

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 15G036	X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING _____	X3) DATE SURVEY COMPLETED 01/30/2013
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NAME OF PROVIDER OR SUPPLIER AWS	STREET ADDRESS, CITY, STATE, ZIP CODE 820 MENDLESON DR RICHMOND, IN 47374
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W0000	<p>This visit was for the investigation of complaint #IN00122303.</p> <p>Complaint #IN00122303: Substantiated, federal and state deficiencies related to the allegation are cited at: W104, W140, W149, W156 and W157.</p> <p>Dates of Survey: January 15, 16 and 30, 2013.</p> <p>Facility Number: 000596 Provider Number: 15G036 AIMS Number: 100233390</p> <p>Surveyor: Vickie Kolb, RN, BSN, Public Health Nurse Surveyor III</p> <p>These deficiencies also reflect state findings in accordance with 460 IAC 9.</p> <p>Quality review completed February 6, 2013 by Dotty Walton, Medical Surveyor III.</p>	W0000		

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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W0104	<p>483.410(a)(1) GOVERNING BODY The governing body must exercise general policy, budget, and operating direction over the facility.</p> <p>Based on interview and record review for 4 of 4 sampled clients (A, B, C and D) and 4 additional clients (E, F, G and H), the governing body failed to exercise general policy and operating direction over the facility to ensure the facility implemented and developed its written policies and procedures to prevent misappropriation of the clients' personal funds, gift cards and cash on hand and to ensure the results of all investigations were reported to the administrator within 5 working days from the date of the incident/allegation.</p> <p>Findings include:</p> <p>2. The facility failed to ensure a full and complete accounting of client D's and G's funds and expenditures. Please see W140.</p> <p>2. The facility failed to develop and implement written policies and procedures to prevent misappropriation of client A's, B's, C's, D's, E's, F's, G's and H's personal funds, gift cards and cash on hand. Please see W149.</p> <p>3. The facility failed to conclude/report the results of an investigation of</p>	W0104	<p>Corrective action for resident(s) found to have been affected</p> <p>AWS does have a system in place for full and complete accounting of client funds and expenditures. This system will be reviewed by the Regional Director with the Team Leader and Manager to ensure compliance.</p> <p>A corporate policy has been created titled Financial Accountability. This policy will include cash on hand and gift cards.</p> <p>AWS does have a policy to ensure investigations are completed and the results are communicated with the administrator within 5 working days. This policy will be reviewed with the Regional Director and QDDP to ensure compliance.</p> <p>At the time of the misappropriation of funds the staff was suspended and client finance accountability was immediately taken over by the Manager. The team leader and Manager will be retrained on the client financial accounting system by the Regional Director as well as trained on the new AWS</p>	03/01/2013			

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	<p>misappropriation of funds to the administrator in accordance with State law within five working days of the incident for clients A, B, C, D, E, F, G and H. Please see W154.</p> <p>4. The facility neglected to ensure effective corrective action to prevent further incidents of misappropriation of client funds in regards to clients A, B, C, D, E, F, G and H. Please see W157.</p> <p>This federal tag relates to complaint #IN00122303.</p> <p>9-3-1(a)</p>		<p>Financial Accountability policy.</p> <p>How facility will identify other residents potentially affected and what measures taken</p> <p>All residents are affected and corrective action plan will be put in place to protect all consumers.</p> <p>Measures or systemic changes facility put in place to ensure no recurrence</p> <p>AWS will continue to ensure cash on hand is reviewed weekly by Team Leaders and monthly by the Manager. The records are reviewed monthly but the Regional Director and corporate compliance.</p> <p>AWS has created a new policy titled Financial Accountability which includes cash on had and gift card financial accounting procedures.</p> <p>The Regional Director will retrain the Team Leader and Manager on maintaining client finances and financial accountability.</p> <p>How corrective actions will be monitored to ensure no recurrence</p>		

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			The Group Home Manager reviews and counts cash on hand monthly. The Manager will send a report to the Regional Director monthly communicating how much cash was expected in each cash on hand bag as well as how much was in the bag. The Regional Director will continue to monitor financial records monthly and forward to corporate compliance for additional monitoring.		

