

Health Regulation & Licensing Administration

*Received
8/7/18*

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 07/03/2018
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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 Initial Comments S 000

An annual licensure survey was conducted on 06/21/18 and 07/03/18. The survey findings were based on interview and the review of personnel records, which included four foster children, four foster families, 19 adoptive families, 12 employees, one SW contractor, and 13 board members.

Listed below are abbreviations that appear throughout the body of this report:

- AP - Adoptive Parent(s)
- BOD - Board of Directors
- CPA - Child Placing Agency
- CPR - Child Protection Report
- DFS - Director of Family Services
- ED - Executive Director
- FBI - Federal Bureau of Investigation
- FC - Foster Child
- HS - Home Study
- PM - Program Manager
- PPD - Purified Protein Derivative
- SW - Social Worker

S 011 1602.5 BOARD OF DIRECTORS S 011

Members of the Board shall be of good character as determined by letters of reference and criminal background investigations.

This CONDITION is not met as evidenced by: Based on record review and interview, the CPA failed to provide evidence that letters of reference had been obtained for five of 13 BOD members (BOD #2, #4, #5, #6 and #13) and failed to have evidence of the completed comprehension criminal background checks for each member of the BOD for five of 13 current BOD members (BOD #2, #5, #6, #11 and #13).

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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

Shirley J. Cole

TITLE

VP of Admin & Program Development

(X6) DATE

8/7/2018

STATE FORM

8899

Q5TL11

If continuation sheet 1 of 7

**Initially Submitted on 7/27/2018*

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S 011

Findings included:

During the entrance conference on 06/21/18 at 11:30 AM, personnel records were requested for all BOD members of the CPA.

Review of personnel records for BOD #2, #4, #5, #6, and #13 personnel records on 06/21/18 beginning at 1:21 PM revealed no evidence that letters of reference were available to determine that the BOD members were of good character.

Review of personnel records BOD #2, #5, #6, #11 and #13 on 06/21/18 at 1:21 PM revealed no evidence that criminal background clearance from the FBI, CPR, or a local jurisdiction had been completed by the CPA. When interviewed at 3:00 PM, the DFS confirmed that there were no letters of reference and/or background clearances as a part of the personnel files for BOD members #2, #4, #5, #6, #11 and #13.

At the time of the survey, the CPA failed to provide evidence that comprehensive background clearances and letters of references had been obtained for the aforementioned BOD members.

S 096 1611.1(d) Personnel Records

S 096

(d) Annual performance evaluations signed by both the employee and supervisor;

This CONDITION is not met as evidenced by: Based on interview and record review, the CPA failed to ensure that each employee's record included a signed annual evaluation for two of the 12 employee files reviewed (Employee #1 and #2).

1602.5 – The HR Department will obtain a Letter of Reference at the time in which the Candidate accepts the nomination and submits a resume. Prior to taking their seat on the Board and attending their first Board Meeting, LSS will obtain all comprehensive criminal background clearances. The HR Department will send out notifications to Board Members twice a year, pending expiration of clearances, in order to ensure comprehensive criminal background clearances remain current and filed for all Board Members.

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S 096	Continued From page 2 Findings included: Review of the personnel files on 06/21/18 at 11:15 AM revealed no evidence that Employee #1 and Employee #2 had annual performance evaluations as part of their personnel files. Interview with the DFS at approximately 1:30 PM is confirmed that both Employee #1 and #2 did not have a completed annual evaluations in their personnel files. At the time of the survey, the CPA failed to ensure that all employee files contained a completed and signed annual performance evaluation.	S 096	1611.1(d) – Each employee will receive an initial 6-month Performance Review, and subsequent Annual Performance Reviews. The HR Department will continue to initiate the agency Annual Performance Review period in October. Hiring Managers will receive notifications of when reviews are due, and when a copy has not been submitted to HR. The HR Department will conduct monthly audits to identify files without reviews. Adoption/Foster Care Hiring Managers will submit all outstanding reviews by 8/27/2018.	8/27/2018
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S 105	1611.1(m) Personnel Records (m) Job position description. 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 one of the 12 employee files reviewed (Employee #8). Findings included: On 06/21/18 at 1:21 PM, review of Employee #8's personnel records revealed no evidence of a job description. At 2:00 PM, the DFS reviewed Employee #8's personnel record and confirmed that there was not a signed job description within the personnel file. At the time of the survey, the CPA failed to ensure that each employee record contained a signed job description.	S 105	1611.1(m) – An Employee will physically receive a copy of their Job Description at the time of their offer in order to review. During the Employee's first two-weeks of work, the Supervisor will review the Job Description with the Employee and secure the Employee's signature. The HR Department will conduct quarterly file audits to ensure the completed Job Description is in the file.	8/27/2018
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S 109 1612.2 Staff Functions And Qualifications S 109

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 CPA failed to ensure that each employee's personnel record included a written report on his or her physical and mental condition for one of 12 employees in the sample (Employee #12).

