

**Health Regulation & Licensing**

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  CPA-003	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING: _____	(X3) DATE SURVEY COMPLETED  06/12/15
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NAME OF PROVIDER OR SUPPLIER  LUTHERAN SOCIAL SERVICES OF NCA, INC	STREET ADDRESS, CITY, STATE, ZIP CODE 4406 GEORGIA AVENUE NW WASHINGTON, DC 20011
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S 000	<p>Initial Comment</p> <p>An annual licensure survey was conducted from June 11, 2015 through June 12, 2015. The sample sizes were fourteen (14) personnel records based on a census of (25) twenty five, sixteen foster (16) foster family records based on a census of forty six (46); and, twenty-five (25) foster child records based on a census of (56) fifty six.</p> <p>The survey findings were based on interviews and the review of administrative records.</p> <p>Note: The below are abbreviations that may appear throughout the body of this report.</p> <p>Child Placing Agency - CPA Foster Child - FC Foster Family - FF Quality Assurance - QA FACES - FACES.NET (District of Columbia's Statewide Automated Child Welfare System Family and Children Electronic System)</p>		<p>Department of Health Health Regulation &amp; Licensing Administration Intermediate Care Facilities Division 899 North Capitol St., N.E. Washington, D.C. 20002 <i>Received 10/12/15 CW</i></p>	
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S 095	<p>1611.1(c) Personnel Records</p> <p>(c) At least three (3) letters of reference;</p> <p>This CONDITION is not met as evidenced by: Based on record review and interview, the CPA failed to obtain at least three letters of reference for two (2) of the fourteen (14) personnel records reviewed. (Employee #4 and #7)</p> <p>The findings include:</p> <p>On June 11, 2015, beginning at 10:49 a.m., review of Employee #4's personnel record revealed two letters of reference were included in the files presented. Further record review</p>	S 095	<p>The HR Director implemented a new process to ensure new staff references are completed prior to their start date. The HR Department will do quarterly file audits to ensure references have been added to each employee's personnel file.</p>	9/15/15
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S 095	Continued From page 1 revealed Employee #4's hire date was May 13, 2013. Similarly, beginning at approximately 11:00 a.m., review of Employee #7's personnel records revealed no evidence that letters of reference were obtained prior to his/her November 1, 2013 date of hire. Interview with the Director of Human Resource on June 12, 2015, at 12:15 p.m., revealed that the  At the time of the survey, the CPA failed to ensure that each employee's personnel file documented at least three letters of reference.			
S096	1611.1(d) Personnel Records  (d) Annual performance evaluations signed by both the employee and supervisor;  This CONDITION is not met as evidenced by: Based on record review and interview, the agency failed to ensure that employees had annual performance evaluations signed by both the employee and the supervisor, for ten (10) of the fourteen (14) personnel files reviewed. (Employees #1, #3, #4, #5, #7, #8, #9, #10, #12, and #13)  The finding includes:  On June 11, 2015, beginning at 10:49 a.m., review of the personnel records revealed no	S 096	The HR Department will continue to initiate the agency annual review period in August – September. Hiring managers will receive notifications of when reviews are due, and when a copy has not been submitted to the HR Department. The HR department will conduct monthly audits to identify files without reviews  Adoption/Foster Care hiring managers will receive formal feedback for as well as a time line to submit outstanding reviews	9/1/15

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S 096	Continued From page 2  evidence that Employees #1, #3, #4, #5, #7, #8, #9, #10, #12, and #13 had annual performance evaluations signed by both the employees and the supervisor.  On June 12, 2015, at approximately 12:20 p.m., interview with the Director of Human Resource confirmed by stating "There is not an updated annual performance evaluation for these employees."  At the time of the survey, the CPA failed to consistently document annual performance evaluations for all employees, and to ensure that every evaluation was signed by both the supervisor and the employee			
S101	1611.1(i) Personnel Records  (i) Signed statement by employee that written personnel policies were reviewed;  This CONDITION is not met as evidenced by: Based on record review and interview, the agency failed to ensure that three (3) of fourteen (14) employees had a signed statement by the employee that written personnel policies were reviewed. (Employees #6, #9 and #12)  The finding includes: Review of personnel records on June 11, 2015, at 10:49 a.m. revealed the agency failed to ensure that Employees #6, #9 and #12 had a signed statements that personnel policies were reviewed.  Interview with the Director of Human Resource on June 12, 2015 at 12:20 p.m., revealed that there	S 101	The HR Department will retrieve orientation documentation for employees cited, as well as from all new hires, by the Adoption/Foster Care next department meeting, or no later than 90 days.  The Adoption/Foster Care Department, in partnership with the HR department, has implemented a new hire orientation which will ensure that all required onboarding documentation is gathered for an employee's personnel file, within 30 days of start date. Quarterly audits will be done of personnel files to ensure documents are in the file.	9/15/15

