

Washington State Nursing Care Quality Assurance Commission

**Sanction Standards for RN and LPN
Violations Involving Documentation Errors**

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	Cost Recovery or Fine	Conditions	Time For Completion
I. Documentation Errors – 1 – 2 Times Only Within Short Time Period, i.e., Over 1-2 Shifts	Risk of Recurrence See appendix for list of aggravating and mitigating factors	(A) No or Minimal Patient Harm or Low Risk of Harm	Close case NOC SOA	N/A N/A 0-3 yrs	N/A N/A Cost Recovery \$1000 per violation	N/A	N/A
II. Pre-Charting Procedures Or Medications	Risk of Recurrence See appendix for more aggravating and mitigating factors.	(A) No or Minimal Patient Harm or Low Risk of Harm	SOA/STID	0-3 yrs Until successful completion of coursework	Cost Recovery \$1000 per violation	1. 6 Contact hour course in Documentation 2. Obtain passing score 3. Submit course evaluation for approval	1. 90 days 2. 90 days 3.120 days
III. Falsification of Records Deliberate changing or falsification of documentation to cover up error One or more of the following: <ul style="list-style-type: none"> Documenting care not provided Charting incorrect patient condition Changing charting to cover up practitioner error or omission 	Risk of Recurrence <u>Likely Cause(s) of Error:</u> <ul style="list-style-type: none"> Lack of fiduciary concern Error in performance of procedure or intervention Poor judgment See appendix for more aggravating and mitigating factors.	(A) No or Minimal Patient Harm or Low Risk of Harm (B) Patient Harm or Risk of Severe Patient Harm (C) Severe Harm or Death	SOA/SOC SOA/SOC SOC	0-3 yrs 2-5 yrs 3 yr Minimum	 Fine/Cost Recovery \$1000 per violation 	1. 24 Contact hour Documentation course 2. Obtain passing score 3. Submit course evaluation for approval 4. 12 Contact hour Nursing Ethics course 5. Obtain passing score 6. Submit evaluation for approval 7. Notification to current & future employers 8. Employer reports- quarterly 9. Direct RN supervision 10. No employment with an agency, home health, hospice, community care settings 11. Request modification	1. 120 days 2. 120 days 3. 150 days 4. 90 days 5. 90 days 6. 120 days 7. Duration 8. Duration 9. Unless modified 10. Unless modified 11. 12-24 months

IV – VI Relate to Documentation of Patient Assessment & Observations

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	Cost Recovery or Fine	Conditions	Time For Completion
<p>IV. Developing Pattern Of Documentation Errors and/or Omissions</p> <p><i>Related to Patient Assessment & Observations</i></p> <p>2 to 4 of the following type(s):</p> <ul style="list-style-type: none"> • Missing assessment • Inappropriate or inaccurate assessment • Lack of attentiveness to changing condition • Failure to recognize signs & symptoms 	<p>Risk of Recurrence</p> <p><u>Likely Cause(s) of Error:</u></p> <ul style="list-style-type: none"> • Inappropriate clinical judgment • Lack of time management skill & organizational ability <p><i>Consider individual practice responsibility and system influence and nurse's demonstration of experiential learning</i></p> <p>See appendix for more aggravating and mitigating factors</p>	<p>(A) No or Minimal Patient Harm or Low Risk of Harm</p> <p>(B) Patient Harm or Risk of Severe Patient Harm</p> <p>(C) Severe Harm or Death</p>	<p>SOA/SOC</p> <p>SOA/SOC</p> <p>SOC</p>	<p>0-3 yrs</p> <p>2-5 yrs</p> <p>3 yr Minimum</p>	<p>Cost Recovery \$1000 per violation</p>	<p>1. 24 Contact hour course in Patient Assessment including appropriate language on documentation</p> <p>2. Obtain passing score</p> <p>3. Submit course evaluation for approval</p>	<p>1. 120 days</p> <p>2. 120 days</p> <p>3. 150 days</p>

