

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 15K002	X2) MULTIPLE CONSTRUCTION A. BUILDING <u>00</u> B. WING _____	X3) DATE SURVEY COMPLETED 01/05/2016
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NAME OF PROVIDER OR SUPPLIER SUNSHINE HOME HEALTH CARE	STREET ADDRESS, CITY, STATE, ZIP CODE 302 E JEFFERSON BLVD FORT WAYNE, IN 46802
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G 0000 Bldg. 00	<p>This was a federal home health complaint investigation.</p> <p>Complaint #: IN00171504- Substantiated: Federal deficiencies related to the allegation are cited.</p> <p>Survey Date: January 5, 2016</p> <p>Facility #: IN005869</p> <p>Medicaid #: 201063310</p>	G 0000		
G 0134 Bldg. 00	<p>484.14(c) ADMINISTRATOR</p> <p>The administrator, who may also be the supervising physician or registered nurse required under paragraph (d) of this section, employs qualified personnel and ensures adequate staff education and evaluations. Based on document review, and interview, the administrator failed to ensure Home Health Aides (HHAs) were placed on the State of Indiana Nurse Aide Registry prior to providing care to patients for 3 of 3 inactive HHA files reviewed (L, M, and N), 1 of 1 actively employed HHA (D) file reviewed, and 8 of 8 active HHA names searched on the Indiana Professional Licensing Agency Website (E, F, G, H, I, J, K, and O). The</p>	G 0134	G134 The Administrator/Director of Nursing instructed the Director of Human Resources and the Scheduler that all Home Health Aide licenses must be submitted and approved before first patient contact. On January 5, 2016, the Alternate Administrator checked all active HHA's licenses on the PLA website. Any aide that was not placed on the State of Indiana Nurse Aide Registry was removed from Sunshine Home Health Care's schedule	01/07/2016

LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

TITLE

(X6) DATE

Any deficiency statement ending with an asterisk (*) denotes a deficiency which the institution may be excused from correcting providing it is determined that other safeguards provide sufficient protection to the patients. (see instructions.) Except for nursing homes, the findings stated above are disclosable 90 days following the date of survey whether or not a plan of correction is provided. For nursing homes, the above findings and plans of correction are disclosable 14 days following the date these documents are made available to the facility. If deficiencies are cited, an approved plan of correction is requisite to continued program participation.

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	<p>agency has 75 active HHAs.</p> <p>Findings include</p> <p>1. Employee files for 3 inactive HHAs (L, M, and N), and 1 actively employed HHA (D) were reviewed on 1/5/16. On 1/5/16 at 2:40 PM, eight (8) active HHA names were searched online via the Indiana Professional Licensing Agency (PLA); the Indiana PLA website failed to evidence the aides had been placed on the State Registry (E, F, G, H, I, J, K, and O).</p> <p>A. During interview on 1/5/16 at 1:45 PM, employee B, Alternate Administrator, stated the agency has a 90 day probationary period prior to placing aides on the State Registry; the aides are out in the field providing care to patients during this time; and you will find this on all the aides as this has been an inherited process.</p> <p>B. During interview on 1/5/16 at 12:40 PM, employee A, Administrator, stated the first patient contact date is also the hire date because the HHAs do orientation, skills competency, and testing prior to any patient contact before they are hired.</p> <p>C. During interview on 1/5/16 at 1:15</p>		<p>immediately and not placed back on the schedule until verification that HHA was placed on the registry. All HHAs were placed on the Nurse Aide Registry on January 5-7, 2016. On January 7, 2016 the Alternate Administrator verified all active HHAs were successfully placed on the Nurse Aide Registry. 10% of all employee records will be audited quarterly for evidence that the HHA was placed on the registry before first patient contact. The Administrator will be responsible for monitoring these corrective actions to ensure that this deficiency is corrected and will not recur.</p>	

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	<p>PM, employee B stated the agency has a non-client who has agreed to have the aides give a bath to for their bath skill competency, and the first patient contact date is the date they actually provide care to a client of the agency.</p> <p>2. Employee file D, HHA, date of hire and first patient contact date both 9/8/15 failed to evidence employee D had been placed on the Indiana Nurse Aide Registry.</p> <p>A. The file contained a document titled "IAHHC Certified Home Health Aide/Personal Care Assistant Test," dated 9/9/15.</p> <p>B. The file contained a document titled "Certified Home Health Aide and Personal Care Attendant Skills Check List," with skills demonstration date of 9/11/15.</p> <p>C. The file contained a document titled "Home Health Aide Registry Application," dated 10/19/15 and stated "First Name [employee D first name], Last Name [employee D last name], Hire Date 19-Oct-2015, Sent to ISDH: No."</p> <p>D. The document titled "Personal Care Flow Sheet: dated 9/12/15 and 9/13/15 evidenced employee D was</p>			

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	<p>assigned to, and provided care for patient # 1.</p> <p>1. On 9/12/15 employee D provided a bed bath, personal care, assist with dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation,, and cleaned the bathroom and kitchen.</p> <p>2. On 9/13/15 employee D provided a shower, personal care, assist with dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation, and cleaned the bathroom and kitchen.</p> <p>F. During interview on 1/5/16 at 2:17 PM, employee A stated the first patient contact date for employee D is not correct (9/8/15) and employee D had not begun to see patients that day. Employee A indicated the aides take the written test and then the skills check off prior to seeing any patients.</p> <p>G. During interview on 1/5/16 at 2:20 PM, employee B stated the first patient contact date for employee D should have read 9/12/15. Employee B stated the agency has 75 HHAs currently employed.</p>			

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	<p>H. During interview on 1/5/16 at 2:35 PM, employee A stated that employee D is not on the Indiana Nurse Aide Registry at this time because the Human Resources (HR) staff thought she sent in the application but it is not showing up.</p> <p>I. During interview on 1/5/16 at 3:15 PM, employee B stated they attempted to place employee D on the Indiana Nurse Aide Registry on 10/19/15 but the State changed the process of application and it did not go through because they were just printing the paperwork for employee D to sign.</p> <p>3. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee E (date of hire/first patient contact date 12/14/15) failed to evidence Employee E had been place on the Indiana Nurse Aide Registry.</p> <p>4. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee F (date of hire/first patient contact date 12/4/15), failed to evidence Employee F had been place on the Indiana Nurse Aide Registry.</p> <p>5. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for</p>			
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	<p>Employee G (date of hire/first patient contact date 11/16/15), failed to evidence Employee G had been place on the Indiana Nurse Aide Registry.</p> <p>6. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee H (date of hire/first patient contact date 9/14/15), failed to evidence Employee H had been place on the Indiana Nurse Aide Registry.</p> <p>7. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee I (date of hire/first patient contact date 9/21/15), failed to evidence Employee I had been place on the Indiana Nurse Aide Registry.</p> <p>8. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee J (date of hire/first patient contact date 9/21/15) failed to evidence Employee J had been place on the Indiana Nurse Aide Registry.</p> <p>9. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee K (date of hire/first patient contact date 12/14/15), failed to evidence Employee K had been place on the Indiana Nurse Aide Registry.</p> <p>10. On 1/5/16 at 2:40 PM, an online</p>			

