

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 15G492	X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING _____	X3) DATE SURVEY COMPLETED 04/14/2016
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NAME OF PROVIDER OR SUPPLIER COMMUNITY ALTERNATIVES SW IN	STREET ADDRESS, CITY, STATE, ZIP CODE 1480 W 47TH ST JASPER, IN 47546
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W 0000 Bldg. 00	<p>This visit was for the investigation of Complaints #IN00195464 and #IN00196204.</p> <p>Complaint #IN00195464: Substantiated, Federal/state deficiencies related to the allegations are cited at W104, W140, W149 and W157.</p> <p>Complaint #IN00196204: Substantiated, Federal/state deficiencies related to the allegations are cited at W104 and W149.</p> <p>Dates of survey: April 13 and 14, 2016.</p> <p>Facility Number: 001006 Provider Number: 15G492 AIMS Number: 100235270</p> <p>These federal deficiencies reflect findings in accordance with 460 IAC 9. Quality Review of this report completed by #15068 on 4/20/16.</p>	W 0000		
W 0104 Bldg. 00	<p>483.410(a)(1) GOVERNING BODY</p> <p>The governing body must exercise general policy, budget, and operating direction over</p>			

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>the facility. Based on record review and interview for 3 of 3 sampled clients (A, B and C), and 4 additional clients (D, E, F and G), the facility's governing body failed to ensure the financial and controlled substance policies were implemented.</p> <p>Findings include:</p> <p>1. Review of reportable incidents/investigations on 4/13/16 at 1:30 PM indicated Bureau of Developmental Disabilities Services/BDDS reports regarding missing client money. A BDDS report dated 3/10/16 indicated on 3/9/16 at 12:30 AM it was discovered by the Home Manager that client A was missing \$20.00 and client D was missing \$10.00 from their home cash accounts. The BDDS report indicated the money could not be located and the clients would be reimbursed. Clients A and D had not been reimbursed at the time of the survey.</p> <p>Review of client in home cash accounts on 4/14/16 at 9:47 AM indicated the following:</p> <p>Client A's April 2016 "Client Financial Record" indicated on 4/1/16 \$5.00 was withdrawn from his home cash account for a trip to a local museum. There was</p>	W 0104	<p>W104: The governing body must exercise general policy, budget and operating direction over the facility.</p> <p>Corrective Action: All staff in the home will be in serviced on the operation standard for management of client finances, operation standard for Medication ordering and accounting and the operation standard for reporting and investigating abuse neglect exploitation mistreatment or violation of individual's rights. An audit of all client finances will be completed and any expenditure without a receipt will be reimbursed.</p> <p>How others will be identified: The Residential Manager will be in the home at least five times weekly to complete an audit of all client finances and document those audits on the client finance record and weekly, review the controlled substance inventory record to ensure that staff is completing the controlled substance inventory between all shifts and signing the controlled substance inventory record. The QIDP will be in the home at least twice weekly to complete a finance audit for all clients in the home and document those audits on the client finance record, review the controlled substance inventory record to</p>	05/14/2016	

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	<p>no receipt from the museum in his record. Client A also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the agency's document for checks. The balance for the client was listed as \$1.03 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client B's April 2016 "Client Financial Record" (CFR) indicated on 4/1/16 \$154.57 was the balance of cash on hand until 4/12/16 when the balance was listed as \$110.65. On 4/12/16 \$154.00 was withdrawn from his home cash account for an outing. The CFR indicated \$110.08 was deposited back into his home account. There was a receipt from a local department store for \$43.92 but it was not listed on his record as an expenditure. Client B also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the agency's document for checks. The balance for the client was listed as \$110.65 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client C's April 2016 "Client Financial Record" (CFR) indicated on 4/6/16 \$ 29.00 was withdrawn and the balance was \$22.05. The money spent was not listed on the financial record. On 4/12/16 \$20.00 was withdrawn and \$2.00 was</p>		<p>ensure that staff is completing the controlled substance inventory between all shifts and signing the controlled substance inventory record and complete an audit of all controlled medications in the home. The Program Manager will be in the home at least weekly to complete a finance audit for all clients in the home and document those audits on the client finance record, review the controlled substance inventory record to ensure that staff is completing the controlled substance inventory between all shifts and signing the controlled substance inventory record and complete an audit of all controlled medications in the home. The nurse will be in the home at least twice weekly to complete an audit of all controlled medications in the home and review the controlled substance inventory record to ensure that staff is completing the controlled substance inventory record between all shifts.</p> <p>Measures to be put in place: All staff in the home will be in serviced on the operation standard for management of client finances, operation standard for Medication ordering and accounting and the operation standard for reporting and investigating abuse neglect exploitation mistreatment or violation of individual's rights. An audit of all client finances will be completed and any expenditure without a receipt will be</p>				