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	Cost Recovery or Fine	Conditions	Time For Completion
<p>V. Established Pattern Of Documentation Errors and/or Omissions of Essential Patient Information</p> <p>Related To Patient Assessment & Observations</p> <p>Errors/Omissions of the Following type(s):</p> <ul style="list-style-type: none"> • Missing assessment • Inappropriate or inaccurate assessment • Lack of attentiveness to changing condition • Failure to recognize signs & symptoms • Failure to document patient deterioration, pain, agitation or other signs of complications or reaction to illness or therapies 	<p><u>Likely Cause(s) of Error:</u></p> <ul style="list-style-type: none"> • Practitioner lacked adequate knowledge or competence • Lack of time management skill & organizational ability • Inappropriate clinical judgment • Disregard for patient safety & well being <p><i>Consider individual practice responsibility and system influence and nurse's demonstration of experiential learning</i></p> <p><i>See appendix for more aggravating and mitigating factors</i></p>	<p>(A) No or Minimal Patient Harm or Low Risk of Harm</p> <p>(B) Patient Harm or Risk of Severe Patient Harm</p> <p>(C) Severe Harm or Death</p>	<p>SOA/SOC</p> <p>SOA/SOC</p> <p>SOC</p>	<p>0-3 yrs</p> <p>2-5 yrs</p> <p>3 yr Minimum</p>	<p>Fine/Cost Recovery \$1000 per violation</p>	<ol style="list-style-type: none"> 1. 24 Contact hour course in Patient Assessment including documentation 2. Obtain passing score 3. Submit course evaluation for approval 4. Worksite monitor to provide 40 hours of oversight of assessment & documentation 5. Notice to current & future employers 6. Employer reports quarterly 7. Request modification 	<ol style="list-style-type: none"> 1. 120 days 2. 120 days 3. 150 days 4. 160 days 5. Duration 6. Duration 7. 12 – 18 months

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	Cost Recovery or Fine	Conditions	Time For Completion
<p>VI. Significant Error(s) In Documentation of Essential Patient Information</p> <p><i>Related To Patient Assessment & Observations With</i></p> <p>One or more of the following type(s):</p> <ul style="list-style-type: none"> • Missing or inaccurate assessment • Lack of attentiveness • Failure to recognize signs & symptoms • Failure to document patient deterioration, pain, agitation or other signs of complications or reaction to illness or therapies 	<p>Risk of Recurrence</p> <p><u>Likely Cause(s) of Error(s):</u></p> <ul style="list-style-type: none"> • Practitioner lacked adequate knowledge or competence • Inappropriate clinical judgment • Disregard for patient safety & well being • Lack of attentiveness or surveillance <p><i>Consider individual practice responsibility and system influence and nurse's demonstration of experiential learning</i></p> <p><i>See appendix for more aggravating and mitigating factors</i></p>	<p>(A) No or Minimal Patient Harm or Low Risk of Harm</p> <p>(B) Patient Harm or Risk of Severe Patient Harm</p> <p>(C) Severe Patient Harm or Death</p>	<p>SOA/SOC</p> <p>SOA/SOC</p> <p>SOC</p>	<p>0-3 yrs</p> <p>2-5 yrs</p> <p>3 yr Minimum</p>	<p></p> <p></p> <p>Fine \$1000 per violation</p>	<p>1..24 Contact hour course in Patient Assessment including documentation</p> <p>2. Obtain passing score</p> <p>3. Submit course evaluation for approval</p> <p>4. Notice to current & future employers</p> <p>5. Employer reports quarterly</p> <p>6. Indirect supervision</p> <p>7. Worksite monitor to provide 40 hours of oversight of assessment & documentation</p> <p>8. No employment with agency, home health, hospice community based care settings</p> <p>9. Request modification</p>	<p>1. 120 days</p> <p>2. 120 days</p> <p>3. 150 days</p> <p>4. Duration</p> <p>5. Duration</p> <p>6. Duration</p> <p>7. 160 days</p> <p>8. Unless modified</p> <p>9. 18 to 24 months</p>

VII & VIII Relate to Documentation of Medication Administration, Procedures and Treatments