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	<p>search of Indiana PLA website for Employee O (date of hire/first patient contact date 4/28/15), failed to evidence Employee O had been place on the Indiana Nurse Aide Registry.</p> <p>11. Previous employee file L was reviewed. Date of hire 11/21/14, first patient contact date 11/20/14. The record failed to evidence the aide was placed on the Indiana Nurse Aide Registry. The document titled " Certified Home Health/Hospice Aide Check List " was dated 11/21/14, a day after the first patient contact date.</p> <p>A. The agency searched the Indiana PLA website evidenced this previous employee (L) was not placed on the registry until after her termination date (3/23/15). The document titled " Indiana Online Licensing " evidenced the HHA license was not issued until 4/10/15.</p> <p>B. The document titled "Respite Personal are Flow Sheet" dated 11/24/15 and 11/26/15 evidenced employee L provided care for patient #2 on both days; Tub/Shower, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Nail Care-clean/file,</p>			
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	<p>Oral care, Assist with elimination, Meal/snack preparation, Assist with Ambulation, Assist with Feeding, Encourage fluids, and clean bathroom and kitchen.</p> <p>12. Previous employee file M was reviewed. Date of hire 11/11/14, first patient contact date 11/9/14, two days prior to date of hire.</p> <p>A. The document titled "Home Health Aide Registry Application" evidenced it was not completed until 1/22/15. The document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 1/22/15.</p> <p>B. The document titled "Personal Care Flow Sheet" dated 11/17/15 and 11/19/15 evidenced employee M provided care for patient #2 on both days; Tub/Shower, Personal Care, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Check Pressure Points, Nail Care-clean/file, Oral care, Assist with elimination, Meal/snack preparation, Assist with Ambulation, Assist with Feeding, Encourage fluids, Client Laundry, and clean bathroom and kitchen.</p> <p>13. Previous employee file N was</p>			

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	<p>reviewed. Date of hire 5/9/14, first patient contact date 5/10/14. The document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 8/11/14.</p> <p>A. The document titled "Personal Care Flow Sheet" dated 5/17 and 5/18/15 evidenced employee N provided care for patient # 3 on both days; Bed bath-partial/complete, Assist bath-Chair, Assist with Dressing, Check Pressure Points, Oral Care, Assist with elimination, Catheter Care, Record I & O [intake and output], Medication Reminder, Wheel chair transfer, Transfer per Hoyer/mechanical lift, Meal/Snack preparation, Encourage/Limit fluids, and clean equipment.</p> <p>14. During interview on 1/5/16 at 3:10 PM, employee C, the Human Resources staff, stated the computer generates a list of when the aides are 90 days out from date of hire and this is how she is notified to apply to place them on the Indiana Nurse Aide Registry.</p> <p>15. The agency's policy titled "Job Description: Administrator," # 1.005, dated October 2014 stated, "Position Summary Plans, develops, and directs</p>			

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G 0203 Bldg. 00	<p>the programs, services, activities and employees of Sunshine Home Health care. ... Essential Functions ... 7. Assures compliance with federal/state regulations governing home health care services."</p> <p>484.36(a) HOME HEALTH AIDE SERVICES Home health aides are selected on the basis of such factors as a sympathetic attitude toward the care of the sick, ability to read, write, and carry out directions, and maturity and ability to deal effectively with the demands of the job. They are closely supervised to ensure their competence in providing care. For home health services furnished (either directly or through arrangements with other organizations) after August 14, 1990, the HHA must use individuals who meet the personnel qualifications specified in §484.4 for "home health aide".</p> <p>Based on document review, and interview, the agency failed to ensure Home Health Aides (HHAs) were placed on the State of Indiana Nurse Aide Registry prior to providing care to patients for 3 of 3 inactive HHA files reviewed (L, M, and N), 1 of 1 actively employed HHA (D) file reviewed, and 8 of 8 active HHA names searched on the Indiana Professional Licensing Agency Website (E, F, G, H, I, J, K, and O). The</p>	G 0203	G203 The Administrator/Director of Nursing instructed the Director of Human Resources and the Scheduler that all Home Health Aide licenses must be submitted and approved before first patient contact. On January 5, 2016, the Alternate Administrator checked all active HHA's licenses on the PLA website. Any aide that was not placed on the State of Indiana Nurse Aide Registry was removed from Sunshine Home Health Care's schedule	01/07/2016

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	<p>agency has 75 active HHAs.</p> <p>Findings include</p> <p>1. Employee files for 3 inactive HHAs (L, M, and N), and 1 actively employed HHA (D) were reviewed on 1/5/16. On 1/5/16 at 2:40 PM, eight (8) active HHA names were searched online via the Indiana Professional Licensing Agency (PLA); the Indiana PLA website failed to evidence the aides had been placed on the State Registry (E, F, G, H, I, J, K, and O).</p> <p>A. During interview on 1/5/16 at 1:45 PM, employee B stated the agency has a 90 day probationary period prior to placing aides on the State Registry; the aides are out in the field providing care to patients during this time; and you will find this on all the aides as this has been an inherited process.</p> <p>B. During interview on 1/5/16 at 12:40 PM, employee A, the Administrator, stated the first patient contact date is also the hire date because the HHAs do orientation, skills competency, and testing prior to any patient contact before they are hired.</p> <p>C. During interview on 1/5/16 at 1:15 PM, employee B, the Alternate</p>		<p>immediately and not placed back on the schedule until verification that HHA was placed on the registry. All HHAs were placed on the Nurse Aide Registry on January 5-7, 2016. On January 7, 2016 the Alternate Administrator verified all active HHAs were successfully placed on the Nurse Aide Registry. 10% of all employee records will be audited quarterly for evidence that the HHA was placed on the registry before first patient contact. The Administrator will be responsible for monitoring these corrective actions to ensure that this deficiency is corrected and will not recur.</p>		

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	<p>Administrator, stated the agency has a non-client who has agreed to have the aides give a bath to for their bath skill competency, and the first patient contact date is the date they actually provide care to a client of the agency.</p> <p>2. Employee file D, HHA, date of hire and first patient contact date both 9/8/15 failed to evidence employee D had been placed on the Indiana Nurse Aide Registry.</p> <p>A. The file contained a document titled "Indiana License Check," dated 9/2/15 and stated "No license of record: X."</p> <p>B. The file contained a document titled "IAHHC Certified Home Health Aide/Personal Care Assistant Test," dated 9/9/15.</p> <p>C. The file contained a document titled "Certified Home Health Aide and Personal Care Attendant Skills Check List," with skills demonstration date of 9/11/15.</p> <p>D. The file contained a document titled "Home Health Aide Registry Application," dated 10/19/15 and stated "First Name [employee D first name], Last Name [employee D last name], Hire</p>			

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	<p>Date 19-Oct-2015, Sent to ISDH: No."</p> <p>E. The document titled "Personal Care Flow Sheet: dated 9/12/15 and 9/13/15 evidenced employee D was assigned to, and provided care for patient # 1.</p> <p>1. On 9/12/15 employee D provided a bed bath, personal care, assist with dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation,, and cleaned the bathroom and kitchen.</p> <p>2. On 9/13/15 employee D provided a shower, personal care, assist with dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation, and cleaned the bathroom and kitchen.</p> <p>F. During interview on 1/5/16 at 2:17 PM, employee A stated the first patient contact date for employee D is not correct (9/8/15) and employee D had not begun to see patients that day. Employee A indicated the aides take the written test and then the skills check off prior to seeing any patients.</p> <p>G. During interview on 1/5/16 at 2:20</p>			