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W0140	<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 interview and record review for 1 of 4 sampled clients (D) and 1 additional client (G), the facility failed to ensure a full and complete accounting of the clients' funds and expenditures.</p> <p>Findings include:</p> <p>Client D's and G's COH (Cash On Hand) ledgers for January 2013 were reviewed 1/15/13 at 3:45 PM with the HM (House Manager).</p> <p>Client D's COH ledger indicated the client should have \$11.48. The client had \$12.77 in his money envelope, a difference of \$1.29.</p> <p>Client G's COH ledger indicated the client should have \$26.69. The client had \$28.46 in his money envelope, a difference of \$1.77.</p> <p>Interview with the HM on 1/15/13 at 4 PM stated, "I have no idea why they (clients D and G) have extra money." The HM indicated client D's and G's COH ledgers should match the amount in the clients' money envelopes.</p>	W0140	<p>Corrective action for resident(s) found to have been affected</p> <p>Clients with missing cash were reimbursed by AWS. Cash on hand ledgers do match and exact cash on hand was witnessed by the Manager.</p> <p>Cash on hand should match the cash on hand ledgers exactly at all times. Team Leaders monitor the cash on hand ledgers and cash weekly. The Group Home Manager monitors the cash on hand ledgers and cash monthly. The ledger is forwarded to the Regional Director and corporate compliance monthly for additional monitoring. In addition the Manager will send the Regional Director a monthly report with the amount of cash on hand in each bag as well as the expected amount.</p> <p>How facility will identify other residents potentially affected and what measures taken</p> <p>All residents are affected and corrective action plan will be put in place to protect all consumers.</p>	03/01/2013			

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	<p>Interview with the QMRP (Qualified Mental Retardation Professional) on 1/15/13 at 4:15 PM indicated client D's and G's cash on hand records should match the amount of money in each of the clients' money envelopes without any discrepancies.</p> <p>This federal tag relates to complaint #IN00122303.</p> <p>9-3-2(a)</p>		<p>Measures or systemic changes facility put in place to ensure no recurrence</p> <p>The Team Leaders will conduct a weekly money client finance audit. The GH Manger will conduct a monthly client fiancé audit by looking at each cash on hand bag to ensure proper accounting.</p> <p>The GH Manager will send a monthly report to the Regional Director communicating how much cash is expected in each money bag as well as how much cash was actually in each bag.</p> <p>How corrective actions will be monitored to ensure no recurrence</p> <p>The GH Manager will send a monthly report to the Regional Director communicating how much cash is expected in each money bag as well as how much cash was actually in each bag.</p>		

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W0149	<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 interview and record review for 8 of 8 allegations of misappropriation of funds for 4 of 4 sampled clients (A, B, C and D) and 4 additional clients (E, F, G and H), the facility neglected to develop and implement written policies and procedures to prevent the misappropriation of the clients' personal funds/cash on hand and gift cards, to ensure a full and complete accounting of the clients' funds and expenditures and to ensure the results of all investigations were reported to the administrator within 5 working days from the day of the event/allegation.</p> <p>Findings include:</p> <p>The facility records were reviewed on 1/15/13 at 11:30 AM. The facility BDDS (Bureau of Developmental Disabilities Services) reports indicated the following Incident Follow Up Reports on 1/14/13: __ On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client A] that was in question is a transaction stating that \$5 was taken out so that [client A] could buy</p>	W0149	<p>Corrective action for resident(s) found to have been affected</p> <p>AWS has developed a corporate policy titled Financial Accountability. This policy includes maintaining client cash on hand and gift cards.</p> <p>How facility will identify other residents potentially affected and what measures taken</p> <p>All residents are affected and corrective action plan will be put in place to protect all consumers.</p> <p>Measures or systemic changes facility put in place to ensure no recurrence</p> <p>AWS has written a corporate policy titled Financial Accountability. This policy will address maintaining client accounts as well as cash on hand and gift cards. The Team Leader and Group Home Manager will be trained on this new policy by the Regional Director.</p>	03/01/2013			

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	<p>a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client A] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. The final transaction in question regarding [client A] is for the amount of \$1. According to [client A's] ledger that \$1 was for [client A] to buy a pop at a dance. This writer received a statement from the staff that took [client A] to the dance and she denied [client A] buying a pop that day. There is a total amount of \$6 in question relating to [client A]."</p> <p>__On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client B] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question.</p>		<p>How corrective actions will be monitored to ensure no recurrence The Group Home Manager reviews and counts cash on hand monthly. The Manager will send a report to the Regional Director monthly communicating how much cash was expected in each cash on hand bag as well as how much was in the bag. The Regional Director will continue to monitor financial records monthly and forward to corporate compliance for additional monitoring.</p>				