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	Cost Recovery or Fine	Conditions	Time For Completion
<p>VII. Developing Pattern Of Errors and/or Omissions In Documentation</p> <p><i>Related To Medication Administration, Procedures & Treatments</i></p> <p>2-4 of the following type(s):</p> <ul style="list-style-type: none"> • Missed medications and/or treatments • Misrepresentation of patient's condition • Failure to document care that has been provided 	<p>Risk of Recurrence</p> <p><u>Likely cause(s) of Error:</u></p> <ul style="list-style-type: none"> • Failure to follow agency policy • Lack of adequate knowledge or competence • Disregard for patient safety & well being <p><i>Consider individual practice responsibility and system influence and nurse's demonstration of experiential learning</i></p> <p><i>See appendix for more aggravating and mitigating factors</i></p>	<p>(A) No or Minimal Patient Harm or Low Risk of Harm</p> <p>(B) Patient Harm or Risk of Severe Patient Harm</p> <p>(C) Severe Harm or Death</p>	<p>SOA/SOC</p> <p>SOA/SOC</p> <p>SOC</p>	<p>0-3 yr</p> <p>2-5 yrs</p> <p>3 yr Minimum</p>	<p></p> <p>Cost Recovery \$1000 per violation</p>	<p>1. 24 hr Documentation class</p> <p>2. Obtain passing score</p> <p>3. Submit course evaluation for approval</p>	<p>1. 120 days</p> <p>2. 120 days</p> <p>3. 150 days</p>

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	Cost Recovery or Fine	Conditions	Time For Completion
<p>VIII. Established Pattern of Errors and/or Omissions In Documentation</p> <p>Related To Medication Administration, Procedures & Treatment</p> <p>5 or more of the following type(s):</p> <ul style="list-style-type: none"> • Missed medications and/or treatments • Misrepresentation of patient's condition • Failure to document care that has been provided 	<p>Risk of Recurrence</p> <p><u>Likely cause(s) of Error:</u></p> <ul style="list-style-type: none"> • Failure to follow agency policy • Lack of adequate knowledge or competence • Disregard for patient safety & well being • Poor judgment <p><i>Consider individual practice responsibility and system influence and nurse's demonstration of experiential learning</i></p> <p><i>See appendix for more aggravating and mitigating factors</i></p>	<p>(A) No or Minimal Patient Harm or Low Risk of Harm</p> <p>(B) Patient Harm or Risk of Severe Patient Harm</p> <p>(C) Severe Patient Harm or Death</p>	<p>SOA/SOC</p> <p>SOA/SOC</p> <p>SOC</p>	<p>0-3 yrs</p> <p>2-5 yrs</p> <p>3 yr Minimum</p>	<p></p> <p>Fine/Cost Recovery \$1000 per violation</p> <p></p>	<ol style="list-style-type: none"> 1. 24 hr. Documentation class 2. Obtain passing score 3. Submit course evaluation for approval 4. Notice to current & future employers 5. Employer reports quarterly 6. Indirect supervision 7. Worksite monitor to provide 40 hours of oversight of documentation 8. Request modification 	<ol style="list-style-type: none"> 1. 120 days 2. 120 days 3. 150 days 4. Duration 5. Duration 6. Duration 7. 180 days 8. 12-24 months