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	<p>PM, employee B stated the first patient contact date for employee D should have read 9/12/15. Employee B stated the agency has 75 HHAs currently employed.</p> <p>H. During interview on 1/5/16 at 2:35 PM, employee A stated that employee D is not on the Indiana Nurse Aide Registry at this time because the Human Resources (HR) staff thought she sent in the application but it is not showing up.</p> <p>I. During interview on 1/5/16 at 3:15 PM, employee B stated they attempted to place employee D on the Indiana Nurse Aide Registry on 10/19/15 but the State changed the process of application and it did not go through because they were just printing the paperwork for employee D to sign.</p> <p>3. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee E (date of hire/first patient contact date 12/14/15) failed to evidence Employee E had been place on the Indiana Nurse Aide Registry.</p> <p>4. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee F (date of hire/first patient contact date 12/4/15), failed to evidence</p>			

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	<p>Employee F had been place on the Indiana Nurse Aide Registry.</p> <p>5. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee G (date of hire/first patient contact date 11/16/15), failed to evidence Employee G had been place on the Indiana Nurse Aide Registry.</p> <p>6. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee H (date of hire/first patient contact date 9/14/15), failed to evidence Employee H had been place on the Indiana Nurse Aide Registry.</p> <p>7. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee I (date of hire/first patient contact date 9/21/15), failed to evidence Employee I had been place on the Indiana Nurse Aide Registry.</p> <p>8. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee J (date of hire/first patient contact date 9/21/15) failed to evidence Employee J had been place on the Indiana Nurse Aide Registry.</p> <p>9. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee K (date of hire/first patient</p>			

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	<p>contact date 12/14/15), failed to evidence Employee K had been place on the Indiana Nurse Aide Registry.</p> <p>10. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee O (date of hire/first patient contact date 4/28/15), failed to evidence Employee O had been place on the Indiana Nurse Aide Registry.</p> <p>11. Previous employee file L was reviewed. Date of hire 11/21/14, first patient contact date 11/20/14. The record failed to evidence the aide was placed on the Indiana Nurse Aide Registry. The document titled " Certified Home Health/Hospice Aide Check List " was dated 11/21/14, a day after the first patient contact date.</p> <p>A. The agency searched the Indiana PLA website evidenced this previous employee (L) was not placed on the registry until after her termination date (3/23/15). The document titled " Indiana Online Licensing " evidenced the HHA license was not issued until 4/10/15.</p> <p>B. The document titled "Respite Personal are Flow Sheet" dated 11/24/15 and 11/26/15 evidenced</p>			

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	<p>employee L provided care for patient #2 on both days; Tub/Shower, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Nail Care-clean/file, Oral care, Assist with elimination, Meal/snack preparation, Assist with Ambulation, Assist with Feeding, Encourage fluids, and clean bathroom and kitchen.</p> <p>12. Previous employee file M was reviewed. Date of hire 11/11/14, first patient contact date 11/9/14, two days prior to date of hire.</p> <p>A. The document titled "Home Health Aide Registry Application" evidenced it was not completed until 1/22/15. The document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 1/22/15.</p> <p>B. The document titled "Personal Care Flow Sheet" dated 11/17/15 and 11/19/15 evidenced employee M provided care for patient #2 on both days; Tub/Shower, Personal Care, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Check Pressure Points, Nail Care-clean/file, Oral care, Assist with elimination, Meal/snack preparation, Assist with Ambulation, Assist with</p>			

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	<p>Feeding, Encourage fluids, Client Laundry, and clean bathroom and kitchen.</p> <p>13. Previous employee file N was reviewed. Date of hire 5/9/14, first patient contact date 5/10/14. The document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 8/11/14.</p> <p>A. The document titled "Personal Care Flow Sheet" dated 5/17 and 5/18/15 evidenced employee N provided care for patient # 3 on both days; Bed bath-partial/complete, Assist bath-Chair, Assist with Dressing, Check Pressure Points, Oral Care, Assist with elimination, Catheter Care, Record I & O [intake and output], Medication Reminder, Wheel chair transfer, Transfer per Hoyer/mechanical lift, Meal/Snack preparation, Encourage/Limit fluids, and clean equipment.</p> <p>14. During interview on 1/5/16 at 3:10 PM, employee C, the HR staff, stated the computer generates a list of when the aides are 90 days out from date of hire and this is how she is notified to apply to place them on the Indiana Nurse Aide Registry.</p>			

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	<p>15. The agency's policy titled "Home Health Aide Training," # 4.028, dated October 2014 stated, "Policy Home Health Aides will meet Home Health Aide Training requirements prior to employment with Sunshine Home Health Care. ... Procedure ... 2. The Director of Nursing ensures that all Home Health Aide training prerequisites for employment have been met prior to hiring a Home Health Aide. ... 9. The agency maintains sufficient documentation to demonstrate that the training requirements are met."</p> <p>16. The agency's policy titled "Job Description: Home Health Aide," # 4.040, dated October 2014 stated, "Position Qualifications ... 2. Home Health Aide Certification preferred as obtained through successful completion of an approved program. ... Performance Responsibilities and Standards ... 7. Promotes and maintains an agency environment that is in compliance with federal, state, and local regulatory agencies."</p> <p>17. The agency's policy titled "Personnel Files for Home Health Care Staff Members," # 4.065, dated October 2014 stated, "Purpose 1. To comply with state health department regulations</p>			

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G 0227 Bldg. 00	<p>and other payer regulatory requirements. ... Procedure ... 6. Employment Information: License and certifications. ... Note: State/Local laws currently in effect may supersede this policy."</p> <p>484.36(c)(2) ASSIGNMENT & DUTIES OF HOME HEALTH AIDE Any home health aide services offered by an HHA must be provided by a qualified home health aide. Based on document review, and interview, the agency failed to ensure Home Health Aides (HHAs) were placed on the State of Indiana Nurse Aide Registry prior to providing care to patients for 3 of 3 inactive HHA files reviewed (L, M, and N), 1 of 1 actively employed HHA (D) file reviewed, and 8 of 8 active HHA names searched on the Indiana Professional Licensing Agency Website (E, F, G, H, I, J, K, and O). The agency has 75 active HHAs.</p> <p>Findings include</p> <p>1. Employee files for 3 inactive HHAs (L, M, and N), and 1 actively employed HHA (D) were reviewed on 1/5/16. On 1/5/16 at 2:40 PM, eight (8) active HHA names were searched online via the Indiana Professional Licensing Agency</p>	G 0227	G227 The Administrator/Director of Nursing instructed the Director of Human Resources and the Scheduler that all Home Health Aide licenses must be submitted and approved before first patient contact. On January 5, 2016, the Alternate Administrator checked all active HHA's licenses on the PLA website. Any aide that was not placed on the State of Indiana Nurse Aide Registry was removed from Sunshine Home Health Care's schedule immediately and not placed back on the schedule until verification that HHA was placed on the registry. All HHAs were placed on the Nurse Aide Registry on January 5-7, 2016. On January 7, 2016 the Alternate Administrator verified all active HHAs were successfully placed on the Nurse Aide Registry. 10% of all employee records will be audited quarterly for evidence that the HHA was placed on the	01/07/2016