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	<p>Another transaction regarding [client B] that was in question is a transaction stating that \$5 was taken out so that [client B] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client B] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. The final transaction in question regarding [client B] is for the amount of \$1. According to [client B's] ledger that \$1 was for [client B] to buy a pop at a dance. This writer received a statement from the staff that took [client B] to the dance and she denied [client B] buying a pop that day. There is a total amount of \$16 in question relating to [client B]."</p> <p>__On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client C] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No</p>						

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	<p>receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question. Another transaction regarding [client C] that was in question is a transaction stating that \$5 was taken out so that [client C] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client C] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. Another transaction in question regarding [client C] is for the amount of \$1. According to [client C's] ledger that \$1 was for [client C] to buy a pop at a dance. This writer received a statement from the staff that took [client C] to the dance and she denied [client C] buying a pop that day. The final transaction in question states that [client C] purchased a \$10 gift card for both of her brothers for Christmas. This writer spoke with [client C's] brother and he denies [client C] giving them any gift cards for Christmas. There is a total amount of \$36 in question relating to [client C]."</p> <p>__ On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of</p>			

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	<p>the transactions not being accurate. One transaction regarding [client D] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question. Another transaction regarding [client D] that was in question is a transaction stating that \$5 was taken out so that [client D] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client D] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. The final transaction in question regarding [client D] is for the amount of \$1. According to [client D's] ledger that \$1 was for [client D] to buy a pop at a dance. This writer received a statement from the staff that took [client D] to the dance and she denied [client D] buying a pop that day. There is a total amount of \$16 in question relating to [client D]."</p>			

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	<p>__ On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client E] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question. Another transaction regarding [client E] that was in question is a transaction stating that \$5 was taken out so that [client E] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client E] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. Another transaction in question regarding [client E] is for the amount of \$1. According to [client E's] ledger that \$1 was for [client E] to buy a pop at a dance. This writer received a statement from the staff that took [client</p>						

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	<p>E] to the dance and she denied [client E] buying a pop that day. The final transaction in question states that [client E] purchased a \$10 gift card for his niece for Christmas. This writer spoke with [client E's] niece and she denies [client E] giving her a gift card for Christmas. There is a total amount of \$26 in question relating to [client E]."</p> <p>__On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client F] that was in question is a transaction stating that \$5 was taken out so that [client F] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client F] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. Another transaction in question regarding [client F] is for the amount of \$1. According to [client F's] ledger that \$1 was for [client F] to buy a pop at a dance. This writer received a statement from the staff that took [client F] to the dance and she denied [client F] buying a pop that day. The final transaction in question states that [client F] purchased a \$20 gift card for her parents for Christmas. This writer</p>						

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	<p>spoke with [client F's] parents and she denies [client F] giving them a gift card for Christmas. There is a total amount of \$26 in question relating to [client F]."</p> <p>__ On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client G] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question. Another transaction regarding [client G] that was in question is a transaction stating that \$5 was taken out so that [client G] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client G] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. The final transaction in question regarding [client G] is for the</p>			

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	<p>amount of \$1. According to [client G's] ledger that \$1 was for [client G] to buy a pop at a dance. This writer received a statement from the staff that took [client G] to the dance and she denied [client G] buying a pop that day. There is a total amount of \$16 in question relating to [client G]."</p> <p>__On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client H] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question. Another transaction regarding [client H] that was in question is a transaction stating that \$5 was taken out so that [client H] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client H] never bought a pop or any</p>						

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	<p>other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. Another transaction in question regarding [client H] is for the amount of \$1. According to [client H's] ledger that \$1 was for [client H] to buy a pop at a dance. This writer received a statement from the staff that took [client H] to the dance and she denied [client H] buying a pop that day. The final transaction in question states that [client H] purchased a \$10 gift card for her father for Christmas. This writer spoke with [client H's] father and he denies [client H] giving him a gift card for Christmas. There is a total amount of \$26 in question relating to [client H]."</p> <p>__The Follow up reports of 1/14/13 indicated the suspected staff remained suspended pending the completion of the company's internal investigation. The reports indicated the client would be paid back the amount in question by the facility. "The team is discussing any possible systematic changes that could be put in place that might prevent similar incidents from occurring in the future but feels like the system in place strongly detours any misappropriation of funds."</p> <p>The COH (Cash On Hand) ledgers for clients A, B, C, D, E, F, G and H for January 2013 were reviewed on 1/15/13 at</p>						