Findings included:

Review of personnel records on 06/21/18 at 1:21 PM revealed that Employee #12's personnel file included evidence of a routine adult health check up exam on 06/11/18. The check up exam form indicated results of findings of the doctors examination. Further review revealed a PPD was administered on 07/02/18. The PPD form indicated that Employee #12's PPD results could be read on 07/05/18.

At the time of the survey, the CPA failed to ensure that each employee obtained a complete evaluation of his or her physical condition.

1612.2 - The HR Department will provide Employees a 90-day notice of physical expiration in order to allow for the timely submission of updated results. The HR Department will conduct quarterly file audits to ensure that each Employee has a current medical report.

8/27/2018

S 295 1625.1(a) Adoption Records S 295

(a) The application with photograph;

This CONDITION is not met as evidenced by: Based on record review and interview, the CPA failed to ensure that each application on file included a photograph of the prospective

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parent(s) for seven of 19 parent adoptive records reviewed (APs #1, #2, #3, #4, #5, #7 and #12).

Findings included:

Review of the records maintained for adoptive parents #1, #2, #3, #4, #5, #7 and #12 on 07/03/18 beginning at 11:26 AM revealed no evidence of photographs with the applications. During an interview on 07/03/18 at 3:45 PM, the PM for the Adoptions Program acknowledged that the applications for APs #1, #2, #3, #4, #5, #7 and #12 did not contain a photograph of the parents.

At the time of the survey, the CPA failed to ensure that each file maintained for applicants included a photograph of the prospective parent(s).

1625.1(a) – The Adoption Program Manager will audit all records and ensure that a family photo is in each record. The Adoption Department staff will obtain photographs of each prospective adoptive parent(s) prior to the finalization of the home study. The Adoption Program Manager will conduct quarterly file audits to ensure that each file has a photograph of the prospective adoptive parent(s).

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S 344 1628.14(b) Social Services Related To Child Placing S 344

(b) The child's record which shall include the following:
 (1) Full name; (2) Address and telephone number of birth parents; (3) Race; (3) Sex; (4) Date and place of birth; (5) Nationality; (6) Health including medical history of past generations; (7) Physician's report, illnesses, immunization reports, and dental records; (8) Full names of children, siblings, grandparents and significant others of birth parents; (9) Social security number, if available; (10) Birth history; (11) Developmental history; (12) Birth certificate number; (13) Daily scheduled activities; (14) School records; (15) Dates of placement and address and names of adoptive foster parents; (16) Documents pertaining to the child's legal status; and (17) Summary of family history and

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S 344

an assessment of circumstances leading to the case plan for the child and maintain progress reports.

This CONDITION is not met as evidenced by: Based on interview and record review, the CPA failed to ensure that each child's record included a social security number for one of the four FC (FC #3) and a birth certificate for one of the four FC (FC #4).

Findings included:

1. The CPA failed to ensure that each FC's record included a social security number for one of the four FC (FC #3).

On 06/21/18 at 12:25 PM, review of FC #3's record revealed no evidence of a social security card. Further review of the record revealed that the SW had applied for a social security card on 11/4/14 and 09/30/16, however there was no evidence that a social security card or number had been obtained from the social security office.

At the time of the survey, there was no evidence that FC #3 had social security card in the record.

2. The CPR failed to ensure the each FC's record included a birth certificate for one of the four FC (FC #4).

On 06/21/18 at 12:40 PM, review of FC #4's record revealed no evidence of a birth certificate. Interview with the DFS at 1:00 PM confirmed that FC #4's record did not contain a birth certificate.

At the time of the survey, the CPA failed to ensure that FC #4's record included a copy of his or her birth certificate.

1628.14(b) – The Social Worker will submit the Social Security Card application for the respective youth within the first 30-days of admission, when appropriate. The Social Worker will document efforts to obtain the youth's Social Security Card in the youth's file. The Clinical Supervisor will conduct monthly file audits to ensure that each file has a Social Security Card, when appropriate.

The Social Worker will document in the respective youth's file the rationale for the youth not having a birth certificate, when necessary. The Clinical Supervisor will conduct monthly file audits to ensure that each youth has either a birth certificate or notification indicating the rationale for not having a birth certificate.

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