

Health Regulation & Licensing Administration

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: CPA-0069	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING: _____	(X3) DATE SURVEY COMPLETED 05/04/2017
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Received 6/16/17

NAME OF PROVIDER OR SUPPLIER PCC STRIDE INC	STREET ADDRESS, CITY, STATE, ZIP CODE 3001 BLADENSBURG ROAD NE WASHINGTON, DC 20018
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S 000	<p>Initial Comments</p> <p>A licensure survey was conducted on May 4, 2017. The survey findings were based on interview with administrators and review of personnel and administrative records, as well as the review of foster parent records.</p> <p>The findings were based on the review of all personnel records (6 files) and foster parent records (1 file).</p> <p>Note: The below are abbreviations that may appear throughout the body of this report.</p> <p>BOD - Board of Directors CPA - Child Placing Agency ED - Executive Director email - Electronic Mail HRLA - Health Regulation and Licensing Administration PD - Program Director</p>	S 000	<p>S000 - PCC Stride acknowledges the number of staff (personnel records) and foster parent (foster parent record) files stated in the POC are accurate.</p>	June 1, 2017
S 009	<p>1602.3 Board Of Directors</p> <p>The members of the Board shall include past consumers of services of a child-placing agency. There shall be a written policy statement providing for the rotation of Board members.</p> <p>This CONDITION is not met as evidenced by: Based on interview and record review, the CPA failed to show evidence that its Board of Directors (BOD) included "past consumers of services" of a CPA or that there was a written policy statement that addressed rotation of BOD members, for five (5) of five (5) BOD members.</p> <p>The findings include:</p> <p>On May 4, 2017, beginning at 10:23 a.m.,</p>	S 009	<p>S009 - 1602.3 Board of Directors Customer of Past Services</p> <p>The Nominating Committee has recommended and the Board of Directors has approved with due diligence, Mrs. Edith Dorsey as a candidate for the Board position that will open on July 1, 2017. Ms Dorsey is the Mother of two Foster Care sisters who were in her care and whom she later adopted.</p>	June 1, 2017

Health Regulation & Licensing Administration
LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

[Handwritten Signature]

TITLE

Program Director

(X6) DATE

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S 009	<p>Continued From page 1</p> <p>concurrent review of the roster of current Board members revealed that the Board of Directors (BOD) consisted of the same five (5) members as those reviewed during the previous annual survey (March 23, 2016). At the time, none (0) of the five (5) BOD members had past experience as a consumer of CPA services.</p> <p>1. During the entrance conference on May 4, 2017, beginning at 11:30 a.m., the ED and the PD indicated that no new members had been added to the BOD since the March 23, 2016 survey. Continued discussion revealed there had been BOD discussions regarding recruitment of prospective new BOD members who have past experience as a consumer of CPA services after the last survey. To date, however, the agency remained without a BOD member with past experience as a consumer of CPA services.</p> <p>2. Also during the May 4, 2017 entrance conference, the ED indicated that the BOD had addressed the issue of establishing a policy regarding rotation of BOD members. When the survey team requested the policies and procedures manual for review, the ED stated the manual was in electronic format and asked if she could send them via email. This was accepted; however, the agency's policies and procedures manual was not forwarded for review.</p> <p>On May 4, 2017, beginning at 1:30 p.m., review of minutes of a BOD meeting held June 9, 2016 revealed that the BOD president had indicated she knew a woman with two (2) adopted children and would consider asking her to serve on the BOD. The same minutes reflected preliminary discussions regarding rotation of BOD members; however, the topic was to be addressed in the future. However, review of the minutes taken at</p>	S 009	<p>S009 - 1602.3 Board of Directors</p> <p>Customer of Past Services</p> <p>The month of June 2017 will be utilized in the due diligence process. (Resume, Reference Letter(s), Background checks etc.)</p> <p>ROTATION POLICY OF BOARD MEMBERS</p> <p>PCC STRIDE has adopted a longer service of Directors to its organization by adopting a limit of three (3) 3-year terms. This allows for a full nine (9) years of Board involvement before a Director rotates, during which the organization can reap the benefits of an individual's mature judgment and deep knowledge of the organization's programs, history and ethics.</p>	June 1, 2017
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Continued for Rotation Section

June 1,
2017

The benefit of the long-term participation is that capable Board Members will remain in place while new members are brought in when Directors leave the area, retire voluntarily or are incapacitated by age or illness. PCC Stride's size of its Board of Directors is relative to the number of clients that it serves. In recent years the average number of clients served in one year has been less than 20, therefore the Board has remained at 5 members. With the expectation of attrition of 2 Board members, 2 new candidates will be sought.