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	<p>(PLA); the Indiana PLA website failed to evidence the aides had been placed on the State Registry (E, F, G, H, I, J, K, and O).</p> <p>A. During interview on 1/5/16 at 1:45 PM, employee B stated the agency has a 90 day probationary period prior to placing aides on the State Registry; the aides are out in the field providing care to patients during this time; and you will find this on all the aides as this has been an inherited process.</p> <p>B. During interview on 1/5/16 at 12:40 PM, employee A, the Administrator, stated the first patient contact date is also the hire date because the HHAs do orientation, skills competency, and testing prior to any patient contact before they are hired.</p> <p>C. During interview on 1/5/16 at 1:15 PM, employee B, the Alternate Administrator, stated the agency has a non-client who has agreed to have the aides give a bath to for their bath skill competency, and the first patient contact date is the date they actually provide care to a client of the agency.</p> <p>2. Employee file D, HHA, date of hire and first patient contact date both 9/8/15 failed to evidence employee D had been</p>		<p>registry before first patient contact. The Administrator will be responsible for monitoring these corrective actions to ensure that this deficiency is corrected and will not recur.</p>				

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	<p>placed on the Indiana Nurse Aide Registry.</p> <p>A. The file contained a document titled "Indiana License Check," dated 9/2/15 and stated "No license of record: X."</p> <p>B. The file contained a document titled "IAHHC Certified Home Health Aide/Personal Care Assistant Test," dated 9/9/15.</p> <p>C. The file contained a document titled "Certified Home Health Aide and Personal Care Attendant Skills Check List," with skills demonstration date of 9/11/15.</p> <p>D. The file contained a document titled "Home Health Aide Registry Application," dated 10/19/15 and stated "First Name [employee D first name], Last Name [employee D last name], Hire Date 19-Oct-2015, Sent to ISDH: No."</p> <p>E. The document titled "Personal Care Flow Sheet: dated 9/12/15 and 9/13/15 evidenced employee D was assigned to, and provided care for patient # 1.</p> <p>1. On 9/12/15 employee D provided a bed bath, personal care, assist with</p>			
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	<p>dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation,, and cleaned the bathroom and kitchen.</p> <p>2. On 9/13/15 employee D provided a shower, personal care, assist with dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation, and cleaned the bathroom and kitchen.</p> <p>F. During interview on 1/5/16 at 2:17 PM, employee A stated the first patient contact date for employee D is not correct (9/8/15) and employee D had not begun to see patients that day. Employee A indicated the aides take the written test and then the skills check off prior to seeing any patients.</p> <p>G. During interview on 1/5/16 at 2:20 PM, employee B stated the first patient contact date for employee D should have read 9/12/15. Employee B stated the agency has 75 HHAs currently employed.</p> <p>H. During interview on 1/5/16 at 2:35 PM, employee A stated that employee D is not on the Indiana Nurse Aide Registry at this time because the</p>			

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	<p>Human Resources (HR) staff thought she sent in the application but it is not showing up.</p> <p>I. During interview on 1/5/16 at 3:15 PM, employee B stated they attempted to place employee D on the Indiana Nurse Aide Registry on 10/19/15 but the State changed the process of application and it did not go through because they were just printing the paperwork for employee D to sign.</p> <p>3. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee E (date of hire/first patient contact date 12/14/15) failed to evidence Employee E had been place on the Indiana Nurse Aide Registry.</p> <p>4. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee F (date of hire/first patient contact date 12/4/15), failed to evidence Employee F had been place on the Indiana Nurse Aide Registry.</p> <p>5. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee G (date of hire/first patient contact date 11/16/15), failed to evidence Employee G had been place on the Indiana Nurse Aide Registry.</p>			

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	<p>6. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee H (date of hire/first patient contact date 9/14/15), failed to evidence Employee H had been place on the Indiana Nurse Aide Registry.</p> <p>7. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee I (date of hire/first patient contact date 9/21/15), failed to evidence Employee I had been place on the Indiana Nurse Aide Registry.</p> <p>8. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee J (date of hire/first patient contact date 9/21/15) failed to evidence Employee J had been place on the Indiana Nurse Aide Registry.</p> <p>9. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee K (date of hire/first patient contact date 12/14/15), failed to evidence Employee K had been place on the Indiana Nurse Aide Registry.</p> <p>10. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee O (date of hire/first patient contact date 4/28/15), failed to evidence Employee O had been place on the Indiana Nurse Aide Registry.</p>			

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	<p>11. Previous employee file L was reviewed. Date of hire 11/21/14, first patient contact date 11/20/14. The record failed to evidence the aide was placed on the Indiana Nurse Aide Registry. The document titled " Certified Home Health/Hospice Aide Check List " was dated 11/21/14, a day after the first patient contact date.</p> <p>A. The agency searched the Indiana PLA website evidenced this previous employee (L) was not placed on the registry until after her termination date (3/23/15). The document titled " Indiana Online Licensing " evidenced the HHA license was not issued until 4/10/15.</p> <p>B. The document titled "Respite Personal are Flow Sheet" dated 11/24/15 and 11/26/15 evidenced employee L provided care for patient #2 on both days; Tub/Shower, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Nail Care-clean/file, Oral care, Assist with elimination, Meal/snack preparation, Assist with Ambulation, Assist with Feeding, Encourage fluids, and clean bathroom and kitchen.</p>			
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	<p>12. Previous employee file M was reviewed. Date of hire 11/11/14, first patient contact date 11/9/14, two days prior to date of hire.</p> <p>A. The document titled "Home Health Aide Registry Application" evidenced it was not completed until 1/22/15. The document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 1/22/15.</p> <p>B. The document titled "Personal Care Flow Sheet" dated 11/17/15 and 11/19/15 evidenced employee M provided care for patient #2 on both days; Tub/Shower, Personal Care, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Check Pressure Points, Nail Care-clean/file, Oral care, Assist with elimination, Meal/snack preparation, Assist with Ambulation, Assist with Feeding, Encourage fluids, Client Laundry, and clean bathroom and kitchen.</p> <p>13. Previous employee file N was reviewed. Date of hire 5/9/14, first patient contact date 5/10/14. The document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 8/11/14.</p>			

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	<p>-The document titled "Personal Care Flow Sheet" dated 5/17 and 5/18/15 evidenced employee N provided care for patient # 3 on both days; Bed bath-partial/complete, Assist bath-Chair, Assist with Dressing, Check Pressure Points, Oral Care, Assist with elimination, Catheter Care, Record I & O [intake and output], Medication Reminder, Wheel chair transfer, Transfer per Hoyer/mechanical lift, Meal/Snack preparation, Encourage/Limit fluids, and clean equipment.</p> <p>14. During interview on 1/5/16 at 3:10 PM, employee C, the HR staff, stated the computer generates a list of when the aides are 90 days out from date of hire and this is how she is notified to apply to place them on the Indiana Nurse Aide Registry.</p> <p>15. The agency's policy titled "Home Health Aide Training," # 4.028, dated October 2014 stated, "Policy Home Health Aides will meet Home Health Aide Training requirements prior to employment with Sunshine Home Health Care. ... Procedure ... 2. The Director of Nursing ensures that all Home Health Aide training prerequisites for</p>			

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	<p>employment have been met prior to hiring a Home Health Aide. ... 9. The agency maintains sufficient documentation to demonstrate that the training requirements are met."</p> <p>16. The agency's policy titled "Job Description: Home Health Aide," # 4.040, dated October 2014 stated, "Position Qualifications ... 2. Home Health Aide Certification preferred as obtained through successful completion of an approved program. ... Performance Responsibilities and Standards ... 7. Promotes and maintains an agency environment that is in compliance with federal, state, and local regulatory agencies."</p> <p>17. The agency's policy titled "Personnel Files for Home Health Care Staff Members," # 4.065, dated October 2014 stated, "Purpose 1. To comply with state health department regulations and other payer regulatory requirements. ... Procedure ... 6. Employment Information: License and certifications. ... Note: State/Local laws currently in effect may supersede this policy."</p>			

