

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  15G175	X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING _____	X3) DATE SURVEY COMPLETED  12/05/2014
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NAME OF PROVIDER OR SUPPLIER  RES CARE COMMUNITY ALTERNATIVES SE IN	STREET ADDRESS, CITY, STATE, ZIP CODE 3607 MIDDLE RD JEFFERSONVILLE, IN 47130
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W000000	<p>This visit was for a pre-determined full recertification and state licensure survey.</p> <p>Dates of Survey: December 1, 2, 3, 4, and 5, 2014.</p> <p>Facility Number: 000709 Provider Number: 15G175 AIMS Number: 100243190</p> <p>Surveyor: Dotty Walton, QIDP</p> <p>The following deficiencies reflect state findings in accordance with 460 IAC 9. Quality Review completed 1/14/15 by Ruth Shackelford, QIDP.</p>	W000000		
W000104	<p>483.410(a)(1) GOVERNING BODY The governing body must exercise general policy, budget, and operating direction over the facility. Based on record review and interview, for 2 of 3 sampled clients (#1 and #2), the facility's governing body failed to ensure the policy/procedure which ensured all clients were free of abuse/neglect/financial exploitation was revised, failed to ensure all allegations were thoroughly investigated, failed to ensure all allegations were investigated and findings were reported in five</p>	W000104	<p><b>W104:</b> The governing body must exercise general policy, budget, and operating direction over the facility.</p> <p><b>Corrective Action: (Specific):</b> All staff will be trained on the Abuse Neglect Exploitation Policy and Procedure. Client funds for Client #1 in the amount of \$136.00 and Client #2 in the amount of \$190.00 has reimbursed into the RFMS account</p>	01/26/2015

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>business days and failed to ensure corrective action was completed (repayment of missing client money).</p> <p>Findings include:</p> <p>Review of the facility's investigations and reports to the Bureau of Developmental Disabilities Services/BDDS was done on 12/01/14 at 1:30 PM and 12/02/14 at 10:00 AM. The reports indicated, in part, the following:</p> <p>On 10/01/14 it was reported that clients #1 and #2 were missing personal money which had been kept at the facility. The Investigation was not completed until 10/24/14.</p> <p>The missing money was substantiated; client #1 lost \$136.00 and client #2 lost \$190.00.</p> <p>Review on 12/02/14 at 10:30 AM of the clients' resident funds management system accounting statements for 9/3/14 through 12/01/14 indicated they had not been reimbursed the missing money.</p> <p>The "Abuse/Neglect/Exploitation Policy and Procedure" revision date of 7/02/2012 component of the agency's Operational Policy and Procedure Manual was reviewed on December 01, 2014 at 2:45 PM. The review indicated the agency prohibited neglect, abuse and</p>		<p>on 1/9/15. The Clinical Supervisor will be in-serviced on initiating investigations and completing a thorough investigation as well as having them completed within 5 business days and the final investigation will be sent to the Business Office Manager and all funds will be reimbursed to the RFMS account. A safe was purchased for the home to secure all client finances.</p> <p><b>How others will be identified:</b> <b>(Systemic)</b> The Program Manager will follow up with the Clinical Supervisor at least weekly to ensure that all incidents that require and investigation are initiated and completed within 5 business days. The Program Manager will ensure the Clinical Supervisor submits all finalized investigations to the Business Office Manager to ensure funds are reimbursed to the clients. All investigations will be provided to the Executive Director upon completion for review. The Residential Manager will complete a review of all client finances weekly to ensure that all funds are accounted for. The Clinical Supervisor will review client finances at least one time monthly to ensure the client funds are accounted for.</p> <p><b>Measures to be put in place:</b> All staff will be trained on the Abuse Neglect Exploitation Policy and</p>				