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	<p>3:45 PM with the HM (House Manager). Client D's COH ledger indicated the client should have \$11.48. The client had \$12.77 in his money envelope, a difference of \$1.29. Client G's COH ledger indicated the client should have \$26.69. The client had \$28.46 in his money envelope, a difference of \$1.77.</p> <p>Interview with staff #3 on 1/15/23 at 5:30 PM indicated the clients' COH was kept locked in a two drawer file cabinet off of the living room in the group home. Staff #3 indicated only the HM and the TL (Team Leader) had access to the clients' COH. Staff #3 indicated on Fridays the TL would leave out money for shopping/outings in an envelope for each client and those envelopes would be locked in the medication cabinet in the office. Staff #3 indicated at that time, all staff had access to the weekend money.</p> <p>Interview with the HM on 1/15/13 at 4 PM stated, "I have no idea why they (clients D and G) have extra money." The HM indicated client D's and G's COH ledgers should match the amount in the clients' money envelopes. The HM indicated the clients' COH was maintained in the home and only she and the TL had keys to the money. The HM indicated if a client needed cash for something on the weekend, the TL would</p>				

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	<p>take the cash out of the client's COH and place it in an envelope in the medication cabinet at which time all or any of the staff would have access to the money in the medication cabinet. The HM indicated whenever money was dispersed to the client, only one staff and the client signed for the transaction. The HM stated, "But I think that needs to be changed in light of what happened. We are still working on it." The HM indicated she would review the clients' financial records by the 5th of every month and she would not question purchases of \$5 or less with no receipt. The HM indicated the policy for "Maintaining Client Accounts" briefly touched on the COH, but did not specify how the COH was to be monitored to ensure the client's funds were safe. The HM indicated the facility did not have a current policy and procedure that addressed how to maintain and protect the clients' COH and/or gift cards.</p> <p>Interview with the QMRP (Qualified Mental Retardation Professional) on 1/15/13 at 4 PM indicated the clients' cash on hand records should match the amount of money in each of the clients' money envelopes without any discrepancies. The QMRP indicated he was not aware of a specific policy that addressed how to maintain and protect the clients' COH and/or gift cards. The QMRP stated "We</p>						

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	<p>are still looking into it."</p> <p>Interview with the RD (Regional Director) on 1/16/13 at 2 PM indicated the 1/7/13 investigation of the misappropriation of funds in regards to clients A, B, C, D, E, F, G and H was still ongoing and was not completed within 5 working days of the date of the allegations. The RD indicated the misappropriation of client funds had not been reported to the local police until 1/15/13 at 3 PM. The QMRP indicated the facility "wanted to make sure the money was gone prior to calling the police." The RD indicated she was not aware of a specific policy that addressed how to maintain and protect the clients' COH and/or gift cards.</p> <p>The facility's policies and procedures were reviewed on 1/16/13 at 2 PM.</p> <p>__The "Group Home Abuse and Neglect" revised policy of 2/28/11 indicated "exploitation includes any deliberate misplacement of individual's money, wrongful use of an individual's money or belongings."</p> <p>__The "Policy for Maintaining Client Accounts" of 4/1/10 did not indicate how the facility was to maintain the clients' cash on hand and gift cards to ensure the clients were not exploited financially.</p> <p>__The "Reporting a reasonable suspicion</p>				

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	<p>of a crime against an individual receiving services in an ICF/MR (Intermediate Care Facility for the Mentally Retarded) funded Group Home" policy of 11/1/2011 indicated the facility policy was to report all alleged, suspected or actual criminal activity by an individual receiving services or an employee, contractor or agent to "at least one local law enforcement agency." The policy indicated "if the events that cause the reasonable suspicion of a crime against an individual result in serious bodily injury, the report must be made immediately after forming the suspicion but not later than two hours after forming the suspicion. Otherwise the report must be made within 24 hours."</p> <p>This federal tag relates to complaint #IN00122303.</p> <p>9-3-2(a)</p>				

