- * With Administrator or Designee
- * Communicate purpose of visit (General Rule Area)
 - * Information/Assistance Required
 - * Notice of Exit Conference & Time if Known
 - * Staff Involvement/Assistance Required

Monitoring Process

- ▲ **Step 3. Collect and Evaluate Specific Data:**
 - * **Conduct Survey Tour, select appropriate sample/size**
 - * **Take the Lead, stay focused**
 - * **Keep designated person informed and request any information unable to find**
 - * **Be Courteous**

Monitoring Process

▲ Step 4. Pre-Exit Conference Planning:

- * **Make Notes of What to Tell Administrator or designee (Fundamental Focus Forms)**
- * **Complete/Start Reports**
 - * **Monitoring Report (MR)**
 - * **Corrective Action Report? (CAR)**
 - * **Directed Plan of Correction?**
 - * **Intend to Write a Penalty Proposal?**

Monitoring Process



- ▲ Step 5. Conduct An Exit Conference:
 - ▲ No surprises.....
 - * Present Findings Before Leaving or
 - * +/- Findings Explained & Clarified
 - * Show Findings Are Rule Based
 - * And Supported By Evidence

Monitoring Process

▲ Step 6. Complete Follow-Up:

- * Provide Monitoring Report
- * Provide Additional Reports Within Specified Time Frames
- * It is Called a Process Because The Steps are Repeated on each Follow-Up