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	<p>exploitation of clients. Definitions were 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." The Policy indicated: Procedure, "4. The QA (Quality Assurance) Director will assign an investigative team and a thorough investigation will be completed within 5 business days of the report of the incident. Once the investigation has been completed, the investigation will be given to the Executive Director or designee for review."</p> <p>Interview with Program Manager #1 on 12/05/2014 at 3:00 PM indicated it was the policy of the agency to report, investigate and implement corrective actions regarding incidents of clients' neglect and abuse. The interview indicated there was no QA Director and the clinical supervisors conducted the investigations of the facilities that were their responsibilities. The interview indicated the agency's policy/procedure was in need of revision.</p> <p>The Governing Body failed to implement policies and procedures which ensured all clients were free of financial exploitation,</p>		<p>Procedure. Client funds for Client #1 in the amount of \$136.00 and Client #2 in the amount of \$190.00 has reimbursed into the RFMS account on 1/9/15. The Clinical Supervisor will be in-serviced on initiating investigations and completing a thorough investigation as well as having them completed within 5 business days and the final investigation will be sent to the Business Office Manager and all funds will be reimbursed to the RFMS account. A safe was purchased for the home to secure all client finances.</p> <p><b>Monitoring of Corrective Action:</b> The Program Manager will follow up with the Clinical Supervisor at least weekly to ensure that all incidents that require and investigation are initiated and completed within 5 business days. The Program Manager will ensure the Clinical Supervisor submits all finalized investigations to the Business Office Manager to ensure funds are reimbursed to the clients. All investigations will be provided to the Executive Director upon completion for review. The Residential Manager will complete a review of all client finances weekly to ensure that all funds are accounted for. The Clinical Supervisor will review client finances at least one time monthly to ensure the client funds are accounted for.</p>				

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	<p>failed to thoroughly investigate allegations, failed to investigate and report findings in five business days and failed to complete corrective action (failure to repay missing client money) for 2 of 3 sampled clients (#1 and #2), please see W149.</p> <p>The Governing Body failed to conduct a thorough investigation regarding clients' missing money for 2 of 3 sampled clients (#1 and #2), please see W154.</p> <p>The Governing Body failed to ensure an investigation of financial exploitation was completed in five business days and the results reported to the administrator and other officials, BDDS/Bureau of Developmental Disabilities Services in accordance with state law for 2 of 3 sampled clients (#1 and #2), please see W156.</p> <p>The Governing Body failed to ensure corrective action (reimbursements of clients' funds) was completed for 2 of 3 sampled clients (#1 and #2), please see W157.</p> <p>9-3-1(a)</p>		Completion date: 1/26/14				

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W000149	<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 2 of 3 sampled clients (#1 and #2), the facility failed to implement policies and procedures which ensured all clients were free of financial exploitation, failed to thoroughly investigate allegations, failed to investigate and report findings in five business days and failed to complete corrective action (failure to repay missing client money).</p> <p>Findings include:</p> <p>Review of the facility's investigations and reports to the Bureau of Developmental Disabilities Services/BDDBS was done on 12/01/14 at 1:30 PM and 12/02/14 at 10:00 AM. The reports indicated, in part, the following:</p> <p>On 10/01/14 it was reported that clients #1 and #2 were missing personal money which had been kept at the facility. The Investigation was not completed until 10/24/14.</p> <p>The missing money was substantiated; client #1 lost \$136.00 and client #2 lost</p>	W000149	<p><b>W149:</b> The facility must develop and implement written policies and procedures that prohibit mistreatment, neglect or abuse of the client.</p> <p><b>Corrective Action: (Specific)</b> All staff will be trained on the Abuse Neglect Exploitation Policy and Procedure. Client funds for Client #1 in the amount of \$136.00 and Client #2 in the amount of \$190.00 has reimbursed into the RFMS account on 1/9/15. The Clinical Supervisor will be in-serviced on initiating investigations and completing a thorough investigation as well as having them completed within 5 business days and the final investigation will be sent to the Business Office Manager and all funds will be reimbursed to the RFMS account. A safe was purchased for the home to secure all client finances.</p> <p><b>How others will be identified: (Systemic)</b> The Program Manager will follow up with the Clinical Supervisor at least weekly to ensure</p>	01/26/2015