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W0156	<p>483.420(d)(4) STAFF TREATMENT OF CLIENTS The results of all investigations must be reported to the administrator or designated representative or to other officials in accordance with State law within five working days of the incident. Based on interview and record review for 8 of 10 investigations reviewed, the facility failed to report the results of an investigation of misappropriation of funds to the administrator and to BDDS (Bureau of Developmental Disabilities Services) in accordance with State law within five working days of the incident for clients A, B, C, D, E, F, G and H.</p> <p>Findings include:</p> <p>The facility records were reviewed on 1/15/13 at 11:30 AM. The facility BDDS (Bureau of Developmental Disabilities Services) reports indicated the following Incident Follow Up Reports on 1/14/13: __On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client A] that was in question is a transaction stating that \$5 was taken out so that [client A] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client A] never</p>	W0156	<p>Corrective action for resident(s) found to have been affected</p> <p>All investigations must be concluded and sent to the administrator within 5 business days. This is current AWS policy.</p> <p>How facility will identify other residents potentially affected and what measures taken</p> <p>All residents could be affected and corrective action plan will be put in place to protect all consumers.</p> <p>Measures or systemic changes facility put in place to ensure no recurrence</p> <p>The Regional Director and the QDDP will be retrained on the AWS policy which states that investigation conclusions must be sent to the administrator within 5 business days.</p>	02/18/2013	

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	<p>bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. The final transaction in question regarding [client A] is for the amount of \$1. According to [client A's] ledger that \$1 was for [client A] to buy a pop at a dance. This writer received a statement from the staff that took [client A] to the dance and she denied [client A] buying a pop that day. There is a total amount of \$6 in question relating to [client A]."</p> <p>__ On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client B] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question. Another transaction regarding [client B] that was in question is a transaction stating that \$5 was taken out so that [client B] could buy a pop or hot</p>		<p>How corrective actions will be monitored to ensure no recurrence The Regional Director will receive all investigations within 5 business days and will sign and date on the date received. These investigations are then submitted to the Vice President for review and signature.</p>				

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	<p>chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client B] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. The final transaction in question regarding [client B] is for the amount of \$1. According to [client B's] ledger that \$1 was for [client B] to buy a pop at a dance. This writer received a statement from the staff that took [client B] to the dance and she denied [client B] buying a pop that day. There is a total amount of \$16 in question relating to [client B]."</p> <p>__On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client C] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question.</p>						

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	<p>Another transaction regarding [client C] that was in question is a transaction stating that \$5 was taken out so that [client C] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client C] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. Another transaction in question regarding [client C] is for the amount of \$1. According to [client C's] ledger that \$1 was for [client C] to buy a pop at a dance. This writer received a statement from the staff that took [client C] to the dance and she denied [client C] buying a pop that day. The final transaction in question states that [client C] purchased a \$10 gift card for both of her brothers for Christmas. This writer spoke with [client C's] brother and he denies [client C] giving them any gift cards for Christmas. There is a total amount of \$36 in question relating to [client C]."</p> <p>__ On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client D] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day</p>						

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	<p>in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question. Another transaction regarding [client D] that was in question is a transaction stating that \$5 was taken out so that [client D] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client D] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. The final transaction in question regarding [client D] is for the amount of \$1. According to [client D's] ledger that \$1 was for [client D] to buy a pop at a dance. This writer received a statement from the staff that took [client D] to the dance and she denied [client D] buying a pop that day. There is a total amount of \$16 in question relating to [client D]."</p> <p>__ On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of</p>			

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	<p>the transactions not being accurate. One transaction regarding [client E] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question. Another transaction regarding [client E] that was in question is a transaction stating that \$5 was taken out so that [client E] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client E] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. Another transaction in question regarding [client E] is for the amount of \$1. According to [client E's] ledger that \$1 was for [client E] to buy a pop at a dance. This writer received a statement from the staff that took [client E] to the dance and she denied [client E] buying a pop that day. The final transaction in question states that [client E] purchased a \$10 gift card for his niece</p>			

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	<p>for Christmas. This writer spoke with [client E's] niece and she denies [client E] giving her a gift card for Christmas. There is a total amount of \$26 in question relating to [client E]."</p> <p>__ On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client F] that was in question is a transaction stating that \$5 was taken out so that [client F] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client F] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. Another transaction in question regarding [client F] is for the amount of \$1. According to [client F's] ledger that \$1 was for [client F] to buy a pop at a dance. This writer received a statement from the staff that took [client F] to the dance and she denied [client F] buying a pop that day. The final transaction in question states that [client F] purchased a \$20 gift card for her parents for Christmas. This writer spoke with [client F's] parents and she denies [client F] giving them a gift card for Christmas. There is a total amount of \$26 in question relating to [client F]."</p>				