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N 0000 Bldg. 00	<p>This was a state home health complaint investigation.</p> <p>Complaint #: IN00171504- Substantiated: Federal deficiencies related to the allegation are cited.</p> <p>Survey Date: January 5, 2016</p> <p>Facility #: IN005869</p> <p>Medicaid #: 201063310</p>	N 0000		
N 0446 Bldg. 00	<p>410 IAC 17-12-1(c)(3) Home health agency administration/management Rule 12 410 IAC 17-12-1(c)(3)</p> <p>Sec. 1(c)(3) The administrator, who may also be the supervising physician or registered nurse required by subsection (d), shall do the following: (3) Employ qualified personnel and ensure adequate staff education and evaluations. Based on document review, and interview, the administrator failed to ensure Home Health Aides (HHAs) were placed on the State of Indiana Nurse Aide Registry prior to providing care to patients for 3 of 3 inactive HHA files reviewed (L, M, and N), 1 of 1 actively</p>	N 0446	N446 The Administrator/Director of Nursing instructed the Director of Human Resources and the Scheduler that all Home Health Aide licenses must be submitted and approved before first patient contact. On January 5, 2016, the Alternate Administrator checked all active HHA's licenses on the	01/07/2016

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	<p>employed HHA (D) file reviewed, and 8 of 8 active HHA names searched on the Indiana Professional Licensing Agency Website (E, F, G, H, I, J, K, and O). The agency has 75 active HHAs.</p> <p>Findings include</p> <p>1. Employee files for 3 inactive HHAs (L, M, and N), and 1 actively employed HHA (D) were reviewed on 1/5/16. On 1/5/16 at 2:40 PM, eight (8) active HHA names were searched online via the Indiana Professional Licensing Agency (PLA); the Indiana PLA website failed to evidence the aides had been placed on the State Registry (E, F, G, H, I, J, K, and O).</p> <p>A. During interview on 1/5/16 at 1:45 PM, employee B, Alternate Administrator, stated the agency has a 90 day probationary period prior to placing aides on the State Registry; the aides are out in the field providing care to patients during this time; and you will find this on all the aides as this has been an inherited process.</p> <p>B. During interview on 1/5/16 at 12:40 PM, employee A, Administrator, stated the first patient contact date is also the hire date because the HHAs do orientation, skills competency, and testing prior to</p>		<p>PLA website. Any aide that was not placed on the State of Indiana Nurse Aide Registry was removed from Sunshine Home Health Care's schedule immediately and not placed back on the schedule until verification that HHA was placed on the registry. All HHAs were placed on the Nurse Aide Registry on January 5-7, 2016. On January 7, 2016 the Alternate Administrator verified all active HHAs were successfully placed on the Nurse Aide Registry. 10% of all employee records will be audited quarterly for evidence that the HHA was placed on the registry before first patient contact. The Administrator will be responsible for monitoring these corrective actions to ensure that this deficiency is corrected and will not recur.</p>		

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	<p>any patient contact before they are hired.</p> <p>C. During interview on 1/5/16 at 1:15 PM, employee B stated the agency has a non-client who has agreed to have the aides give a bath to for their bath skill competency, and the first patient contact date is the date they actually provide care to a client of the agency.</p> <p>2. Employee file D, HHA, date of hire and first patient contact date both 9/8/15 failed to evidence employee D had been placed on the Indiana Nurse Aide Registry.</p> <p>A. The file contained a document titled "IAHHC Certified Home Health Aide/Personal Care Assistant Test," dated 9/9/15.</p> <p>B. The file contained a document titled "Certified Home Health Aide and Personal Care Attendant Skills Check List," with skills demonstration date of 9/11/15.</p> <p>C. The file contained a document titled "Home Health Aide Registry Application," dated 10/19/15 and stated "First Name [employee D first name], Last Name [employee D last name], Hire Date 19-Oct-2015, Sent to ISDH: No."</p>			

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	<p>D. The document titled "Personal Care Flow Sheet: dated 9/12/15 and 9/13/15 evidenced employee D was assigned to, and provided care for patient # 1.</p> <p>1. On 9/12/15 employee D provided a bed bath, personal care, assist with dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation,, and cleaned the bathroom and kitchen.</p> <p>2. On 9/13/15 employee D provided a shower, personal care, assist with dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation, and cleaned the bathroom and kitchen.</p> <p>F. During interview on 1/5/16 at 2:17 PM, employee A stated the first patient contact date for employee D is not correct (9/8/15) and employee D had not begun to see patients that day. Employee A indicated the aides take the written test and then the skills check off prior to seeing any patients.</p> <p>G. During interview on 1/5/16 at 2:20 PM, employee B stated the first</p>			

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	<p>patient contact date for employee D should have read 9/12/15. Employee B stated the agency has 75 HHAs currently employed.</p> <p>H. During interview on 1/5/16 at 2:35 PM, employee A stated that employee D is not on the Indiana Nurse Aide Registry at this time because the Human Resources (HR) staff thought she sent in the application but it is not showing up.</p> <p>I. During interview on 1/5/16 at 3:15 PM, employee B stated they attempted to place employee D on the Indiana Nurse Aide Registry on 10/19/15 but the State changed the process of application and it did not go through because they were just printing the paperwork for employee D to sign.</p> <p>3. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee E (date of hire/first patient contact date 12/14/15) failed to evidence Employee E had been place on the Indiana Nurse Aide Registry.</p> <p>4. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee F (date of hire/first patient contact date 12/4/15), failed to evidence Employee F had been place on the</p>			

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	<p>Indiana Nurse Aide Registry.</p> <p>5. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee G (date of hire/first patient contact date 11/16/15), failed to evidence Employee G had been place on the Indiana Nurse Aide Registry.</p> <p>6. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee H (date of hire/first patient contact date 9/14/15), failed to evidence Employee H had been place on the Indiana Nurse Aide Registry.</p> <p>7. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee I (date of hire/first patient contact date 9/21/15), failed to evidence Employee I had been place on the Indiana Nurse Aide Registry.</p> <p>8. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee J (date of hire/first patient contact date 9/21/15) failed to evidence Employee J had been place on the Indiana Nurse Aide Registry.</p> <p>9. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee K (date of hire/first patient contact date 12/14/15), failed to</p>			

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	<p>evidence Employee K had been place on the Indiana Nurse Aide Registry.</p> <p>10. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee O (date of hire/first patient contact date 4/28/15), failed to evidence Employee O had been place on the Indiana Nurse Aide Registry.</p> <p>11. Previous employee file L was reviewed. Date of hire 11/21/14, first patient contact date 11/20/14. The record failed to evidence the aide was placed on the Indiana Nurse Aide Registry. The document titled " Certified Home Health/Hospice Aide Check List " was dated 11/21/14, a day after the first patient contact date.</p> <p>A. The agency searched the Indiana PLA website evidenced this previous employee (L) was not placed on the registry until after her termination date (3/23/15). The document titled " Indiana Online Licensing " evidenced the HHA license was not issued until 4/10/15.</p> <p>B. The document titled "Respite Personal are Flow Sheet" dated 11/24/15 and 11/26/15 evidenced employee L provided care for</p>			