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	<p>\$190.00.</p> <p>Review on 12/02/14 at 10:30 AM of the clients' resident funds management system accounting statements for 9/3/14 through 12/01/14 indicated they had not been reimbursed the missing money.</p> <p>The "Abuse/Neglect/Exploitation Policy and Procedure" revision date of 7/02/2012 component of the agency's Operational Policy and Procedure Manual was reviewed on December 01, 2014 at 2:45 PM. The review indicated the agency prohibited neglect, abuse and exploitation of clients. Definitions were 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."</p> <p>Interview with Program Manager #1 on 12/05/2014 at 3:00 PM indicated it was the policy of the agency to report, investigate and implement corrective actions regarding incidents of clients' neglect and abuse.</p> <p>9-3-2(a)</p>		<p>that all incidents that require and investigation are initiated and completed within 5 business days. The Program Manager will ensure the Clinical Supervisor submits all finalized investigations to the Business Office Manager to ensure funds are reimbursed to the clients. All investigations will be provided to the Executive Director upon completion for review. The Residential Manager will complete a review of all client finances weekly to ensure that all funds are accounted for. The Clinical Supervisor will review client finances at least one time monthly to ensure the client funds are accounted for.</p> <p><b>Measures to be put in place:</b> All staff will be trained on the Abuse Neglect Exploitation Policy and Procedure. Client funds for Client #1 in the amount of \$136.00 and Client #2 in the amount of \$190.00 has reimbursed into the RFMS account on 1/9/15. The Clinical Supervisor will be in-serviced on initiating investigations and completing a thorough investigation as well as having them completed within 5 business days and the final investigation will be sent to the Business Office Manager and all funds will be reimbursed to the RFMS account. A safe was purchased for the home to secure all client finances.</p> <p><b>Monitoring of Corrective Action:</b> The Abuse Neglect and Exploitation</p>		

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W000154	<p>483.420(d)(3) STAFF TREATMENT OF CLIENTS The facility must have evidence that all alleged violations are thoroughly investigated.</p> <p>Based on record review and interview, for 2 of 3 sampled clients (#1 and #2), the facility failed to conduct a thorough investigation regarding clients' missing money.</p> <p>Findings include:</p>	W000154	<p>Policy was revised on 1/9/15 and all staff trained were trained on the new policy. Client funds for Client #1 in the amount of \$136.00 and Client #2 in the amount of \$190.00 has reimbursed into the RFMS account on 1/9/15. The Clinical Supervisor will be in-serviced on the initiating investigations and having them completed within 5 business days and the final investigation will be sent to the Business Office Manager and all funds will be reimbursed to the RFMS account. All staff have been in-serviced on the revised Abuse Neglect Exploitation Policy and Procedures. A safe was purchased for the home to secure all client finances.</p> <p><b>Completion date: 1/26/15</b></p> <p><b>W154:</b> The facility must have evidence that all alleged violations are thoroughly investigated.</p> <p><b>Corrective Action: (Specific)</b> All staff will be trained on the Abuse Neglect Exploitation Policy and Procedure. Client funds for Client #1</p>	01/26/2015	

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	<p>Review of the facility's investigations and reports to the Bureau of Developmental Disabilities Services/BDDS was done on 12/01/14 at 1:30 PM and 12/02/14 at 10:00 AM. The reports indicated, in part, the following:</p> <p>On 10/01/14 it was reported that clients #1 and #2 were missing personal money which had been kept at the facility. The Investigation was not completed until 10/24/14.</p> <p>The missing money was substantiated; client #1 lost \$136.00 and client #2 lost \$190.00.</p> <p>Review on 12/02/14 at 10:30 AM of the clients' resident funds management system accounting statements for 9/3/14 through 12/01/14 indicated they had not been reimbursed the missing money.</p> <p>The investigation did not include information as to why the clients had such large amounts of money at the facility. There was no information included in the investigation regarding the clients' home cash on hand accounts which could have explained the large amounts of client funds in the facility.</p> <p>According to review of the facility's undated "Finances" procedure on 12/02/14 at 2:20 PM, the clients are not to have more than \$50.00 in their home cash on hand accounts.</p>		<p>in the amount of \$136.00 and Client #2 in the amount of \$190.00 has reimbursed into the RFMS account on 1/9/15. The Clinical Supervisor will be in-serviced on initiating investigations and completing a thorough investigation as well as having them completed within 5 business days and the final investigation will be sent to the Business Office Manager and all funds will be reimbursed to the RFMS account. A safe was purchased for the home to secure all client finances.</p> <p><b>How others will be identified:</b> <b>(Systemic)</b> The Program Manager will follow up with the Clinical Supervisor at least weekly to ensure that all incidents that require and investigation are initiated and completed within 5 business days. The Program Manager will ensure the Clinical Supervisor submits all finalized investigations to the Business Office Manager to ensure funds are reimbursed to the clients. All investigations will be provided to the Executive Director upon completion for review. The Residential Manager will complete a review of all client finances weekly to ensure that all funds are accounted for. The Clinical Supervisor will review client finances at least one time monthly to ensure the client funds are accounted for.</p>				