*Theresa Calene 7/15*

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S101	Continued From page 3 was not a signed statement for Employees #6, #9 and #12 that indicated that they had reviewed the agency's employee files.  At the time of the survey, the CPA failed to ensure that each employee signed a statement to indicate that personnel policies were reviewed.				
S 103	1611.1(k) Personnel Records  (k) Physical examination reports required in section 1612.2;  This CONDITION is not met as evidenced by: Based on record review and interview, the agency failed to ensure that every employee's personnel record included a current physical examination report as required in section 1611.1, for one (1) of the fourteen (14) employee files reviewed. (Employee #3)  The finding includes:  On June 11, 2015, beginning at 10:49 a.m., review of the personnel records revealed no evidence that Employee #3 had a current physical examination report or a tuberculosis screening in his/her file.  Interview with the Director of Human Resource on June 12, 2015, at 12:20 p.m., confirmed the aforementioned finding. The Director of Human Resource stated that every employee was required to secure an annual physical.	S 103	The HR Department will update current process, to provide employees 90 days' notice of physical expiration in order to allow for the timely submission of updated results. Quarterly audits will be done of personnel files to ensure documents are in the file.	9/15/15	
S 105	1611.1(m) Personnel Records  (m) Job position description.				

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7/15/15



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S 105	Continued From page 4  This CONDITION is not met as evidenced by: Based on record review and interview, the agency failed to ensure that each employee's job description was included in their personnel records, for two (2) of the fourteen (14) employee files reviewed. (Employees #6 and #7)  The finding includes:  On June 11, 2015, beginning at 10:49 a.m. review of the personnel records revealed no evidence that Employees #6 and #7 had each been given a job description.  On June 12, 2015, at approximately 12:20 p.m., the Director of Human Resource stated that she was unable to locate Employees #6 and #7 job description.	S 105	The HR Department has received and filed the job descriptions of those employees that were cited.  The Adoption/Foster Care Department staff review and sign updated job description during the next department staff meeting and/or no later than 07/15/2015.  The Adoption/Foster Care Training Coordinator, in partnership with the HR department, has implemented a new hire orientation which will ensure that all required onboarding documentation is gathered for an employee's personnel file within 30 days of start date.	07/15/15  07/15/15
S109	1612.2 Staff Functions And Qualifications  Each child-placing agency shall require a written report on the applicant's mental and physical conditions including addictions which could adversely affect the applicant's capacity to work with children.  This CONDITION is not met as evidenced by: Based on record review and interview, the agency failed to ensure that every employee's personnel record included a current physical examination report as required in section 1611.1, for one (1) of the fourteen (14) employee files reviewed. (Employee #3)	S 109	The HR Department will update current process, to provide employees 90 days' notice of physical expiration in order to allow for the timely submission of updated results. Quarterly audits will be done of personnel files to ensure documents are in the file.	08/01/15

*Patricia A. Cooney* 7/15/15

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S 109	Continued From page 5  On June 11, 2015, beginning at 10:49a.m., review of the personnel records revealed no evidence that Employee #3 had a current physical examination report or a status of mental condition.  Interview with the Director of Human Resource on June 12, 2015, at 12:20 p.m., confirmed the aforementioned finding. The Director of Human Resource stated that every employee was required to secure an annual physical.	S 109		
S 298 1625.1(d)	(d) Documentation of the agency's contacts with at least three (30 references; 1 was missing from 1 of 16 records reviewed.	S 298 1625.1(d)	The agency will adjust its internal record review process to audit 100% of newly licensed foster parent files within that month.  The licensing coordinator will obtain an additional reference for foster parent #1 and file in the record.	9/1/15  9/15/15
S 510 1643.3(b)	(b) Obtain age appropriate health supervision for child(ren) in care to include at least annual medical and dental examinations. This supervision will include emergency and routine medical care and correction of remedial medical problems of each child.	S 510 1643.3(b)	To improve ongoing compliance, the agency will maintain a tracking system of youth medical exam dates. 90 days before the anniversary date of the last physical, social worker will follow up with foster parents in regards to scheduling appointment.  To improve the collection of the documents/evidence of completed physicals, foster parents will be informed to leave the forms with the Doctor's office and list the agency's address to mail the completed form.  In an effort to bring the cited records into compliance, social workers or identified staff will seek to obtain documentation of youth physicals that were completed from the foster parent of Doctor's office.	9/15/15  9/19/15  10/1/15

*Aleneuf Colone 7/15/15*