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	<p>redeposited. An \$198.00 receipt from a local department store was found dated 4/12/16. The expenditure was not listed on the client's CFR. Client C also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the agency's document for checks. The balance for the client was listed as \$3.05 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client D's April 2016 "Client Financial Record" (CFR) indicated on 4/11/16 \$38.00 was withdrawn from his home cash account for an outing. There was a redeposit of \$1.86 which made a balance of \$2.61 on 4/11/16. There was no amount spent listed on the CFR. Client D also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the agency's document for checks. The balance for the client was listed as \$0.61 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client E's April 2016 "Client Financial Record" (CFR) indicated on 4/1/16 \$133.06 was the balance of cash on hand until 4/12/16 when the balance was listed as \$34.56. On 4/12/16 \$133.00 was withdrawn from his home cash account for an outing. The CFR indicated \$34.50 was deposited back into his home account. There was a receipt from a local</p>		<p>reimbursed.</p> <p>Monitoring of Corrective Action: The Residential Manager will be in the home at least five times weekly to complete an audit of all client finances and document those audits on the client finance record and weekly, review the controlled substance inventory record to ensure that staff is completing the controlled substance inventory between all shifts and signing the controlled substance inventory record. The QIDP will be in the home at least twice weekly to complete a finance audit for all clients in the home and document those audits on the client finance record, review the controlled substance inventory record to ensure that staff is completing the controlled substance inventory between all shifts and signing the controlled substance inventory record and complete an audit of all controlled medications in the home. The Program Manager will be in the home at least weekly to complete a finance audit for all clients in the home and document those audits on the client finance record, review the controlled substance inventory record to ensure that staff is completing the controlled substance inventory between all shifts and signing the controlled substance inventory record and complete an audit of all controlled medications in the home. The nurse will be in the</p>	

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	<p>department store for \$98.50, but it was not listed on his record as an expenditure. Client E also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the agency's document for checks. The balance for the client was listed as \$34.56 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client F's April 2016 "Client Financial Record" (CFR) indicated on 4/2/16 \$149.00 was taken out of his home account for an outing. \$94.36 was deposited on 4/2/16 after the outing. The expenditures were not listed on his records. On 4/12/16, \$93.00 was withdrawn from his home cash account for an outing. The CFR indicated \$31.83 was deposited back into his home account. There were receipts for \$46.84, \$7.80, and \$61.17 but they were not listed on his record as expenditures. Client F also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the agency's document for checks. The balance for the client was listed as \$32.34 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client G's April 2016 CFR indicated his cash on hand was \$22.17 on 4/14/16. This was verified by counting with the</p>		<p>home at least twice weekly to complete an audit of all controlled medications in the home and review the controlled substance inventory record to ensure that staff is completing the controlled substance inventory record between all shifts.</p> <p>Completion date: 5/14/16</p>				

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	<p>Home Manager on 4/14/16 at 10:18 AM. Client G's CFR indicated a deposit on 4/12/16 of \$16.00. Where the money came from was not indicated by a receipt.</p> <p>Interview with the Home Manager on 4/14/16 at 10:17 AM indicated client G had received cash from his grandmother and it should have been documented on a receipt. The interview indicated clients A and D had missing money on 3/9/16 which had not been reimbursed. The interview indicated it was the policy of the agency that staff should always list receipts and have clients sign receipts. The interview indicated checks were not listed in the clients' records until they were cashed; so they were not documented while waiting to go to the bank locally.</p> <p>2. The Bureau of Developmental Disabilities Services reports were reviewed on 4/13/16 at 1:30 PM and indicated the following:</p> <p>A BDDS report dated 3/18/16 indicated on 3/17/16 at 12:00 AM it was discovered by the oncoming nightshift staff during a medication audit that client A was missing 20 hydrocodone (narcotic pain medication) pills.</p> <p>Review of client A's record on 4/14/16 at</p>			

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	<p>10:38 AM indicated "controlled substance inventory" sheets for April 2016 and March 2016. The April inventory had 7 blank spaces where only one staff had signed verifying an accurate count of client A's Hydrocodone (narcotic pain medication) instead of the required two staff (oncoming shift and off going shift staff). The March inventory had 24 blank spaces where staff should have verified the accurate count of the hydrocodone.</p> <p>Interview with the nursing manager on 4/14/16 at 11:25 AM indicated the staff should be signing the controlled substance inventory sheet after a count of the hydrocodone according to agency policy.</p> <p>The facility's policy (undated) "Medication Ordering and Accounting" was reviewed on 4/14/16 at 10:30 AM and indicated in part: "Controlled Medications</p> <ol style="list-style-type: none"> 1. Controlled medications must be double locked at all times. 2. All controlled medications must be counted every shift between oncoming and off going staff. 3. Each staff will sign the controlled substance inventory verifying that the count of the medication was completed and is accurate. 4. Any discrepancy will be immediately 			