**Sanction Standards for RN and LPN
Violations Involving Failure to Assess and/or Intervene on the Patient's Behalf**

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	Cost Recovery or Fine	Conditions	Time For Completion
<p>I. Failure To Assess and/or Intervene On The Patient's Behalf</p> <p><i>Error(s) of the following type:</i></p> <ul style="list-style-type: none"> • Failure to promptly assess • Failure to adequately assess • Failure to recognize and/or detect signs & symptoms • Faulty intervention • Failure to call for Assistance • Failure to notify physician or other provider • Failure to properly initiate CPR 	<p>Risk of Recurrence</p> <p>Likely Cause(s) of Error/Omission:</p> <ul style="list-style-type: none"> • Lack of attentiveness • Inadequate clinical judgment • Faulty logic due to use of rote action • Lack of appropriate priorities • Poor or faulty monitoring • Lack of agency/ fiduciary concern <p><i>Consider individual practice responsibility and system influence and nurse's demonstration of experiential learning</i></p> <p>See appendix for more aggravating and mitigating factors.</p>	<p>(A) No or Minimal Patient Harm or Low Risk of Harm</p>	<p>SOA/SOC</p>	<p>0-3 yrs</p>	<p>Fine \$1000 per violation</p>	<p>1. 24 Contact hour course on Patient Assessment, obtain passing score, submit evaluation data</p> <p>2. 6 Contact hour course on Nursing Ethics, obtain passing score, submit evaluation data</p> <p>3. Notice to current & future Employers</p> <p>4. Commission permission for Employment</p> <p>5. No employment in temporary agency, home health, hospice or community-based agency</p> <p>6. Employer reports addressing clinical judgment & decision-making ability- quarterly</p> <p>7. Personal reports – quarterly</p> <p>8. Indirect RN supervision, No charge or supervisory responsibilities</p> <p>9. Request Modification</p>	<p>1. 120 days</p>
		<p>(B) Patient Harm or Risk of Severe Patient Harm</p>	<p>SOA/SOC</p>	<p>2-5 yrs</p>			<p>2. 90 days</p>
		<p>(C) Severe Harm or Death</p>	<p>SOC</p>	<p>3 yr Minimum</p>			<p>3. Duration</p>
							<p>4. Unless modified</p>
							<p>5. Duration</p>
							<p>6. Duration</p>
							<p>7. If working as nurse</p>
							<p>8. Unless modified</p>
							<p>9. 12 – 24 months</p>

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	Cost Recovery or Fine	Conditions	Time For Completion
<p>II. Failure to Recognize Risk Factors And Implement Prevention Techniques To Avoid Predictable, Preventable Condition(s)</p> <p>Existence Of A Preventable Condition Including Decubiti, Stasis Pneumonia, Incidence Of Falls</p> <p>Errors or Omissions of the following type:</p> <ul style="list-style-type: none"> • Failure to anticipate and/or recognize risk factors] • Failure to implement prevention techniques to reduce patient risk • Faulty intervention • Breach of infection precautions • Failure to recognize equipment failure 	<p>Risk of Recurrence</p> <p>Likely Cause(s) of Error/Omission:</p> <ul style="list-style-type: none"> • Lack of attentiveness • Inadequate clinical judgment • Lack of appropriate priorities • Poor or faulty monitoring • Lack of evaluation of patient response to therapy • Failure to evaluate effectiveness of intervention <p><i>Consider individual practice responsibility and system influence and nurse's demonstration of experiential learning</i></p> <p>See appendix for more aggravating and mitigating factors.</p>	<p>No or Minimal Patient Harm or Low Risk of Harm</p> <p>Patient Harm of Risk of Severe Patient Harm</p> <p>Severe Harm or Death</p>	<p>SOA/SOC</p> <p>SOA.SOC</p> <p>SOC</p>	<p>0-3 yrs</p> <p>2-5 yrs</p> <p>3 yr Minimum</p>	<p>Fine \$1000 per violation</p>	<ol style="list-style-type: none"> 1. 24 Contact hour course on Patient Assessment, obtain passing score, submit evaluative data 2. 6 Contact hour course on Patient Safety, obtain passing score, submit evaluative data 3. Notice to current & future Employers 4. No employment in temporary agency, home health, hospice or community-based agency 5. Employer reports addressing clinical judgment & decision-making ability – quarterly 6. Personal reports – Quarterly 7. Indirect RN supervision, No charge or supervisory responsibilities 8. Request Modification 	<ol style="list-style-type: none"> 1. 120 days 2. 90 days 3. Duration 4. Duration 5. Duration 6. If working as nurse 7. Unless modified 8. 12 months