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	<p>patient #2 on both days; Tub/Shower, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Nail Care-clean/file, Oral care, Assist with elimination, Meal/snack preparation, Assist with Ambulation, Assist with Feeding, Encourage fluids, and clean bathroom and kitchen.</p> <p>12. Previous employee file M was reviewed. Date of hire 11/11/14, first patient contact date 11/9/14, two days prior to date of hire.</p> <p>A. The document titled "Home Health Aide Registry Application" evidenced it was not completed until 1/22/15. The document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 1/22/15.</p> <p>B. The document titled "Personal Care Flow Sheet" dated 11/17/15 and 11/19/15 evidenced employee M provided care for patient #2 on both days; Tub/Shower, Personal Care, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Check Pressure Points, Nail Care-clean/file, Oral care, Assist with elimination, Meal/snack preparation, Assist with Ambulation, Assist with Feeding, Encourage fluids, Client</p>			

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	<p>Laundry, and clean bathroom and kitchen.</p> <p>13. Previous employee file N was reviewed. Date of hire 5/9/14, first patient contact date 5/10/14. The document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 8/11/14.</p> <p>A. The document titled "Personal Care Flow Sheet" dated 5/17 and 5/18/15 evidenced employee N provided care for patient # 3 on both days; Bed bath-partial/complete, Assist bath-Chair, Assist with Dressing, Check Pressure Points, Oral Care, Assist with elimination, Catheter Care, Record I & O [intake and output], Medication Reminder, Wheel chair transfer, Transfer per Hoyer/mechanical lift, Meal/Snack preparation, Encourage/Limit fluids, and clean equipment.</p> <p>14. During interview on 1/5/16 at 3:10 PM, employee C, the Human Resources staff, stated the computer generates a list of when the aides are 90 days out from date of hire and this is how she is notified to apply to place them on the Indiana Nurse Aide Registry.</p>			

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N 0596 Bldg. 00	<p>15. The agency's policy titled "Job Description: Administrator," # 1.005, dated October 2014 stated, "Position Summary Plans, develops, and directs the programs, services, activities and employees of Sunshine Home Health care. ... Essential Functions ... 7. Assures compliance with federal/state regulations governing home health care services."</p> <p>410 IAC 17-14-1(I)(A) Scope of Services Rule 14 Sec. 1(I) The home health agency shall be responsible for ensuring that, prior to patient contact, the individuals who furnish home health aide services on its behalf meet the requirements of this section as follows: (1) The home health aide shall: (A) have successfully completed a competency evaluation program that addresses each of the subjects listed in subsection (h) of this rule; and Based on document review, and interview, the agency failed to ensure Home Health Aides (HHAs) were placed on the State of Indiana Nurse Aide Registry prior to providing care to patients for 3 of 3 inactive HHA files reviewed (L, M, and N), 1 of 1 actively employed HHA (D) file reviewed, and 8 of 8 active HHA names searched on the</p>	N 0596	G596 The Administrator/Director of Nursing instructed the Director of Human Resources and the Scheduler that all Home Health Aide licenses must be submitted and approved before first patient contact. On January 5, 2016, the Alternate Administrator checked all active HHA's licenses on the PLA website. Any aide that was not placed on the State of Indiana	01/07/2016

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	<p>Indiana Professional Licensing Agency Website (E, F, G, H, I, J, K, and O). The agency has 75 active HHAs.</p> <p>Findings include</p> <p>1. Employee files for 3 inactive HHAs (L, M, and N), and 1 actively employed HHA (D) were reviewed on 1/5/16. On 1/5/16 at 2:40 PM, eight (8) active HHA names were searched online via the Indiana Professional Licensing Agency (PLA); the Indiana PLA website failed to evidence the aides had been placed on the State Registry (E, F, G, H, I, J, K, and O).</p> <p>A. During interview on 1/5/16 at 1:45 PM, employee B stated the agency has a 90 day probationary period prior to placing aides on the State Registry; the aides are out in the field providing care to patients during this time; and you will find this on all the aides as this has been an inherited process.</p> <p>B. During interview on 1/5/16 at 12:40 PM, employee A, the Administrator, stated the first patient contact date is also the hire date because the HHAs do orientation, skills competency, and testing prior to any patient contact before they are hired.</p>		<p>Nurse Aide Registry was removed from Sunshine Home Health Care's schedule immediately and not placed back on the schedule until verification that HHA was placed on the registry. All HHAs were placed on the Nurse Aide Registry on January 5-7, 2016. On January 7, 2016 the Alternate Administrator verified all active HHAs were successfully placed on the Nurse Aide Registry. 10% of all employee records will be audited quarterly for evidence that the HHA was placed on the registry before first patient contact. The Administrator will be responsible for monitoring these corrective actions to ensure that this deficiency is corrected and will not recur.</p>		

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	<p>C. During interview on 1/5/16 at 1:15 PM, employee B, the Alternate Administrator, stated the agency has a non-client who has agreed to have the aides give a bath to for their bath skill competency, and the first patient contact date is the date they actually provide care to a client of the agency.</p> <p>2. Employee file D, HHA, date of hire and first patient contact date both 9/8/15 failed to evidence employee D had been placed on the Indiana Nurse Aide Registry.</p> <p>A. The file contained a document titled "Indiana License Check," dated 9/2/15 and stated "No license of record: X."</p> <p>B. The file contained a document titled "IAHHC Certified Home Health Aide/Personal Care Assistant Test," dated 9/9/15.</p> <p>C. The file contained a document titled "Certified Home Health Aide and Personal Care Attendant Skills Check List," with skills demonstration date of 9/11/15.</p> <p>D. The file contained a document titled "Home Health Aide Registry Application," dated 10/19/15 and stated</p>			

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	<p>"First Name [employee D first name], Last Name [employee D last name], Hire Date 19-Oct-2015, Sent to ISDH: No."</p> <p>E. The document titled "Personal Care Flow Sheet: dated 9/12/15 and 9/13/15 evidenced employee D was assigned to, and provided care for patient # 1.</p> <p>1. On 9/12/15 employee D provided a bed bath, personal care, assist with dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation,, and cleaned the bathroom and kitchen.</p> <p>2. On 9/13/15 employee D provided a shower, personal care, assist with dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation, and cleaned the bathroom and kitchen.</p> <p>F. During interview on 1/5/16 at 2:17 PM, employee A stated the first patient contact date for employee D is not correct (9/8/15) and employee D had not begun to see patients that day. Employee A indicated the aides take the written test and then the skills check off prior to seeing any patients.</p>			

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	<p>G. During interview on 1/5/16 at 2:20 PM, employee B stated the first patient contact date for employee D should have read 9/12/15. Employee B stated the agency has 75 HHAs currently employed.</p> <p>H. During interview on 1/5/16 at 2:35 PM, employee A stated that employee D is not on the Indiana Nurse Aide Registry at this time because the Human Resources (HR) staff thought she sent in the application but it is not showing up.</p> <p>I. During interview on 1/5/16 at 3:15 PM, employee B stated they attempted to place employee D on the Indiana Nurse Aide Registry on 10/19/15 but the State changed the process of application and it did not go through because they were just printing the paperwork for employee D to sign.</p> <p>3. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee E (date of hire/first patient contact date 12/14/15) failed to evidence Employee E had been place on the Indiana Nurse Aide Registry.</p> <p>4. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for</p>			

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	<p>Employee F (date of hire/first patient contact date 12/4/15), failed to evidence Employee F had been place on the Indiana Nurse Aide Registry.</p> <p>5. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee G (date of hire/first patient contact date 11/16/15), failed to evidence Employee G had been place on the Indiana Nurse Aide Registry.</p> <p>6. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee H (date of hire/first patient contact date 9/14/15), failed to evidence Employee H had been place on the Indiana Nurse Aide Registry.</p> <p>7. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee I (date of hire/first patient contact date 9/21/15), failed to evidence Employee I had been place on the Indiana Nurse Aide Registry.</p> <p>8. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee J (date of hire/first patient contact date 9/21/15) failed to evidence Employee J had been place on the Indiana Nurse Aide Registry.</p> <p>9. On 1/5/16 at 2:40 PM, an online</p>			