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W 0140 Bldg. 00	<p>reported to the nurse, supervisor, and/or nursing manager."</p> <p>This federal tag relates to complaint #IN00195464.</p> <p>This federal tag relates to complaint #IN00196204.</p> <p>9-3-1(a)</p> <p>483.420(b)(1)(i) CLIENT FINANCES</p> <p>The facility must establish and maintain a system that assures a full and complete accounting of clients' personal funds entrusted to the facility on behalf of clients. Based on record review and interview for 3 of 3 sampled clients (A, B and C), and 4 additional clients (D, E, F and G), the facility failed to ensure the clients money was accounted for completely.</p> <p>Findings include:</p> <p>Review of reportable incidents and investigations on 4/13/16 at 1:30 PM indicated</p> <p>Bureau of Developmental Disabilities Services/BDDS reports regarding missing client money. A BDDS report dated 3/10/16 indicated on 3/9/16 at 12:30 AM it was discovered by the Home Manager that client A was missing \$20.00 and client D was missing \$10.00 from their</p>	W 0140	<p>W140: The facility must establish and maintain a system that assures a full and complete accounting of clients personal funds entrusted to the facility on behalf of clients.</p> <p>Corrective Action: All staff in the home will be in serviced on the operation standard for management of client finances and the operation standard for reporting and investigating abuse neglect exploitation mistreatment or violation of individual's rights. An audit of all client finances will be completed and any expenditure without a receipt will be reimbursed.</p> <p>How others will be identified: The</p>	05/14/2016			

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	<p>home cash accounts. The BDDS report indicated the money could not be located and the clients would be reimbursed. Clients A and D had not been reimbursed at the time of the survey.</p> <p>Review of client in home cash accounts on 4/14/16 at 9:47 AM indicated the following:</p> <p>Client A's April 2016 "Client Financial Record" indicated on 4/1/16 \$5.00 was withdrawn from his home cash account for a trip to a local museum. There was no receipt from the museum in his record. Client A also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the agency's document for checks. The balance for the client was listed as \$1.03 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client B's April 2016 "Client Financial Record" (CFR) indicated on 4/1/16 \$154.57 was the balance of cash on hand until 4/12/16 when the balance was listed as \$110.65. On 4/12/16 \$154.00 was withdrawn from his home cash account for an outing. The CFR indicated \$110.08 was deposited back into his home account. There was a receipt from a local department store for \$43.92 but it was not listed on his record as an expenditure.</p>		<p>Residential Manager will be in the home at least five times weekly to complete an audit of all client finances and document those audits on the client finance record and weekly. The QIDP will be in the home at least twice weekly to complete a finance audit for all clients in the home and document those audits on the client finance record. The Program Manager will be in the home at least weekly to complete a finance audit for all clients in the home and document those audits on the client finance record.</p> <p>Measures to be put in place: All staff in the home will be in serviced on the operation standard for management of client finances and the operation standard for reporting and investigating abuse neglect exploitation mistreatment or violation of individual's rights. An audit of all client finances will be completed and any expenditure without a receipt will be reimbursed.</p> <p>Monitoring of Corrective Action: The Residential Manager will be in the home at least five times weekly to complete an audit of all client finances and document those audits on the client finance record and weekly. The QIDP will be in the home at least twice weekly to complete a finance audit for all clients in the home and document</p>	

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	<p>Client B also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the agency's document for checks. The balance for the client was listed as \$110.65 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client C's April 2016 "Client Financial Record" (CFR) indicated on 4/6/16 \$29.00 was withdrawn and the balance was \$22.05. The money spent was not listed on the financial record. On 4/12/16 \$20.00 was withdrawn and \$2.00 was redeposited. An \$198.00 receipt from a local department store was found dated 4/12/16. The expenditure was not listed on the client's CFR. Client C also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the agency's document for checks. The balance for the client was listed as \$3.05 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client D's April 2016 "Client Financial Record" (CFR) indicated on 4/11/16 \$38.00 was withdrawn from his home cash account for an outing. There was a redeposit of \$1.86 which made balance of \$2.61 on 4/11/16. There was no amount spent listed on the CFR. Client D also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the</p>		<p>those audits on the client finance record. The Program Manager will be in the home at least weekly to complete a finance audit for all clients in the home and document those audits on the client finance record.</p> <p>Completion date: 05/14/16</p>				