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	<p>Interview with Program Manager #1 on 12/05/2014 at 3:00 PM indicated it was the policy of the agency to report, thoroughly investigate and implement corrective actions regarding incidents of clients' neglect and abuse.</p> <p>9-3-2(a)</p>		<p><b>Measures to be put in place:</b> All staff will be trained on the Abuse Neglect Exploitation Policy and Procedure. Client funds for Client #1 in the amount of \$136.00 and Client #2 in the amount of \$190.00 has reimbursed into the RFMS account on 1/9/15. The Clinical Supervisor will be in-serviced on initiating investigations and completing a thorough investigation as well as having them completed within 5 business days and the final investigation will be sent to the Business Office Manager and all funds will be reimbursed to the RFMS account. A safe was purchased for the home to secure all client finances.</p> <p><b>Monitoring of Corrective Action:</b> The Program Manager will follow up with the Clinical Supervisor at least weekly to ensure that all incidents that require and investigation are initiated and completed within 5 business days. The Program Manager will ensure the Clinical Supervisor submits all finalized investigations to the Business Office Manager to ensure funds are reimbursed to the clients. All investigations will be provided to the Executive Director upon completion for review. The Residential Manager will complete a review of all client finances weekly to ensure that all funds are accounted for. The Clinical Supervisor will review client finances at least one</p>		

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W000156	<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.</p> <p>Based on record review and interview for 1 of 12 investigations reviewed, affecting 2 of 3 sampled clients (#1 and #2), the facility failed to ensure an investigation of financial exploitation was completed in five business days and the results reported to the administrator and other officials, BDDS/Bureau of Developmental Disabilities Services in accordance with state law.</p> <p>Findings include:</p> <p>Facility investigations were reviewed on 12/1/14 at 1:30 PM and on 12/2/14 at 10:00 AM and indicated the following:</p> <p>On 10/01/14 it was reported that clients #1 and #2 were missing personal money which had been kept at the facility. The Investigation was not completed until 10/24/14.</p> <p>The missing money was substantiated;</p>	W000156	<p>time monthly to ensure the client funds are accounted for.</p> <p><b>Completion date: 1/26/15</b></p> <p><b>W 156</b> 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.</p> <p><b>Corrective Action: (Specific)</b> All staff will be trained on the Abuse Neglect Exploitation Policy and Procedure. Client funds for Client #1 in the amount of \$136.00 and Client #2 in the amount of \$190.00 has reimbursed into the RFMS account on 1/9/15. The Clinical Supervisor will be in-serviced on initiating investigations and completing a thorough investigation as well as having them completed within 5 business days and the final investigation will be sent to the Business Office Manager and all funds will be reimbursed to the RFMS account. A safe was purchased for the home to secure all client finances.</p>	01/26/2015

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	<p>client #1 lost \$136.00 and client #2 lost \$190.00.</p> <p>Interview with Program Director #1 on 12/02/14 at 2:30 PM indicated the facility's policy was to complete investigations in 5 business days so the results could be reported to the administrator and BDDS.</p> <p>9-3-2(a)</p>		<p><b>How others will be identified:</b> <b>(Systemic)</b> The Program Manager will follow up with the Clinical Supervisor at least weekly to ensure that all incidents that require and investigation are initiated and completed within 5 business days. The Program Manager will ensure the Clinical Supervisor submits all finalized investigations to the Business Office Manager to ensure funds are reimbursed to the clients. All investigations will be provided to the Executive Director upon completion for review. The Residential Manager will complete a review of all client finances weekly to ensure that all funds are accounted for. The Clinical Supervisor will review client finances at least one time monthly to ensure the client funds are accounted for.</p> <p><b>How others will be identified:</b> <b>(Systemic)</b> All staff will be trained on the Abuse Neglect Exploitation Policy and Procedure. Client funds for Client #1 in the amount of \$136.00 and Client #2 in the amount of \$190.00 has reimbursed into the RFMS account on 1/9/15. The Clinical Supervisor will be in-serviced on initiating investigations and completing a thorough investigation as well as having them completed within 5 business days and the final investigation will be sent to the Business Office Manager and all</p>		