For future Board Members who do not wish a long-term commitment, a 2-year term will be available. After a (1) year hiatus, any Board Member may be re-elected.

The method chosen for rotation is determined by the Nominating Committee which is made up of 3 Board Members. The rotation may occur whether the Board Member has served the prescribed term limit or not. Voluntary compliance may also be a factor in the selection process. This means that a Board member may elect to nominate themselves as the person rotating from the Board otherwise the Nominating Committee selection will be sent to the Board for approval.

The Nominating Committee will report to the Board of Directors by the 2nd quarter of each year the upcoming rotation schedule, as applicable. The Nomination Committee Report will be monitored by the Recording Secretary who will be responsible for tracking the term of each Board Member and incorporating the

Report in the Minutes.

This policy reflects a change in the Bylaws that will become effective immediately and will apply to current and future Directors.

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S 009	<p>Continued From page 2</p> <p>BOD meetings on September 8, 2016 and December 15, 2016, beginning at 3:09 p.m., revealed no additional information regarding rotation of BOD members.</p> <p>At the time of the survey, there was no evidence that past consumers of CPA services served on the Board of Directors or that the agency's policies provided for the rotation of BOD members.</p> <p>This is a repeat deficiency. Review of the Plan of Correction submitted on April 20, 2016, revealed the agency had set a targeted completion date of July 1, 2016 to be in compliance with this regulation.</p>	S 009	<p>Board Member Rotation Schedule:</p> <p>On June 1, 2017 Mr. David Carr, CPA will rotate from the Board of Directors.</p>	June 1, 2017
S 015	<p>1603.4 Responsibility Of The Board Of Directors</p> <p>The Board shall approve the annual budget of anticipated income and expenditures necessary to provide the services of the child-placing agency. The Board shall approve the annual financial audit report.</p> <p>This CONDITION is not met as evidenced by: Based on interview and record review, the CPA failed to show documented evidence that its BOD reviewed and approved an annual operating budget and annual audit, for the one annual budget period reviewed. (Operating year May 2016 - May 2017)</p> <p>The findings include:</p> <p>During the entrance conference on May 4, 2017, beginning at 11:30 a.m., the ED and the PD stated that the agency's BOD had reviewed and approved an annual operating budget. They also</p>	S 015	<p>S015 – 1603.4 Responsibility of the Board of Directors</p> <p>The board met on April 17th at 5:00 pm to review the budget and it was approved on that day.</p> <p>See attached budget</p>	June 1, 2017