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	<p>__ On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client G] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question. Another transaction regarding [client G] that was in question is a transaction stating that \$5 was taken out so that [client G] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client G] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. The final transaction in question regarding [client G] is for the amount of \$1. According to [client G's] ledger that \$1 was for [client G] to buy a pop at a dance. This writer received a statement from the staff that took [client</p>						

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	<p>G] to the dance and she denied [client G] buying a pop that day. There is a total amount of \$16 in question relating to [client G]."</p> <p>__ On 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate. One transaction regarding [client H] involved \$10 taken out for a dinner at [restaurant]. The staff members that worked on the day in question stated that they never went to [restaurant] on that day. Also during the investigation it was determined that the documentation provided to support this transaction was actually and (sic) hand written bill not an actual receipt. No receipt is available at this time. Also the van tracking system installed in the house van shows that the van never went to [restaurant] on the day in question. Another transaction regarding [client H] that was in question is a transaction stating that \$5 was taken out so that [client H] could buy a pop or hot chocolate after seeing Christmas lights out of town. This writer interviewed that staff working on that night and she stated that [client H] never bought a pop or any other beverage after seeing Christmas lights. There is also no receipt supporting this purchase. Another transaction in question regarding [client H] is for the</p>						

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NAME OF PROVIDER OR SUPPLIER AWS			STREET ADDRESS, CITY, STATE, ZIP CODE 820 MENDLESON DR RICHMOND, IN 47374		
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	<p>amount of \$1. According to [client H's] ledger that \$1 was for [client H] to buy a pop at a dance. This writer received a statement from the staff that took [client H] to the dance and she denied [client H] buying a pop that day. The final transaction in question states that [client H] purchased a \$10 gift card for her father for Christmas. This writer spoke with [client H's] father and he denies [client H] giving him a gift card for Christmas. There is a total amount of \$26 in question relating to [client H]."</p> <p>__The Follow up reports of 1/14/13 indicated the suspected staff remained suspended pending the completion of the company's internal investigation.</p> <p>Interview with the QMRP (Qualified Mental Retardation Professional) on 1/15/13 at 2 PM indicated the 1/7/13 investigation of the misappropriation of funds in regards to clients A, B, C, D, E, F, G and H was still ongoing.</p> <p>Interview with the RD (Regional Director) on 1/16/13 at 3 PM indicated the 1/7/13 investigation of the misappropriation of funds in regards to clients A, B, C, D, E, F, G and H was still ongoing and was not completed within 5 working days of the date of the allegations.</p>				

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	<p>This federal tag relates to complaint #IN00122303.</p> <p>9-3-2(a)</p>			

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W0157	<p>483.420(d)(4) STAFF TREATMENT OF CLIENTS If the alleged violation is verified, appropriate corrective action must be taken. Based on interview and record review for 4 of 4 sampled clients (A, B, C and D) and 4 additional clients (E, F, G and H), the facility neglected to ensure effective corrective action was implemented to prevent further incidents of misappropriation of client funds.</p> <p>Findings include:</p> <p>The facility records were reviewed on 1/15/13 at 11:30 AM. The facility Incident Follow Up Reports for 1/14/13 indicated on 1/7/13, "A staff member just happened to be reviewing consumer ledgers and had concerns with some of the transactions not being accurate."</p> <p>The reports indicated: __(No date), clients A, B, C, D, E, F, G and H had \$5 removed from their COH (cash on hand) to buy a pop or hot chocolate after seeing Christmas lights out of town. The report indicated the staff working on that night denied clients A, B, C, D, E, F, G and H bought any beverages while out. The report indicated no receipts supporting a purchase for beverages.</p> <p>__(No date), clients A, B, C, D, E, F, G and H had \$1 removed from their COH to</p>	W0157	<p>Corrective action for resident(s) found to have been affected</p> <p>The date the investigation began the staff was suspended and client funds accounting was taken over by the Manager. This investigation concluded that staff had stolen client funds and gift cards. The investigation was turned over to the Richmond Police Department and the staff was questioned and arrested on felony theft charges.</p> <p>AWS has developed a corporate client finance policy titled Financial Accountability. The Team Leader and Group Home Manager will be trained on this policy and general client funds accounting by the Regional Director.</p> <p>How facility will identify other residents potentially affected and what measures taken</p> <p>All residents could be affected and corrective action plan will be put in place to protect all consumers.</p>	03/01/2013			

