DEPARTMENT OF INSPECTIONS AND APPEALS

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION	(X3) DATE SURVEY COMPLETED
	S0194	A. BUILDING: _____ B. WING _____	11/03/2016

NAME OF PROVIDER OR SUPPLIER	STREET ADDRESS, CITY, STATE, ZIP CODE
RIVERSIDE SENIOR LIVING	209 PARK DRIVE CHARLES CITY, IA 50616

(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
A 000	481-67 Initial Comments Assisted Living Programs are defined by the type of population served. The census numbers were provided by the Program at the time of the on-site. General Population Program Number of tenants without cognitive disorder: 19 Number of tenants with cognitive disorder: 2 Total Population of Program at time of on-site: 21 TOTAL census of Assisted Living Program: 21 The following regulatory insufficiencies were cited during the recertification visit conducted to determine compliance with certification for an Assisted Living Program.	A 000	A 000 Please consider the Plan of Correction below as the facility's allegation of compliance as of November 29,2016.	
A 121	481-67.19(3)c Record Checks 481-67.19(135C,231B,231C,231D) Criminal, dependent adult abuse, and child abuse record checks. 67.19(3)c If a person considered for employment has been convicted of a crime. If a person being considered for employment in a program has been convicted of a crime under a law of any state, the department of public safety shall notify the program that upon the request of the program the department of human services will perform an evaluation to determine whether the crime warrants prohibition of the person's employment in the program.	A 121	A121 The facility denies that the alleged facts as set forth constitute an insufficiency under interpretation of federal and state law. The preparation of the following plan of correction for this insufficiency should not be interpreted as an admission nor an agreement by the facility of the truth of the facts alleged or conclusions set forth in the statement of insufficiencies. The plan of correction prepared for this insufficiency was executed solely because it is required by provisions of state and federal law. Without waiving the foregoing statement, the facility states with respect to A 121, the facility does complete criminal, dependent	

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A 121	Continued From page 1 This REQUIREMENT is not met as evidenced by: Based on record review and interview the Program failed to have an evaluation from the Department of Human Services (DHS) completed prior to employment to determine whether the crime warranted prohibition of the person's employment. This pertained to one of four staff files reviewed (Staff A). Findings follow: 1. Staff A was hired on 9-8-15 and began to receive paid wages on 9-8-15. On 8-27-15 a criminal history and abuse registry background check was completed for Staff A. The criminal history background check indicated further research was required. Iowa Record Check Request Form S dated 8-28-15 indicated a criminal record was found. The DHS evaluation granting permission for the staff to work was not received until 9-16-15. Staff A was hired and received wages before an evaluation was received from the DHS to determine if the criminal history warranted prohibition of employment. 2. An interview with the Nurse Manager on 10-31-16 at approximately 1:05 p.m. revealed after Staff A was hired, an issue with the background check was discovered. Staff A was sent home (until the approval was received). At the time of hire Staff A worked in the kitchen and had no contact with the tenants. 3. Review of timecard records revealed Staff A first worked on 9-8-15 and worked again on 9-11-15. The next timecard entry indicated Staff A worked on 9-17-15, after the DHS approval	A 121	adult abuse and child abuse record checks on all new employees. The facility has an established abuse plan that details offers of employment cannot be given until results of the three required background checks are complete. The Riverside Senior Living business office staff orientation program has been updated to include education on the completion of background checks using the Single Contact License and Background Check web site and interpretation of those results. The facility uses an employee checkoff list to be sure all aspects of the hiring process are completed. The three areas of record check requirements are listed and the business office staff completing the background check must initial and date when each is completed and then an offer of employment can be made by the appropriate department head. The Riverside Nurse Manager will review the background check for	

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A 121	Continued From page 2 notice was received. 4. According to the Program's policy and procedure regarding screening, all potential employees at any health care facility would be screened for criminal history and dependent adult abuse and child abuse through completion of a background check. If the check resulted in a hit, a "Rap sheet" would be sent to the program and the individual would answer a questionnaire for the purpose of completion of the Record Check Evaluation. The DHS would determine if the person was eligible to work and if any restrictions were required prior to employment.	A 121	all Riverside job openings. The human resources person will additionally check to assure all three checks have been completed prior to initiating the orientation process. Date of completion November 29, 2016	
A 122	481-67.19(3)d Record Checks 481-67.19(135C,231B,231C,231D) Criminal, dependent adult abuse, and child abuse record checks. 67.19(3)d If a person considered for employment has a record of founded child abuse or dependent adult abuse. If a department of human services child or dependent adult abuse record check shows that a person being considered for employment in a program has a record of founded child or dependent adult abuse, the department of human services shall notify the program that upon the request of the program the department of human services will perform an evaluation to determine whether the founded child or dependent adult abuse warrants prohibition of employment in the program. This REQUIREMENT is not met as evidenced by:	A 122	A122 The facility denies that the alleged facts as set forth constitute an insufficiency under the interpretation of federal and state law. The preparation of the following plan of correction for this insufficiency should not be interpreted as an admission nor an agreement by the facility of the truth of the facts alleged or conclusions set forth in the statement of insufficiencies. The plan of correction prepared for this	

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A 122	Continued From page 3 Based on record review and interview the Program failed to have an evaluation from the Department of Human Services (DHS) completed prior to employment to determine whether the founded child abuse warranted prohibition of the person's employment. This pertained to one of four staff files reviewed (Staff A). Findings follow: 1. Staff A was hired on 9-8-15 and began to receive paid wages on 9-8-15. On 8-27-15 a criminal history and abuse registry background check was completed for Staff A. The child abuse check indicated a record check evaluation process was to be initiated. The DHS evaluation granting permission for the staff to work was not received until 9-16-15. Staff A was hired and received wages before an evaluation was received from the DHS to determine if the founded child abuse warranted prohibition of employment. 2. An interview with the Nurse Manager on 10-31-16 at approximately 1:05 p.m. revealed Staff A was hired, an issue with the background check was discovered and Staff A was sent home (until the approval was received). At the time of hire Staff A worked in the kitchen and had no contact with the tenants. 3. Review of timecard records revealed Staff A first worked on 9-8-15 and worked again on 9-11-15. The next timecard entry indicated Staff A worked on 9-17-15, after the DHS approval notice was received. 4. According to the Program's policy and procedure regarding screening, all potential	A 122	insufficiency was executed solely because it is required by provisions of state and federal law. The facility has an evaluation done by DHS prior to the employment of any individual to determine whether a founded child abuse warrants prohibition of the person's employment. The business office staff orientation program has been updated to include education regarding DHS evaluation of any indication of child abuse history on the Single Contact License and Background Check results. The facility uses an employee checkoff list to be sure all aspects of the hiring process are completed. The staff completing the background check signs and dates each section when completed. There is a section for the DHS evaluation of child abuse. The Riverside Nurse Manager will review the background check for all Riverside job openings prior to an offer of employment being made. The human resources	

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A 122	Continued From page 4 employees at any health care facility would be screened for criminal history and dependent adult abuse and child abuse through completion of a background check. If the check resulted in a hit, a "Rap sheet" would be sent to the program and the individual would answer a questionnaire for the purpose of completion of the Record Check Evaluation. The DHS would determine if the person was eligible to work and if any restrictions were required prior to employment.	A 122	person will additionally check to assure all 3 record checks are completed prior to initiating the orientation process. Date of completion November 29, 2016	