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	<p>search of Indiana PLA website for Employee K (date of hire/first patient contact date 12/14/15), failed to evidence Employee K had been place on the Indiana Nurse Aide Registry.</p> <p>10. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee O (date of hire/first patient contact date 4/28/15), failed to evidence Employee O had been place on the Indiana Nurse Aide Registry.</p> <p>11. Previous employee file L was reviewed. Date of hire 11/21/14, first patient contact date 11/20/14. The record failed to evidence the aide was placed on the Indiana Nurse Aide Registry. The document titled " Certified Home Health/Hospice Aide Check List " was dated 11/21/14, a day after the first patient contact date.</p> <p>A. The agency searched the Indiana PLA website evidenced this previous employee (L) was not placed on the registry until after her termination date (3/23/15). The document titled " Indiana Online Licensing " evidenced the HHA license was not issued until 4/10/15.</p> <p>B. The document titled "Respite</p>			

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	<p>Personal are Flow Sheet" dated 11/24/15 and 11/26/15 evidenced employee L provided care for patient #2 on both days; Tub/Shower, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Nail Care-clean/file, Oral care, Assist with elimination, Meal/snack preparation, Assist with Ambulation, Assist with Feeding, Encourage fluids, and clean bathroom and kitchen.</p> <p>12. Previous employee file M was reviewed. Date of hire 11/11/14, first patient contact date 11/9/14, two days prior to date of hire.</p> <p>A. The document titled "Home Health Aide Registry Application" evidenced it was not completed until 1/22/15. The document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 1/22/15.</p> <p>B. The document titled "Personal Care Flow Sheet" dated 11/17/15 and 11/19/15 evidenced employee M provided care for patient #2 on both days; Tub/Shower, Personal Care, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Check Pressure Points, Nail Care-clean/file, Oral care, Assist with</p>			

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	<p>elimination, Meal/snack preparation, Assist with Ambulation, Assist with Feeding, Encourage fluids, Client Laundry, and clean bathroom and kitchen.</p> <p>13. Previous employee file N was reviewed. Date of hire 5/9/14, first patient contact date 5/10/14. The document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 8/11/14.</p> <p>-The document titled "Personal Care Flow Sheet" dated 5/17 and 5/18/15 evidenced employee N provided care for patient # 3 on both days; Bed bath-partial/complete, Assist bath-Chair, Assist with Dressing, Check Pressure Points, Oral Care, Assist with elimination, Catheter Care, Record I & O [intake and output], Medication Reminder, Wheel chair transfer, Transfer per Hoyer/mechanical lift, Meal/Snack preparation, Encourage/Limit fluids, and clean equipment.</p> <p>14. During interview on 1/5/16 at 3:10 PM, employee C, the HR staff, stated the computer generates a list of when the aides are 90 days out from date of hire and this is how she is notified to apply to</p>			

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	<p>place them on the Indiana Nurse Aide Registry.</p> <p>15. The agency's policy titled "Home Health Aide Training," # 4.028, dated October 2014 stated, "Policy Home Health Aides will meet Home Health Aide Training requirements prior to employment with Sunshine Home Health Care. ... Procedure ... 2. The Director of Nursing ensures that all Home Health Aide training prerequisites for employment have been met prior to hiring a Home Health Aide. ... 9. The agency maintains sufficient documentation to demonstrate that the training requirements are met."</p> <p>16. The agency's policy titled "Job Description: Home Health Aide," # 4.040, dated October 2014 stated, "Position Qualifications ... 2. Home Health Aide Certification preferred as obtained through successful completion of an approved program. ... Performance Responsibilities and Standards ... 7. Promotes and maintains an agency environment that is in compliance with federal, state, and local regulatory agencies."</p> <p>17. The agency's policy titled "Personnel Files for Home Health Care Staff Members," # 4.065, dated October</p>			

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N 0597 Bldg. 00	<p>2014 stated, "Purpose 1. To comply with state health department regulations and other payer regulatory requirements. ... Procedure ... 6. Employment Information: License and certifications. ... Note: State/Local laws currently in effect may supersede this policy."</p> <p>410 IAC 17-14-1(l)(1)(B) Scope of Services Rule 14 Sec. (1)(l)(1) The home health aide shall: (B) be entered on and be in good standing on the state aide registry. Based on document review, and interview, the agency failed to ensure Home Health Aides (HHAs) were placed on the State of Indiana Nurse Aide Registry prior to providing care to patients for 3 of 3 inactive HHA files reviewed (L, M, and N), 1 of 1 actively employed HHA (D) file reviewed, and 8 of 8 active HHA names searched on the Indiana Professional Licensing Agency Website (E, F, G, H, I, J, K, and O). The agency has 75 active HHAs.</p> <p>Findings include</p> <p>1. Employee files for 3 inactive HHAs (L, M, and N), and 1 actively employed HHA (D) were reviewed on 1/5/16. On</p>	N 0597	G597 The Administrator/Director of Nursing instructed the Director of Human Resources and the Scheduler that all Home Health Aide licenses must be submitted and approved before first patient contact. On January 5, 2016, the Alternate Administrator checked all active HHA's licenses on the PLA website. Any aide that was not placed on the State of Indiana Nurse Aide Registry was removed from Sunshine Home Health Care's schedule immediately and not placed back on the schedule until verification that HHA was placed on the registry. All HHAs were placed on the Nurse Aide Registry on January 5-7, 2016. On January 7, 2016 the Alternate Administrator verified all active	01/07/2016

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	<p>1/5/16 at 2:40 PM, eight (8) active HHA names were searched online via the Indiana Professional Licensing Agency (PLA); the Indiana PLA website failed to evidence the aides had been placed on the State Registry (E, F, G, H, I, J, K, and O).</p> <p>A. During interview on 1/5/16 at 1:45 PM, employee B stated the agency has a 90 day probationary period prior to placing aides on the State Registry; the aides are out in the field providing care to patients during this time; and you will find this on all the aides as this has been an inherited process.</p> <p>B. During interview on 1/5/16 at 12:40 PM, employee A, the Administrator, stated the first patient contact date is also the hire date because the HHAs do orientation, skills competency, and testing prior to any patient contact before they are hired.</p> <p>C. During interview on 1/5/16 at 1:15 PM, employee B, the Alternate Administrator, stated the agency has a non-client who has agreed to have the aides give a bath to for their bath skill competency, and the first patient contact date is the date they actually provide care to a client of the agency.</p>		<p>HHAs were successfully placed on the Nurse Aide Registry. 10% of all employee records will be audited quarterly for evidence that the HHA was placed on the registry before first patient contact. The Administrator will be responsible for monitoring these corrective actions to ensure that this deficiency is corrected and will not recur.</p>	