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	<p>agency's document for checks. The balance for the client was listed as \$0.61 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client E's April 2016 "Client Financial Record" (CFR) indicated on 4/1/16 \$133.06 was the balance of cash on hand until 4/12/16 when the balance was listed as \$34.56. On 4/12/16 \$133.00 was withdrawn from his home cash account for an outing. The CFR indicated \$34.50 was deposited back into his home account. There was a receipt from a local department store for \$98.50, but it was not listed on his record as an expenditure. Client E also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the agency's document for checks. The balance for the client was listed as \$34.56 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client F's April 2016 "Client Financial Record" (CFR) indicated on 4/2/16 \$149.00 was taken out of his home account for an outing. \$94.36 was deposited on 4/2/16 after the outing. The expenditures were not listed on his records. On 4/12/16, \$93.00 was withdrawn from his home cash account for an outing. The CFR indicated \$31.83 was deposited back into his home</p>			

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	<p>account. There were receipts for \$46.84, \$7.80, and \$61.17 but they were not listed on his record as expenditures. Client F also had a \$52.00 allowance check dated 4/4/16. The check was not listed on the agency's document for checks. The balance for the client was listed as \$32.34 and verified as of 4/14/16. The \$52.00 check had not been taken into account.</p> <p>Client G's April 2016 CFR indicated his cash on hand was \$22.17 on 4/14/16. This was verified by counting with the Home Manager on 4/14/16 at 10:18 AM. Client G's CFR indicated a deposit on 4/12/16 of \$16.00. Where the money came from was not indicated by a receipt.</p> <p>Interview with the Home Manager on 4/14/16 at 10:17 AM indicated client G had received cash from his grandmother and it should have been documented on a receipt. The interview indicated clients A and D had missing money on 3/9/16 which had not been reimbursed. The interview indicated staff should always list receipts and have client sign receipts. The interview indicated checks were not listed in the clients' records until they were cashed; so they were not documented while waiting to go to the bank locally.</p>				

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NAME OF PROVIDER OR SUPPLIER COMMUNITY ALTERNATIVES SW IN			STREET ADDRESS, CITY, STATE, ZIP CODE 1480 W 47TH ST JASPER, IN 47546		
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W 0149 Bldg. 00	<p>This federal tag relates to complaint #IN00195464.</p> <p>9-3-2(a)</p> <p>483.420(d)(1) STAFF TREATMENT OF CLIENTS The facility must develop and implement written policies and procedures that prohibit mistreatment, neglect or abuse of the client. Based on record review and interview for 1 of 3 sampled clients (A) and 1 additional client (D), the facility failed to ensure the facility's neglect/exploitation policy was implemented in regards to missing client money and medications. The facility failed to replace the missing client funds.</p> <p>Findings include:</p> <p>Review of facility investigations and Bureau of Developmental Disabilities Services/BDDS reports on 4/13/16 at 1:30 PM indicated the following:</p> <p>1. A BDDS report dated 3/10/16 indicated on 3/9/16 at 12:30 AM it was discovered by the Home Manager client D was missing \$10.00 from his home cash account. The BDDS report indicated the money could not be located and the client would be reimbursed. Client D had not been reimbursed at the time of the</p>	W 0149	<p>W149: The facility must develop and implement written policies and procedures that prohibit mistreatment, neglect or abuse of the client.</p> <p>Corrective Action: All staff in the home will be in serviced on the operation standard for management of client finances and the operation standard for reporting and investigating abuse neglect exploitation mistreatment or violation of individual's rights. An audit of all client finances will be completed and any expenditure without a receipt will be reimbursed. The missing funds for clients A and D will be reimbursed.</p> <p>How others will be identified: The Residential Manager will be in the home at least five times weekly to complete an audit of all client finances and document those audits on the client finance record and weekly. The QIDP will be in the home at least twice weekly to</p>	05/14/2016	

