

Health Regulation & Licensing Administration

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 09/30/2016
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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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(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)	(X5) COMPLETE DATE
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S 000 Initial Comments

S 000

An annual licensure survey was conducted on September 29, 2016 through September 30, 2016. The survey findings were based on staff interview and the review of seven (7) personnel records, based on a census of twenty-four (24) employees. Four (4) foster parent records, based on a census of seven (7) foster parent/families, and six (6) board member records based on a census of eleven (11) members.

The survey findings were based on interview and the review of records.

Note: The below are abbreviations that may appear throughout the body of this report.

Board of Directors - BOD
Child Placement Agency - CPA

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.

In the transition from the previous CEO to the new CEO in the beginning of 2016, the information on required references and resumes was lost.

This CONDITION is not met as evidenced by: Based on interview and record review, the CPA failed to show evidence that letters of reference had been obtained for each member of its Board of Directors, for six (6) of eleven (11) board members (BODs #1, #2, #3, #4 #5 and #6)

All board members who are missing references will be required to submit reference documentation by 11/30/16. References will be filed in corresponding records immediately.

The findings include:

All board members will be in compliance by 11/30/16. The CEO Assistant will be responsible for obtaining and filing references and ensuring ongoing compliance.

On September 30, 2016, beginning at 10:05 a.m., review of the CPA's 2016 records for Board of Directors #1, #2, #3, #4 #5 and #6 revealed no documented evidence of letters of reference.

Going forward, prospective board members will be required to submit references prior to being appointed.

Health Regulation & Licensing Administration LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE <i>Richelle L. Coleman</i>	TITLE <i>Exec. Director Children's Services</i>	(X6) DATE <i>11/4/16</i>
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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 011 Continued From page 1

Interview with the facility's PD on September 30, 2016, at 2:01 p.m. via telephone was conducted to inform Program Director of the surveyor's findings. Continued discussion with the Program Director revealed that she was not aware that letters of reference were required for each member of the board.

At the time of the survey, there was no evidence that the CPA obtained letters of reference for all members of its Board of Directors.

S 011

New Board members will be made aware when the nomination is in process that they will be expected to comply with this regulation. This regulation will also be added to the by-laws of the Board of Directors.

This amendment will be in effect by 11/30/16.

S 096 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 CPA failed to ensure that each personnel record included performance evaluations and to ensure that the evaluations were signed by both the employee and the supervisor for four (4) of the twelve (12) records reviewed. (Employees #2, #4, #8, and #10)

The findings include:

On September 30, 2016, beginning at 10:34 a.m., review of personnel records revealed that four (4) of 12 (twelve) employees (Employees #2, #4, #8, and #10) had been employed for more than a year. Continued review revealed the following:

I. Employee #2's record revealed a date of hire of July 20, 2015. At the time of the survey, there was no documented evidence of an annual

S 096

Performance evaluations have been done online. Going forward, these evaluations will be printed and reviewed by the supervisor with the employee. Once the review is complete, the evaluation will be signed by both parties and given to the HR Assistant for filing in the personnel record.

Personnel records will be in compliance by 11/30/16. The HR Assistant will ensure ongoing compliance by ensuring all evaluations are signed before filing.

The HR Assistant will monitor compliance through monthly internal audits.

K Michelle L. Colenan

9899 7VNK11
Exec Director - Children's Services

11/4/16

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S 096	<p>Continued From page 2</p> <p>performance evaluation after the employee's one year anniversary, (July 20, 2016) conducted.</p> <p>II. Employee #4's record included an annual performance evaluation dated October 1, 2015. Although the evaluation was signed by the employee, there was no documented evidence of the signature of Employee #4's supervisor.</p> <p>III. Employee #S's record included an annual performance evaluation dated October 20, 2015. Although the evaluation was signed by the employee, there was no documented evidence of the signature of Employee #S's supervisor.</p> <p>IV. Employee #10's record revealed a date of hire of February 2, 2015. At the time of the survey, there was there was no documented evidence of an annual performance evaluation after the employee's one year anniversary, (February 2, 2016).</p> <p>It should be noted that prior to the review of the personnel records on September 29, 2016, at 10:00 a.m., the surveyor was introduced to the CPA's Human Resources Coordinator. On the next day, September 30, 2016, at 10:25 a.m., the agency's Quality Assurance Manager, revealed that the Human Resources Coordinator would not be available for interview due to the agency's prescheduled job fair. On September 30, 2016, at 4:45 p.m., the clinical director and the records coordinator were present for the exit conference. The clinical director indicated that the aforementioned deficiencies would be reported to the CPA's Human Resources Coordinator on the next business day, because there was no one available to provide/address the missing performance evaluations.</p>	S 096		
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Achille L. Coleman EXEC. Director Children's Services 11/4/16