**Sanction Standards for RN and LPN
Violations Involving Medication Errors**

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	Cost Recovery or Fine	Conditions	Time For Completion
<p>I. Practice of Pre-Pouring and/or Pre-Charting Medications</p>	<p>Risk of Recurrence</p> <p>Likely Cause of Practitioner Error</p> <ul style="list-style-type: none"> Lack of knowledge of nursing standards Failure to follow agency policy <p>See appendix for more aggravating and mitigating factors</p>	<p>(A) No or Minimal Patient Harm or Low Risk of Harm</p> <p>(B) Patient Harm or Risk of Severe Patient Harm</p> <p>(C) Severe Patient Harm or Death</p>	<p>SOA/SOC</p> <p>SOA/SOC</p> <p>SOC</p>	<p>0-3 yrs</p> <p>2-5 yrs</p> <p>3 yr Minimum</p>	<p>Cost Recovery \$1000 per violation</p>	<p>1. 6 Contact hour course in Time Management</p> <p>2. Obtain passing score</p> <p>3. Submit course evaluation for approval</p>	<p>1. 90 days</p> <p>2. 90 days</p> <p>3. 120 days</p>
<p>II. Developing Pattern of Medication Errors</p> <p><u>2 to 5 Errors of the Following Type(s):</u></p> <ul style="list-style-type: none"> Missed dose(s) Wrong time Wrong dose Wrong frequency Wrong IV rate-wrong dose Wrong patient Wrong route 	<p>Risk of Recurrence</p> <p>Likely Cause of Practitioner Error:</p> <ul style="list-style-type: none"> - Failure to follow 6 "rights" for safe medication administration - Lack of time management skill & organizational Ability <p><i>Consider individual practice responsibility and system influence and nurse's demonstration of experiential learning</i></p> <p>See appendix for</p>	<p>(A) No or Minimal Patient Harm or Low Risk of Harm</p> <p>(B) Patient Harm or Risk of Severe Patient Harm</p> <p>(C) Severe Harm or Death</p>	<p>SOA/SOC</p> <p>SOA/SOC</p> <p>SOC</p>	<p>0-3 yrs</p> <p>2-5 yrs</p> <p>3 yr Minimum</p>	<p>Cost Recovery \$1000 per violation</p>	<p>1. 60 Contact hour course in Safe Medication Administration, including a minimum of 20 hours of theory and 40 hours of RN supervised medication administration</p> <p>2. Obtain passing score</p> <p>3. Submit course evaluation for approval</p> <p>4. 6 Contact hour course in time management at RCM discretion</p>	<p>1. 90 days</p> <p>2. 90 days</p> <p>3. 120 days</p> <p>4. RCM discretion</p>

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	Cost Recovery or Fine	Conditions	Time For Completion
<p>III. Established Pattern Of Medication Errors</p> <p>6 or More Errors of the Following Type(s):</p> <ul style="list-style-type: none"> • Missed dose(s) • Wrong time • Wrong dose • Wrong frequency • Wrong IV rate delivering wrong dose • Wrong patient • Wrong route 	<p>Risk of Recurrence</p> <p><u>Likely Cause of Practitioner Error:</u></p> <ul style="list-style-type: none"> • Failure to Follow 6 “rights” for safe medication administration • Lack of time management skill & organizational ability <p><i>Consider individual practice responsibility and system influence and nurse’s demonstration of experiential learning</i></p> <p>See appendix for More aggravating and mitigating factors</p>	<p>(A) No or Minimal Patient Harm or Low Risk of Harm</p> <p>(B) Patient Harm or Risk of Severe Patient Harm</p> <p>(C) Severe Harm or Death</p>	<p>SOA/SOC</p> <p>SOA/SOC</p> <p>SOC</p>	<p>0-3 yrs</p> <p>2-5 yrs</p> <p>3 yr Minimum</p>	<p>Fine \$1000 per violation</p>	<ol style="list-style-type: none"> 1. 60 Contact hour course in Safe Medication Administration, including minimum of 20 hours of theory and 40 hours of RN supervised medication administration 2. Obtain passing score 3. Submit course evaluation for approval 4. Current & future employer notification & reports 5. Worksite monitor to provide additional 40-120 hours supervision of medication administration (If licensee is an LPN, an LPN may provide supervision) 6. 6 Contact hour course in time management at RCM discretion 7. Request Modification 	<ol style="list-style-type: none"> 1. 90 days 2. 90 days 3. 120 days 4. Quarterly unless modified 5. 6-9 months 6. RCM discretion 7. 12 months