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	<p>survey.</p> <p>2. A BDDS report dated 3/10/16 indicated on 3/9/16 at 12:30 AM it was discovered by the Home Manager client A was missing \$20.00 from his home cash account. The BDDS report indicated the money could not be located and the client would be reimbursed. Client A had not been reimbursed at the time of the survey.</p> <p>3. A BDDS report dated 3/18/16 indicated on 3/17/16 at 12:00 AM it was discovered by the oncoming nightshift staff during a medication audit that client A was missing 20 hydrocodone (narcotic pain medication) pills.</p> <p>Interview with the Home Manager on 4/14/16 at 10:17 AM indicated clients A and D had missing money on 3/9/16 which had not been reimbursed. The interview indicated client A's pain medication was missing and what had happened to it was unknown.</p> <p>The "Abuse/Neglect/Exploitation Policy and Procedure" component of the agency's 08/01/07 Operational Policy and Procedure Manual (revised 01/09/2015) was reviewed on 4/13/2016 at 3:45 PM. The review indicated the agency prohibited staff abuse/exploitation of</p>		<p>complete a finance audit for all clients in the home and document those audits on the client finance record. The Program Manager will be in the home at least weekly to complete a finance audit for all clients in the home and document those audits on the client finance record. The QA Manager will ensure that the Business Manager receives a copy of all investigations regarding missing client funds as soon as it is completed and ensure that any missing funds are reimbursed timely.</p> <p>Measures to be put in place: All staff in the home will be in serviced on the operation standard for management of client finances and the operation standard for reporting and investigating abuse neglect exploitation mistreatment or violation of individual's rights. An audit of all client finances will be completed and any expenditure without a receipt will be reimbursed. The missing funds for clients A and D will be reimbursed.</p> <p>Monitoring of Corrective Action: The Residential Manager will be in the home at least five times weekly to complete an audit of all client finances and document those audits on the client finance record and weekly. The QIDP will be in the home at least twice weekly to complete a finance audit for all clients in the home and document those audits on the client finance</p>	

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W 0157 Bldg. 00	<p>clients. The policy indicated all allegations would be investigated and addressed. The definition of abuse/exploitation was as follows:</p> <p>"E. Abuse-Exploitation Definition 1. An act that deprives an individual of real or personal property by fraudulent or illegal means. 2. Utilization of another person for selfish purposes."</p> <p>This federal tag relates to Complaint #IN00195464. This federal tag relates to Complaint #IN00196204.</p> <p>9-3-2(a)</p> <p>483.420(d)(4) STAFF TREATMENT OF CLIENTS If the alleged violation is verified, appropriate corrective action must be taken. Based on record review and interview for 1 of 3 sampled clients (A) and 1 additional client (D), the facility failed to ensure the clients' money was reimbursed when found missing.</p> <p>Findings include:</p>			W 0157	<p>record. The Program Manager will be in the home at least weekly to complete a finance audit for all clients in the home and document those audits on the client finance record. The QA Manager will ensure that the Business Manager receives a copy of all investigations regarding missing client funds as soon as it is completed and ensure that any missing funds are reimbursed timely.</p> <p>Completion date: 05/14/16</p> <p>W157: The facility must develop and implement written policies and procedures that prohibit mistreatment, neglect or abuse of the client. Corrective Action: All staff in the home will be in serviced on the operation standard for management</p>		05/14/2016

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	<p>Review of facility investigations and Bureau of Developmental Disabilities Services/BDDS reports on 4/13/16 at 1:30 PM indicated the following:</p> <p>1. A BDDS report dated 3/10/16 indicated on 3/9/16 at 12:30 AM it was discovered by the Home Manager client D was missing \$10.00 from his home cash account. The BDDS report indicated the money could not be located and the client would be reimbursed. Client D had not been reimbursed at the time of the survey.</p> <p>2. A BDDS report dated 3/10/16 indicated on 3/9/16 at 12:30 AM it was discovered by the Home Manager client A was missing \$20.00 from his home cash account. The BDDS report indicated the money could not be located and the client would be reimbursed. Client A had not been reimbursed at the time of the survey.</p> <p>Interview with the Home Manager on 4/14/16 at 10:17 AM indicated clients A and D had missing money on 3/9/16 which had not been reimbursed.</p> <p>This federal tag relates to Complaint #IN00195464.</p>		<p>of client finances and the operation standard for reporting and investigating abuse neglect exploitation mistreatment or violation of individual's rights. An audit of all client finances will be completed and any expenditure without a receipt will be reimbursed. The missing funds for clients A and D will be reimbursed. How others will be identified: The Residential Manager will be in the home at least five times weekly to complete an audit of all client finances and document those audits on the client finance record and weekly. The QIDP will be in the home at least twice weekly to complete a finance audit for all clients in the home and document those audits on the client finance record. The Program Manager will be in the home at least weekly to complete a finance audit for all clients in the home and document those audits on the client finance record. The QA Manager will ensure that the Business Manager receives a copy of all investigations regarding missing client funds as soon as it is completed and ensure that any missing funds are reimbursed timely. Measures to be put in place: All staff in the home will be in serviced on the operation standard for management of client finances and the operation standard for reporting and investigating abuse neglect exploitation mistreatment or violation of individual's rights. An</p>		

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