

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 155449	X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING _____		X3) DATE SURVEY COMPLETED 12/08/2011
NAME OF PROVIDER OR SUPPLIER NORTHERN LAKES NURSING AND REHABILITATION CENTER			STREET ADDRESS, CITY, STATE, ZIP CODE 516 N WILLIAMS ST ANGOLA, IN46703		
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F0000	<p>This visit was for the Investigation of Complaint IN00100041.</p> <p>Complaint IN00100041-Substantiated-Federal/state deficiencies related to the allegations are cited at F225 and F226.</p> <p>Survey dates: December 7, 8, 2011</p> <p>Facility number: 000426 Provider number: 155449 AIM number: 100275480</p> <p>Survey team: Ann Arney, RN- TC Diane Nilson, RN</p> <p>Census bed type: SNF: 5 SNF/NF: 75 Total: 80</p> <p>Census payor type: Medicare: 9 Medicaid: 41 Other: 30 Total: 80</p> <p>Sample: 5</p> <p>These deficiencies reflect state findings</p>	F0000	<p>Submission of this response and plan of correction is not a legal admission that a deficiency exists or that this statement of deficiency was correctly cited, and is not to be construed as an admission of interest against the facility, the administrator or any employees, agents or other individuals who draft or may be discussed in this response and plan of correction. In addition, preparation and submission of this plan of correction does not constitute an admission or agreement of any kind by the facility of the truth of any facts alleged or the correctness of any conclusions set forth in this allegation by the survey agency. Please accept the following as our Plan of Correction and Allegation of Compliance for our recent Complaint Survey of December 8, 2011. The facility respectfully request that with the submission of attachments that our plan of correction receive a desk review.</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.

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

PRINTED: 01/03/2012

FORM APPROVED

OMB NO. 0938-0391

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	cited in accordance with 410 IAC 16.2. Quality review completed on December 12, 2011 by Bev Faulkner, RN				

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F0225 SS=C	<p>The facility must not employ individuals who have been found guilty of abusing, neglecting, or mistreating residents by a court of law; or have had a finding entered into the State nurse aide registry concerning abuse, neglect, mistreatment of residents or misappropriation of their property; and report any knowledge it has of actions by a court of law against an employee, which would indicate unfitness for service as a nurse aide or other facility staff to the State nurse aide registry or licensing authorities.</p> <p>The facility must ensure that all alleged violations involving mistreatment, neglect, or abuse, including injuries of unknown source and misappropriation of resident property are reported immediately to the administrator of the facility and to other officials in accordance with State law through established procedures (including to the State survey and certification agency).</p> <p>The facility must have evidence that all alleged violations are thoroughly investigated, and must prevent further potential abuse while the investigation is in progress.</p> <p>The results of all investigations must be reported to the administrator or his designated representative and to other officials in accordance with State law (including to the State survey and certification agency) within 5 working days of the incident, and if the alleged violation is verified appropriate corrective action must be taken.</p> <p>Based on interview and record review, the facility failed to provide documentation they applied for criminal history background reports within three business days from the date of employment in</p>	F0225	Activity Aide #1, Activity Aide #2, C.N.A. #3, C.N.A. # 4, and C.N.A. #5 all have criminal checks on file. An audit of all new hires from the past 3 months have been reviewed and found to be in	12/20/2011	

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	<p>accordance with state code IC 16-28-13-4. This deficiency affected five of five recently hired employees, whose personnel files were reviewed. (Activity Assistant #1, Activity Assistant #2, CNA (Certified Nursing Assistant) #3, CNA #4, and CNA #5) and potentially affected all residents in the facility.</p> <p>Findings Include:</p> <p>On 12/8/11 at 11:30 a.m., the personnel records of five recently hired employees were reviewed as follows:</p> <p>Activity Aide #1 was oriented to the facility on 11/15/11 and had worked in the facility 10 days following his orientation (11/18, 19, 20, 21, 22, 30/11, and 12/3, 4, 5, 7/11).</p> <p>Activity Aide #2 was oriented on 11/17/11 and worked in the facility 10 days following her orientation (11/22, 23, 28, 29/11 and 12/1, 3, 4, 6, 7, 8/11).</p> <p>CNA #3 was oriented on 11/22/11 and worked in the facility 11 days (11/23, 25, 27, 28, 29/11 and 12/1, 2, 3, 4, 6, 7/11).</p> <p>CNA #4 was oriented on 11/22/11 and had worked nine days (11/23, 27, 28/11 and 12/2, 3, 4, 5, 6, 8/11).</p>		<p>compliance with Criminal Check results (see attached audit form). We now log all criminal check requests (see attached form) that includes Employee Name, Date of Hire, Date Criminal Check sent certified mail, the money order #, certified/article number, and date received back. The administrator re-educated Human Resources, Business Office Manager, and department managers on our Hiring process including Criminal Background Checks. (see attached inservice education). The administrator will audit all new hires weekly for 4 weeks (see attached audit form) and report findings to the QA committee monthly. Continued compliance will be maintained through monthly Quality Assurance new hire review.</p>		