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	Cost Recovery or Fine	Conditions	Time For Completion
<p>IV. Pattern of Medication Errors</p> <p>2 or More Errors of the Following Type(s):</p> <ul style="list-style-type: none"> • Wrong IV rate delivering wrong dose of medication • Wrong concentration or dosage of medication delivered IV • Wrong route • Wrong medication • Wrong dose • Wrong patient • Wrong time 	<p>Risk of Recurrence</p> <p><u>Likely Cause of Practitioner Error:</u></p> <ul style="list-style-type: none"> • Failure to Follow 6 “rights” for safe medication administration • Lack of adequate knowledge or competence for administering medication • Disregard for patient safety & well being <p><i>Consider individual practice responsibility and system influence</i></p> <p><i>Consider nurse’s demonstration of experiential learning</i></p> <p>See appendix for more aggravating and mitigating factors</p>	<p>(A) No or Minimal Patient Harm or Low Risk of Harm</p> <p>(B) Patient Harm or Risk of Severe Patient Harm</p> <p>(C) Severe Harm or Death</p>	<p>SOA/SOC</p> <p>SOA/SOC</p> <p>SOC</p>	<p>0-3 yrs</p> <p>2-5 yrs</p> <p>3 yr Minimum</p>	<p>Fine \$1000 per violation</p>	<ol style="list-style-type: none"> 1. 60 Contact hour course In Safe Medication Administration, including a minimum of 20 hours of theory and 40 hours of RN supervised medication administration 2. Obtain a passing score 3. Submit course evaluation 4. Current and future employer notification & employer reports quarterly 5. Commission approval for employment 6. No charge, floating, agency, home health, hospice, etc. 7. Worksite monitor to provide additional 40 – 120 hours supervision of medication administration (If licensee is an LPN, an LPN may provide supervision) 8. Indirect RN supervision 9. Request Modification 	<ol style="list-style-type: none"> 1. 90 days 2. 90 days 3. 120 days 4. Quarterly unless modified 5. Unless modified 6. Unless modified 7. 6 to 9 months 8. Unless modified 9. 12 to 24 months

**Sanction Standards for RN and LPN
Practice on an Expired License**

Description of Violation	Aggravating & Mitigating Factors	Harm (Tier)	Charge	Duration Of Sanction	New Fine	Conditions	Time For Completion
I. Practice on an expired license from 6 to 12 months		N/A	Notice of Correction			None	1.60 days
II. <u>Practice on an expired license from 1 to 3 years</u>	Extenuating circumstances	N/A	Notice of Correction			None	
III. <u>Practice on an expired license from 1 to 3 years</u>	No extenuating circumstances involved		SOA	1-3 years	Cost recovery	1. Minimum of 3 hours education on the Nursing WAC 246-840 or UDA 18.130	1.60 days
						2. Minimum 6 hours education on Time Management	2.60 days
						3. Minimum 6 hours education on Ethics	3.60 days
IV. <u>Practice on an expired license for over 3 years</u>		N/A	SOC	1-3 years	\$1000 per year	1. Minimum of 3 hours education on the Nursing WAC 246-840 or UDA 18.130	1.60 days
						2. Minimum 6 hours education on Time Management	2.60 days
						3. Minimum 6 hours education on Ethics	3.60 days

						4. May waive the clinical portion of the refresher course per WAC 246-840-130(3)(d) and (h)	
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Reference:

Benner, Patricia, PhD, RN, FAAN, Vickie Sheets, JD, RN, et al, Individual, Practice, and System Causes of Errors in Nursing – A Taxonomy, JONA Vol. 32, No., 10 October 2002.

Individual practice responsibility may include factors such as knowledge, competence, judgment, thoroughness.

System contributions & issues may include level of orientation and education provided; policies, procedures and systems in place including prescribing, order communication; product labeling, packaging and nomenclature; compounding; dispensing; distribution; administration, education; monitoring; and use.