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	<p>buy a beverage at a dance. The record indicated the staff who escorted the clients to the dance denied clients A, B, C, D, E, F, G and H purchased a pop at the dance.</p> <p>__(No date), clients B, C, D, E, G and H had \$10 removed from their COH to go out for dinner at (restaurant). The report indicated the staff members that worked on the day in question stated they never went to (restaurant). The report indicated during the investigation it was determined the documentation provided to support this transaction was actually a hand written receipt not an actual restaurant receipt. No receipt was available for review in regards to clients B, C, D, E, G and H going to (restaurant). The report also indicated the facility van tracking system on the van showed the van never went to (restaurant) on the day in question.</p> <p>__(No date), client C purchased two \$10 gift cards for her family and clients E and H purchased \$10 gift cards for their families for Christmas. The report indicated client C's, E's and H's family denied getting any gift cards from clients C, E and H for Christmas.</p> <p>__(No date), client F purchased a \$20 gift card for her family for Christmas. The</p>		<p>Measures or systemic changes facility put in place to ensure no recurrence</p> <p>AWS has developed a corporate client finance policy titled Financial Accountability. The Team Leader and Manager will be trained on this policy by the Regional Director.</p> <p>How corrective actions will be monitored to ensure no recurrence</p> <p>The Group Home Manager reviews and counts cash on hand monthly. The Manager will send a report to the Regional Director monthly communicating how much cash was expected in each cash on hand bag as well as how much was in the bag. The Regional Director will continue to monitor financial records monthly and forward to corporate compliance for additional monitoring.</p>		

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	<p>report indicated client F's family denied getting any gift cards from client F for Christmas.</p> <p>The Follow up reports of 1/14/13 indicated the suspected staff remained suspended pending the completion of the company's internal investigation. "The team is discussing any possible systematic changes that could be put in place that might prevent similar incidents from occurring in the future but feels like the system in place strongly detours any misappropriation of funds."</p> <p>The COH (Cash On Hand) ledgers for clients A, B, C, D, E, F, G and H for January 2013 were reviewed on 1/15/13 at 3:45 PM with the HM (House Manager). Client D's COH ledger indicated the client should have \$11.48. The client had \$12.77 in his money envelope, a difference of \$1.29. Client G's COH ledger indicated the client should have \$26.69. The client had \$28.46 in his money envelope, a difference of \$1.77.</p> <p>Interview with the HM on 1/15/13 at 4 PM stated, "I have no idea why they (clients D and G) have extra money." The HM indicated client D's and G's COH ledger should match the amount in the clients' money envelopes. The HM indicated the clients' COH was</p>						

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	<p>maintained in the home and only she and the TL (Team Leader) had keys to the money. The HM indicated if a client needed cash for something on the weekend, the TL would take the cash out of the client's COH and place it in an envelope in the medication cabinet at which time all or any of the staff would have access to the money in the medication cabinet. The HM indicated whenever money was dispersed to the client, only one staff and the client signed for the transaction. The HM stated, "But I think that needs to be changed in light of what happened. We are still working on it." The HM indicated she would review the clients' financial records by the 5th of every month and she would not question purchases of \$5 or less with no receipt. The HM indicated the policy for "Maintaining Client Accounts" briefly touched on the COH, but did not specify how the COH was to be monitored to ensure the client's funds were safe. The HM indicated the facility did not have a current policy and procedure that addressed how to maintain and protect the clients' COH and/or gift cards. The HM indicated no changes in policy/procedure had been made to ensure further incidents would not occur with the clients' COH personal funds and gift cards.</p> <p>Interview with the QMRP (Qualified</p>				

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	<p>Mental Retardation Professional) on 1/15/13 at 4:15 PM indicated the clients' cash on hand records should match the amount of money in each of the clients' money envelopes without any discrepancies. The QMRP indicated he was not aware of a specific policy that addressed how to maintain and protect the clients' COH and/or gift cards. The QMRP stated, "We are still looking into it."</p> <p>Interview with the RD (Regional Director) on 1/16/13 at 3 PM indicated the 1/7/13 investigation of the misappropriation of funds in regards to clients A, B, C, D, E, F, G and H was still ongoing and no changes had been made in the policy and/or procedure in regards to the clients' COH to ensure an accurate accounting of the clients funds.</p> <p>This federal tag relates to complaint #IN00122303.</p> <p>9-3-2(a)</p>						