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	<p>CNA #5 was oriented on 11/29/11 and had worked five days (12/3, 4, 5, 7, 8/11).</p> <p>There were no criminal background checks in the personnel files and there was no record or documentation regarding when the criminal background checks were requested.</p> <p>On 12/8/11 at 2:30 p.m., the Administrator indicated they had no record of when the requests for the criminal background checks were mailed. She indicated she called the State Police but they would not provide any information and the money orders sent with the criminal background requests had been purchased earlier and would not reflect the date the requests were made. As a result, she was unsure if the crime check requests had been sent within three business days of employment for the five employees reviewed.</p> <p>The Indiana Code (IC) 16-28-13-4 includes the following: "A person who operates or administers a health care facility shall apply within three business days from the date a person is employed as a nurse aide or other unlicensed employee...and a limited criminal history from the Indiana central repository for criminal history information...."</p>				

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F0226 SS=C	<p>The Abuse Prohibition Policy, dated 8/04, provided by the Administrator and reviewed on 12/8/11 at 2:40 p.m., indicated "It is the policy (Facility's Name) to screen all prospective employees... 2. All new employees are screened per State Police Background checks upon hire..."</p> <p>The Employee Handbook, dated 1/10, provided by the Administrator and reviewed on 12/8/11 at 2:45 p.m., indicated, "... Job offers for new employees or eligible former employees...are contingent upon successful completion of reference checks, criminal background checks,..."</p> <p>This Federal tag relates to Complaint IN00100041.</p> <p>3.1-14(a) 3.1-28(b)(1)(A)</p> <p>The facility must develop and implement written policies and procedures that prohibit mistreatment, neglect, and abuse of residents and misappropriation of resident property. Based on interview and record review, the facility failed to have a policy and procedure in place to ensure criminal</p>	F0226	Activity Aide #1, Activity Aide #2, C.N.A. #3, C.N.A. # 4, and C.N.A. #5 all have criminal checks on file. An audit of all new hires from	12/20/2011	

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	<p>history background reports were applied for within three business days from the date of employment.</p> <p>This deficiency affected five of five recently hired employees whose personnel files were reviewed. (Activity Assistant #1, Activity Assistant #2, CNA (Certified Nursing Assistant) #3, CNA #4, and CNA #5) and potentially affected all residents in the facility.</p> <p>Findings Include:</p> <p>On 12/8/11 at 11:30 a.m., the personnel records of five recently hired employees were reviewed as follows:</p> <p>Activity Aide #1 was oriented to the facility on 11/15/11 and had worked in the facility 10 days following his orientation (11/18, 19, 20, 21, 22, 30/11, and 12/3, 4, 5, 7/11).</p> <p>Activity Aide #2 was oriented on 11/17/11 and worked in the facility 10 days following her orientation (11/22, 23, 28, 29/11 and 12/1, 3, 4, 6, 7, 8/11).</p> <p>CNA #3 was oriented on 11/22/11 and worked in the facility 11 days (11/23, 25, 27, 28, 29/11 and 12/1, 2, 3, 4, 6, 7/11).</p> <p>CNA #4 was oriented on 11/22/11 and had worked nine days (11/23, 27, 28/11</p>		<p>the past 3 months have been reviewed and found to be in compliance with Criminal Check results (see attached audit form). We now log all criminal check requests (see attached form) that includes Employee Name, Date of Hire, Date Criminal Check sent certified mail, the money order #, certified/article number, and date received back. Policy & Procedure was developed for Hiring Practices (see attached policy). The administrator re-educated Human Resources, Business Office Manager, and department managers on P&P for Hiring practice, and completion of Criminal Background Checks. (see attached inservice education). The administrator will audit all new hires weekly for 4 weeks (see attached audit form) and report findings to the QA committee monthly. Continued compliance will be maintained through monthly Quality Assurance new hire review.</p>		

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	<p>and 12/2, 3, 4, 5, 6, 8/11).</p> <p>CNA #5 was oriented on 11/29/11 and had worked five days (12/3, 4, 5, 7, 8/11).</p> <p>There were no criminal background checks in the personnel files and there was no record or documentation regarding when the criminal background checks were requested.</p> <p>On 12/8/11 at 2:30 p.m., the Administrator indicated they had no record of when the requests for the criminal background checks were mailed. She indicated she called the State Police, but they would not provide any information and the money orders sent with the criminal background requests had been purchased earlier and would not reflect the date the request were made. As a result, she was unsure if the crime check requests had been sent within three business days of employment for the five employees reviewed.</p> <p>The administrator further indicated the facility's policy for criminal background checks did not specify specific time frames for applying for the criminal background reports.</p> <p>The Abuse Prohibition Policy, dated 8/04, provided by the Administrator and reviewed on 12/8/11 at 2:40 p.m.,</p>						

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	<p>indicated "It is the policy (Facility's Name) to screen all prospective employees...</p> <p>2. All new employees are screened per State Police Background checks upon hire..."</p> <p>The Indiana Code (IC) 16-28-13-4 includes the following: "A person who operates or administers a health care facility shall apply within three business days from the date a person is employed as a nurse aide or other unlicensed employee for a copy of the person's state nurse aide registry report from the state department and a limited criminal history from the Indiana central repository for criminal history information...."</p> <p>The Employee Handbook, dated 1/10, provided by the Administrator and reviewed on 12/8/11 at 2:45 p.m., indicated, "... Job offers for new employees or eligible former employees...are contingent upon successful completion of reference checks, criminal background checks,..."</p> <p>This Federal tag relates to Complaint IN00100041.</p> <p>3.1-28(a)</p>				

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