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S 015	<p>Continued From page 3</p> <p>indicated that the agency's finances were audited annually by an outside accounting firm and the BOD had received said audit. They further indicated that both the audit and the budget had been submitted to HRLA along with the application to renew their CPA license. When the survey team requested hard copies of the budget and audit for review on site, the ED asked if she could send them via email. The survey team accepted her offer. However, as the survey progressed, the following deficiencies were identified:</p> <p>1. On May 4, 2017, beginning at 1:30 p.m., review of minutes of a BOD meeting held June 9, 2016, revealed no discussion regarding the review and/or approval of an annual operating budget. At 3:09 p.m., review of BOD minutes dated September 8, 2016 and December 15, 2016, also failed to show evidence that the BOD discussed an annual budget. At 3:21 p.m., review of older BOD documents (prior to the last HRLA survey, completed March 23, 2017 revealed no discussions regarding the review and/or approval of an annual operating budget at a December 10, 2015 meeting and there were no minutes available for a meeting that allegedly was held in March 2016.</p> <p>On May 4, 2017, at 3:25 p.m., the PD stated that the BOD met in April 2017 and agreed to seek minutes for that meeting. At 3:58 p.m., the PD stated that minutes for an April 13, 2017 BOD meeting "aren't completed yet." The PD further stated that because she had not attended the April 13, 2017 BOD meeting, she was unable to confirm that the BOD had reviewed and approved an annual operating budget.</p> <p>Although the survey team had accepted the ED's</p>	S 015		
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S 015	<p>Continued From page 4</p> <p>request to forward relevant documentation via email, no documentation was received during the survey period. In addition, review of the CPA license renewal package upon return to the HRLA office on May 5, 2017 (post-survey), revealed that the agency had not included a copy of the budget with the license renewal application form, as initially stated by the ED during the entrance conference the previous day. Later on May 5, 2017 at 12:05 p.m., the CPA's office manager submitted (via email) an annual operating budget via email for the period May 23, 2016 - May 22, 2017. Review of the email and budget revealed the following:</p> <ul style="list-style-type: none"> - The aforementioned budget document did not reflect a date on which the BOD had reviewed and approved it; - There was no other documentation forwarded to show evidence that the BOD had reviewed and approved the May 23, 2016 - May 22, 2017 operating budget; and, - There was no evidence that the BOD had received a draft budget for the coming year (May 2017 - May 2018) for consideration. <p>At the time of the survey, there was no evidence that the agency's BOD members reviewed and approved annual operating budgets, in accordance with this regulation.</p> <p>2. On May 4, 2017, review of the aforementioned minutes taken at BOD meetings held June 9, 2016, September 8, 2016 and December 15, 2016, revealed no discussions regarding the review and approval of an annual financial audit. There was no annual audit made available for review by the survey team during the survey.</p> <p>On May 4, 2017, at 3:58 p.m., the PD stated that</p>	S 015		
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S 015	<p>Continued From page 5</p> <p>minutes for an April 13, 2017 BOD meeting "aren't completed yet" and she did not know whether the BOD had reviewed and approved an annual audit at that meeting.</p> <p>Although the survey team had accepted the ED's request to forward relevant documentation via email, no documentation was received during the survey period. Review of the CPA license renewal package upon return to the HRLA office on May 5, 2017 (post-survey), revealed that the agency had not included a copy of an annual audit with the license renewal application form, as initially stated by the ED during the entrance conference the previous day. On May 5, 2017 (post-survey), at 12:05 p.m., the CPA's office manager submitted (via email) a budget; however, there was no evidence of an annual financial audit report.</p> <p>At the time of the survey, there was no evidence that the agency's BOD members reviewed and approved annual financial audit reports, in accordance with this regulation.</p>	S 015		
S 464	<p>1639.4(t) Foster Home Study</p> <p>(t) Clearance with the child abuse and neglect registry and record of criminal convictions, if any;</p> <p>This CONDITION is not met as evidenced by: Based on record review and interview, the CPA failed to ensure that each home study report included the findings of criminal record checks and clearances with the child abuse and neglect registry, for one (1) of the one (1) foster parent file reviewed. (Parent #1)</p> <p>The finding includes:</p>	S 464	<p>S464 – Foster Home Study</p> <p>The foster parent file was placed on hold for any future placements due to the expired child placement clearances and police clearances. The foster parent was notified and the home was placed on hold until the requested documents were satisfied.</p> <p>As a standard practice, the RTL Manager gives foster parents 90 day, 60 day and 30 day notices to alert them to obtain the necessary documents. These notices will be placed in the foster parent's file.</p>	June 1, 2017

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S 464	<p>Continued From page 6</p> <p>During the entrance conference on May 4, 2017, the ED and PD stated that Parent #1 was the only parent waiting for placement of a foster child in her home. They further stated that each parent (and any adult residing within a foster home) must obtain annual clearance with the child abuse and neglect registry.</p> <p>On May 4, 2017, beginning at 1:49 p.m., review of the home study report provided for Parent #1, dated June 5, 2013, revealed the report made reference to child abuse and neglect registries at that time. An updated home study, dated April 17, 2017 provided a detailed description of the parent's home and community; however, the updated study made no reference to a current child abuse and neglect clearance. Continued review of Parent #1's file revealed the most recent clearances with child abuse and neglect registries were dated January 28, 2016 (Washington, DC) and February 18, 2016 (Maryland). There was no evidence of more recent clearances in the record.</p> <p>When the PD was queried about Parent #1's child abuse and neglect clearances, on May 4, 2017, at approximately 3:45 p.m., the PD acknowledged that updated clearances were not reflected in the parent's record, adding "she's been lagging... either she's put it in or we got it" and it hadn't been filed in Parent #1's record.</p> <p>At the time of the survey, there was no evidence that the CPA ensured that each prospective foster parent obtained annual clearance with applicable child abuse and neglect registries.</p>	S 464		