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
	S0012	A. BUILDING: _____ B. WING _____	C 05/24/2017

NAME OF PROVIDER OR SUPPLIER	STREET ADDRESS, CITY, STATE, ZIP CODE
BICKFORD COTTAGE MARSHALLTOWN	101 NEW CASTLE RD MARSHALLTOWN, IA 50158

(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. Dementia-Specific Program by Dedication Number of tenants without cognitive disorder: 33 Number of tenants with cognitive disorder: 6 Total Population of Program at time of on-site: 39 TOTAL census of Assisted Living Program: 39 The following regulatory insufficiencies were cited during the investigation of Incident #68112-I.	A 000	See attached POC 5/23/17	
A 116	481-67.19 (1) Record Checks 481-67.19(135C,231B,231C,231D) Criminal, dependent adult abuse, and child abuse record checks. 67.19(1) Definitions. The following definitions apply for the purposes of this rule. " Background check " or " record check " means criminal history, child abuse and dependent adult abuse record checks. " Direct services " means services provided through person-to-person contact. " Direct services " excludes services provided by individuals such as building contractors, repair workers, or others who are in a program for a very limited purpose, who are not in the program on a regular basis, and who do not provide any treatment or services for residents, patients, tenants, or participants of the provider. " Employed in a program " or " employment within a program " means all of the following, if the provider is regulated by the state or receives any federal or state funding:	A 116		

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A 116	Continued From page 1 1. An employee of an assisted living program certified under Iowa Code chapter 231C, if the employee provides direct services to consumers; 2. An employee of an elder group home certified under Iowa Code chapter 231B, if the employee provides direct services to consumers; 3. An employee of an adult day services program certified under Iowa Code chapter 231D, if the employee provides direct services to consumers. " Employee " means any individual who is paid, either by the program or any other entity (i.e., temporary agency, private duty, Medicare/Medicaid or independent contractors). " Evaluation " means review by the department of human services to determine whether a founded child abuse, dependent adult abuse or criminal conviction warrants the person ' s being prohibited from employment in a program. " Indirect services " means services provided without person-to-person contact such as those provided by administration, dietary, laundry, and maintenance. " Program, " for purposes of this rule, means all of the following, if the provider is regulated by the state or receives any federal or state funding: 1. An assisted living program certified under Iowa Code chapter 231C; 2. An elder group home certified under Iowa Code chapter 231B; and 3. An adult day services program certified under Iowa Code chapter 231D. This REQUIREMENT is not met as evidenced by: Based on interview and record review the Program failed to complete a background check for child abuse and dependent adult abuse prior	A 116		

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A 116	Continued From page 2 to employment for 4 out of 4 staff records reviewed (Staff A, B, C, and D). Findings follow: Record review of background checks revealed the following: 1. Staff A was hired on 2-2-17 and a criminal history check completed on 2-2-17. The program failed to complete a check for child and dependent adult abuse prior to employment. 2. Staff B was hired on 2-7-17 and a criminal history check completed on 1-25-17. The program failed to complete a check for child and dependent adult abuse prior to employment. 3. Staff C was hired on 2-13-17 and a criminal history check completed on 2-6-17. The program failed to complete a check for child and dependent adult abuse prior to employment. 4. Staff D was hired on 2-13-17 and a criminal history check completed on 2-13-17. The program failed to complete a check for child and dependent adult abuse prior to employment. On 5-24-17 at 1:40 pm the Director confirmed staff did not have child and dependent adult abuse background checks completed prior to employment.	A 116		

✓ LK 6/27/17 CAC 6/23/17

Plan of Correction
Marshalltown Bickford Cottage

A116 Record Checks
Regulatory Insufficiency: The Program failed to complete a background check for child abuse and dependent adult abuse prior to employment.

Plan of Correction:
The insufficiency will be corrected as follows:

- The Director completed the background checks on Staff A, B, C & D on 5/23/17 that included criminal history, child and dependent abuse.

The following measures will be taken to ensure the problem does not recur:

- The Director was re-educated by Divisional regarding the need to perform appropriate background checks for potential employees.
- The Director will utilize a Personnel Checklist to ensure that the background check is completed prior to employment for all potential employees.

The program will monitor performance to ensure compliance as follows:

- The Divisional Director of Operations will perform an annual audit of personnel files to ensure background checks are completed prior to employment.

Date deficiencies corrected by: May 23, 2017