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	<p>2. Employee file D, HHA, date of hire and first patient contact date both 9/8/15 failed to evidence employee D had been placed on the Indiana Nurse Aide Registry.</p> <p>A. The file contained a document titled "Indiana License Check," dated 9/2/15 and stated "No license of record: X."</p> <p>B. The file contained a document titled "IAHHC Certified Home Health Aide/Personal Care Assistant Test," dated 9/9/15.</p> <p>C. The file contained a document titled "Certified Home Health Aide and Personal Care Attendant Skills Check List," with skills demonstration date of 9/11/15.</p> <p>D. The file contained a document titled "Home Health Aide Registry Application," dated 10/19/15 and stated "First Name [employee D first name], Last Name [employee D last name], Hire Date 19-Oct-2015, Sent to ISDH: No."</p> <p>E. The document titled "Personal Care Flow Sheet: dated 9/12/15 and 9/13/15 evidenced employee D was assigned to, and provided care for patient # 1.</p>			

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	<p>1. On 9/12/15 employee D provided a bed bath, personal care, assist with dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation,, and cleaned the bathroom and kitchen.</p> <p>2. On 9/13/15 employee D provided a shower, personal care, assist with dressing, skin care, foot care, check pressure points, oral care, medication reminder, universal precautions, wheel chair transfer, meal/snack preparation, and cleaned the bathroom and kitchen.</p> <p>F. During interview on 1/5/16 at 2:17 PM, employee A stated the first patient contact date for employee D is not correct (9/8/15) and employee D had not begun to see patients that day. Employee A indicated the aides take the written test and then the skills check off prior to seeing any patients.</p> <p>G. During interview on 1/5/16 at 2:20 PM, employee B stated the first patient contact date for employee D should have read 9/12/15. Employee B stated the agency has 75 HHAs currently employed.</p> <p>H. During interview on 1/5/16 at 2:35</p>			

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	<p>PM, employee A stated that employee D is not on the Indiana Nurse Aide Registry at this time because the Human Resources (HR) staff thought she sent in the application but it is not showing up.</p> <p>I. During interview on 1/5/16 at 3:15 PM, employee B stated they attempted to place employee D on the Indiana Nurse Aide Registry on 10/19/15 but the State changed the process of application and it did not go through because they were just printing the paperwork for employee D to sign.</p> <p>3. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee E (date of hire/first patient contact date 12/14/15) failed to evidence Employee E had been place on the Indiana Nurse Aide Registry.</p> <p>4. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee F (date of hire/first patient contact date 12/4/15), failed to evidence Employee F had been place on the Indiana Nurse Aide Registry.</p> <p>5. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee G (date of hire/first patient contact date 11/16/15), failed to evidence</p>			

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	<p>Employee G had been place on the Indiana Nurse Aide Registry.</p> <p>6. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee H (date of hire/first patient contact date 9/14/15), failed to evidence Employee H had been place on the Indiana Nurse Aide Registry.</p> <p>7. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee I (date of hire/first patient contact date 9/21/15), failed to evidence Employee I had been place on the Indiana Nurse Aide Registry.</p> <p>8. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee J (date of hire/first patient contact date 9/21/15) failed to evidence Employee J had been place on the Indiana Nurse Aide Registry.</p> <p>9. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee K (date of hire/first patient contact date 12/14/15), failed to evidence Employee K had been place on the Indiana Nurse Aide Registry.</p> <p>10. On 1/5/16 at 2:40 PM, an online search of Indiana PLA website for Employee O (date of hire/first patient</p>			

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	<p>contact date 4/28/15), failed to evidence Employee O had been place on the Indiana Nurse Aide Registry.</p> <p>11. Previous employee file L was reviewed. Date of hire 11/21/14, first patient contact date 11/20/14. The record failed to evidence the aide was placed on the Indiana Nurse Aide Registry. The document titled " Certified Home Health/Hospice Aide Check List " was dated 11/21/14, a day after the first patient contact date.</p> <p>A. The agency searched the Indiana PLA website evidenced this previous employee (L) was not placed on the registry until after her termination date (3/23/15). The document titled " Indiana Online Licensing " evidenced the HHA license was not issued until 4/10/15.</p> <p>B. The document titled "Respite Personal are Flow Sheet" dated 11/24/15 and 11/26/15 evidenced employee L provided care for patient #2 on both days; Tub/Shower, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Nail Care-clean/file, Oral care, Assist with elimination, Meal/snack preparation, Assist</p>			

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	<p>with Ambulation, Assist with Feeding, Encourage fluids, and clean bathroom and kitchen.</p> <p>12. Previous employee file M was reviewed. Date of hire 11/11/14, first patient contact date 11/9/14, two days prior to date of hire.</p> <p>A. The document titled "Home Health Aide Registry Application" evidenced it was not completed until 1/22/15. The document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 1/22/15.</p> <p>B. The document titled "Personal Care Flow Sheet" dated 11/17/15 and 11/19/15 evidenced employee M provided care for patient #2 on both days; Tub/Shower, Personal Care, Assist with Dressing, Hair Care, Shampoo, Skin Care, Foot Care, Check Pressure Points, Nail Care-clean/file, Oral care, Assist with elimination, Meal/snack preparation, Assist with Ambulation, Assist with Feeding, Encourage fluids, Client Laundry, and clean bathroom and kitchen.</p> <p>13. Previous employee file N was reviewed. Date of hire 5/9/14, first patient contact date 5/10/14. The</p>			

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NAME OF PROVIDER OR SUPPLIER SUNSHINE HOME HEALTH CARE	STREET ADDRESS, CITY, STATE, ZIP CODE 302 E JEFFERSON BLVD FORT WAYNE, IN 46802
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	<p>document titled "Indiana Online Licensing" evidenced the HHA license was not issued until 8/11/14.</p> <p>-The document titled "Personal Care Flow Sheet" dated 5/17 and 5/18/15 evidenced employee N provided care for patient # 3 on both days; Bed bath-partial/complete, Assist bath-Chair, Assist with Dressing, Check Pressure Points, Oral Care, Assist with elimination, Catheter Care, Record I & O [intake and output], Medication Reminder, Wheel chair transfer, Transfer per Hoyer/mechanical lift, Meal/Snack preparation, Encourage/Limit fluids, and clean equipment.</p> <p>14. During interview on 1/5/16 at 3:10 PM, employee C, the HR staff, stated the computer generates a list of when the aides are 90 days out from date of hire and this is how she is notified to apply to place them on the Indiana Nurse Aide Registry.</p> <p>15. The agency's policy titled "Home Health Aide Training," # 4.028, dated October 2014 stated, "Policy Home Health Aides will meet Home Health Aide Training requirements prior to employment with Sunshine Home Health</p>			

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	<p>Care. ... Procedure ... 2. The Director of Nursing ensures that all Home Health Aide training prerequisites for employment have been met prior to hiring a Home Health Aide. ... 9. The agency maintains sufficient documentation to demonstrate that the training requirements are met."</p> <p>16. The agency's policy titled "Job Description: Home Health Aide," # 4.040, dated October 2014 stated, "Position Qualifications ... 2. Home Health Aide Certification preferred as obtained through successful completion of an approved program. ... Performance Responsibilities and Standards ... 7. Promotes and maintains an agency environment that is in compliance with federal, state, and local regulatory agencies."</p> <p>17. The agency's policy titled "Personnel Files for Home Health Care Staff Members," # 4.065, dated October 2014 stated, "Purpose 1. To comply with state health department regulations and other payer regulatory requirements. ... Procedure ... 6. Employment Information: License and certifications. ... Note: State/Local laws currently in effect may supersede this policy."</p>			

DEPARTMENT OF HEALTH AND HUMAN SERVICES
CENTERS FOR MEDICARE & MEDICAID SERVICES

PRINTED: 02/08/2016
FORM APPROVED
OMB NO. 0938-0391

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