

✓ 3/13/19

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 220379	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING: _____	(X3) DATE SURVEY COMPLETED 01/31/2019
NAME OF PROVIDER OR SUPPLIER RISE LIMITED GROUP HOME		STREET ADDRESS, CITY, STATE, ZIP CODE 107 MAXIE AVENUE ELKADER, IA 52043		
(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
R 000	Initial Comments The following deficiencies were cited during the survey conducted to determine compliance with licensing rules for Residential Care Facility with a Special Classification to serve individuals with Intellectual Disabilities.	R 000		
R 358	481-57.11(3) Personnel 57.11(3) Employee criminal record checks, child abuse checks and dependent adult abuse checks and employment of individuals who have committed a crime or have a founded abuse. The facility shall comply with the requirements found in Iowa Code section 135C.33 as amended by 2014 Iowa Acts, chapter 1040, and rule 481-50.9(135C) related to completion of criminal record checks, child abuse checks, and dependent adult abuse checks and to employment of individuals who have committed a crime or have a founded abuse. (I,II, III) This REQUIREMENT is not met as evidenced by: Based on interview and personnel record review, the facility failed to comply with requirements related to employee criminal record checks found in Iowa Administrative Code 481- chapter 50. Findings include: A review of personnel records revealed the	R 358	The Human Resources Director sent to all RCF staff two forms to complete. Those forms were the Request for Child and Dependent Adult Abuse and the State of Iowa Criminal History Check form. Once they were completed by staff the Human Resources Director performed a criminal history check through SING for all RCF staff, including staff A, B,C and D on 2/12/19. No criminal evidence was found. The Human Resources Director and facility are now aware to use SING for criminal background check instead of only using a national program to meet facility requirements for transportation funding. RISE will ensure SING is being used in the future upon all new hire's and annually.	

DIVISION OF HEALTH FACILITIES - STATE OF IOWA
LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

TITLE

(X6) DATE

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R 358	Continued From page 1 facility failed to complete employee criminal record checks as required by Iowa Code Administrative Code rule 481-50.9(3)b for 4 of 4 staff hired since January of 2017 (Staff A, B, C and D). The Human Resources Director confirmed this finding. See deficiency under 50.9(3)b.	R 358			
C 205	50.9(3)b Background checks 481-50.9(135C) Criminal, dependent adult abuse, and child abuse record checks. 50.9(3) Requirements for employer prior to employing an individual. Prior to employment of a person in a facility, the facility shall request that the department of public safety perform a criminal history check and the department of human services perform child and dependent adult abuse record checks of the person in this state. b. Conducting a background check. The facility may access the single contact repository (SING) to perform the required background check. If the SING is used, the facility shall submit the person's maiden name, if applicable, with the background check request. If the SING is not used, the facility must obtain a criminal history check from the department of public safety and a check of the child and dependent adult abuse registries from the department of human services This REQUIREMENT is not met as evidenced by: Based on interview and record review the facility	C 205	The Human Resources Director sent to all RCF staff two forms to complete. Those forms were the Request for Child and Dependent Adult Abuse and the State of Iowa Criminal History Check form. Once they were completed by staff the Human Resources Director performed a criminal history check through SING for all RCF staff, including staff A, B, C and D on 2/12/19. No criminal evidence was found. The Human Resources Director and facility are now aware to use SING for criminal background check instead of only using a national program to meet facility requirements for transportation funding. RISE will ensure SING is being used in the future upon all new hire's and annually.		

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C 205	Continued From page 2 failed to obtain criminal history record checks by either accessing the single contact repository (SING) or requesting them through the Iowa Department of Public Safety (IDPS) for 4 out of 4 employees reviewed (Staff A, B, C, and D). Findings include: Record review on 1/31/19 of employee files revealed the following: a.) Staff A was hired on 5/15/17. A criminal history check was completed on 5/18/17 through a national record check organization. There was no evidence a criminal check was completed through either SING or the IDPS as required. b.) Staff B was hired on 6/12/17. A criminal history check was completed on 5/18/17 by a national record check organization. There was no evidence a criminal check was completed through either SING or the IDPS as required. c.) Staff C was hired on 6/25/18. A criminal history check was completed on 6/5/18 by a national record check organization. There was no evidence a criminal check was completed through either SING or the IDPS as required. d.) Staff D was hired on 10/4/17. A criminal history check was completed on 5/17/17 by a national record check organization. There was no evidence a criminal check was completed through either SING or the IDPS as required. On 1/31/19 at 10:12 AM, the Human Resources Director confirmed the facility switched to using a national program to meet requirements for transportation funding.	C 205	The Human Resources Director sent to all RCF staff two forms to complete. Those forms were the Request for Child and Dependent Adult Abuse and the State of Iowa Criminal History Check form. Once they were completed by staff the Human Resources Director performed a criminal history check through SING for all RCF staff, including staff A, B, C and D on 2/12/19. No criminal evidence was found. The Human Resources Director and facility are now aware to use SING for criminal background check instead of only using a national program to meet facility requirements for transportation funding. RISE will ensure SING is being used in the future upon all new hire's and annually.	