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W000157	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	W000157	funds will be reimbursed to the RFMS account. A safe was purchased for the home to secure all client finances.  <b>Monitoring of Corrective Action:</b> The Program Manager will follow up with the Clinical Supervisor at least weekly to ensure that all incidents that require and investigation are initiated and completed within 5 business days. The Program Manager will ensure the Clinical Supervisor submits all finalized investigations to the Business Office Manager to ensure funds are reimbursed to the clients. All investigations will be provided to the Executive Director upon completion for review. The Residential Manager will complete a review of all client finances weekly to ensure that all funds are accounted for. The Clinical Supervisor will review client finances at least one time monthly to ensure the client funds are accounted for.  <b>Completion Date: 1//26/15</b>	01/26/2015	

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  15G175		X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING _____		X3) DATE SURVEY COMPLETED  12/05/2014	
NAME OF PROVIDER OR SUPPLIER  RES CARE COMMUNITY ALTERNATIVES SE IN				STREET ADDRESS, CITY, STATE, ZIP CODE 3607 MIDDLE RD JEFFERSONVILLE, IN 47130			
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	<p>1 of 12 investigations reviewed, affecting 2 of 3 sampled clients (#1 and #2), the facility failed to ensure corrective action (reimbursements of clients' funds) was completed.</p> <p>Findings include:</p> <p>Facility investigations were reviewed on 12/1/14 at 1:30 PM and on 12/2/14 at 10:00 AM and indicated the following:</p> <p>On 10/01/14 it was reported that clients #1 and #2 were missing personal money which had been kept at the facility. The Investigation was not completed until 10/24/14.</p> <p>The missing money was substantiated; client #1 lost \$136.00 and client #2 lost \$190.00.</p> <p>Review on 12/02/14 at 10:30 AM of the clients' resident funds management system accounting statements for 9/3/14 through 12/01/14 indicated they had not been reimbursed the missing money.</p> <p>Interview with accounting staff #1 on 12/02/14 at 11:10 AM indicated the money had not been reimbursed to clients #1 or #2.</p> <p>9-3-2(a)</p>		<p><b>W157:</b> If the alleged violation is verified, appropriate corrective action must be taken.</p> <p><b>Corrective Action: (Specific):</b> All staff will be trained on the Abuse Neglect Exploitation Policy and Procedure. Client funds for Client #1 in the amount of \$136.00 and Client #2 in the amount of \$190.00 has reimbursed into the RFMS account on 1/9/15. The Clinical Supervisor will be in-serviced on initiating investigations and completing a thorough investigation as well as having them completed within 5 business days and the final investigation will be sent to the Business Office Manager and all funds will be reimbursed to the RFMS account. A safe was purchased for the home to secure all client finances.</p> <p><b>How others will be identified: (Systemic):</b> The Program Manager will follow up with the Clinical Supervisor at least weekly to ensure that all incidents that require and investigation are initiated and completed within 5 business days. The Program Manager will ensure the Clinical Supervisor submits all finalized investigations to the Business Office Manager to ensure funds are reimbursed to the clients. All investigations will be provided to the Executive Director upon completion for review. The</p>				

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NAME OF PROVIDER OR SUPPLIER  RES CARE COMMUNITY ALTERNATIVES SE IN	STREET ADDRESS, CITY, STATE, ZIP CODE 3607 MIDDLE RD JEFFERSONVILLE, IN 47130
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			<p>Residential Manager will complete a review of all client finances weekly to ensure that all funds are accounted for. The Clinical Supervisor will review client finances at least one time monthly to ensure the client funds are accounted for.</p> <p><b>Measures to be put in place:</b> All staff will be trained on the Abuse Neglect Exploitation Policy and Procedure. Client funds for Client #1 in the amount of \$136.00 and Client #2 in the amount of \$190.00 has reimbursed into the RFMS account on 1/9/15. The Clinical Supervisor will be in-serviced on initiating investigations and completing a thorough investigation as well as having them completed within 5 business days and the final investigation will be sent to the Business Office Manager and all funds will be reimbursed to the RFMS account. A safe was purchased for the home to secure all client finances.</p> <p><b>Monitoring of Corrective Action:</b> The Program Manager will follow up with the Clinical Supervisor at least weekly to ensure that all incidents that require and investigation are initiated and completed within 5 business days. The Program Manager will ensure the Clinical Supervisor submits all finalized investigations to the Business Office Manager to ensure funds are reimbursed to the</p>	

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