



DDA/ResHab Certification - Statement of Deficiencies

	Superior Res Hab Support	Region(s):	1
Agency:		Survey Dates:	November 4 and 5, 2015
Agency Type:	Residential Habilitation	Certificate(s) Granted:	<input type="checkbox"/> 6 - Month Provisional <input checked="" type="checkbox"/> 1 - Year Full <input type="checkbox"/> 3 - Year Full
Certificate(s):	RH-5348		

Rule Reference/Text	Findings	Agency's Plan of Correction (Please refer to the Statement of Deficiencies cover letter for guidance)	Date to be Corrected (mm/dd/yyyy)
16.04.17.201.03.c. 201.ADMINISTRATION. 03. Responsibilities. The governing authority must assume responsibility for: c. Providing a continuing and annual program of overall agency evaluation; (3-29-12)	In review of the policy and procedure, staff and participant files and beginning elements of the agencies annual program evaluation, the evaluation process is incomplete by not gathering complete data across the agency program.	1. this agency will review policy and procedures Pertaining to 16.04.7.201.03.c. To insure all components of this rule is included .create forms for each part of our program focusing on staff and review the policy and procedures. Create a better quarterly report . 2. this agency will complete quarterly	01/01/16



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		<p><i>report .and create annual report.</i></p> <p><i>3. administrator or QIDP will be responsible for implementing corrective action.</i></p> <p><i>4. the agency will insure compliance by conducting an audit monthly on the staff compliance and to ensure implementation.</i></p> <p><i>5.01/01/2016</i></p>	
<p>16.04.17.203.02. 203.STAFF RESIDENTIAL HABILITATION PROVIDER TRAINING. Training must include orientation and ongoing training at a minimum as required under IDAPA 16.03.10, "Medicaid Enhanced Plan Benefits," Sections 700 through 706. Training is to be a part of the orientation training and is required initially prior to accepting participants. All required training must be completed within six (6)</p>	<p>In accordance with IDAPA 16.03.10.705.01.b all skill training must be provided by a Qualified Intellectual Disabilities Professional (QIDP). In review of personnel files, Staff #1 did not document that skill training was provided by a QIDP. Staff #3 and #4 did not have documentation of receiving skill training in the area of Developmental disabilities commensurate with the skills of participants served.</p>	<p><i>1. this agency will ensure that all Training that is required to be done by a QIDP is completed by QIDP by listing QIDP initial area on all Training form . A receipt of skilled training in the area of Developmental Disabilities commensurate with the</i></p>	<p><i>01/01/16</i></p>



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<p>months of employment with a residential habilitation agency and documented in the employee residential habilitation provider record. The agency must ensure that all employees and contractors receive orientation training in the following areas: 02. Disabilities. Developmental disabilities commensurate with the skills of participants served. (3-20-04)</p>		<p><i>skills of Participant served will be created and signed by staff and educational material will be reviewed by staff kept in there employee file along with signed receipt</i></p> <p><i>2. Administrator will review staff files to ensure completion of Training and to ensure all training is up to date and review form to ensure QIDP initialed or signed off as QIPT for required training</i></p> <p><i>3. QIDP will be responsible to do training .</i></p> <p><i>4. Administrator and or QIDP conduct a monthly audit to ensure completion</i></p>	
<p>16.04.17.203.03.</p>	<p>In accordance with IDAPA</p>	<p>1. this agency will</p>	<p>01/01/2016</p>



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<p>203.STAFF RESIDENTIAL HABILITATION PROVIDER TRAINING. Training must include orientation and ongoing training at a minimum as required under IDAPA 16.03.10, "Medicaid Enhanced Plan Benefits," Sections 700 through 706. Training is to be a part of the orientation training and is required initially prior to accepting participants. All required training must be completed within six (6) months of employment with a residential habilitation agency and documented in the employee residential habilitation provider record. The agency must ensure that all employees and contractors receive orientation training in the following areas:</p> <p>03. Understanding of Participants' Needs. A basic understanding of the needs, desires, goals and objectives of participants served. (3-20-04)</p>	<p>16.03.10.705.01.b all skill training must be provided by a Qualified Intellectual Disabilities Professional (QIDP). In review of personnel files, Staff #1 did not document that skill training was provided by a QIDP. Staff #3 and #4 did not have documentation of receiving skill training in the area of Understanding of Participants' Needs. A basic understanding of the needs, desires, goals and objectives of participants served. The components of this training are identified in IDAPA 16.03.10.705.1.di-vii</p>	<p><i>ensure that all Training that is required to be done by a QIDP is completed by QIDP by listing QIDP initial area on all training form and or educational Material receipts and kept in staff file</i></p> <p><i>2.Administrator will ensure all training is current and compete by reviewing staff files</i></p> <p><i>3. QIDP will compete training for staff that is required by a QIDP and administrator can train where QIDP is not required</i></p> <p><i>4. this administrator will ensure QIDP sign off or initial educational material for staff</i></p>	



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<p>16.04.17.203.04. 203.STAFF RESIDENTIAL HABILITATION PROVIDER TRAINING. Training must include orientation and ongoing training at a minimum as required under IDAPA 16.03.10, "Medicaid Enhanced Plan Benefits," Sections 700 through 706. Training is to be a part of the orientation training and is required initially prior to accepting participants. All required training must be completed within six (6) months of employment with a residential habilitation agency and documented in the employee residential habilitation provider record. The agency must ensure that all employees and contractors receive orientation training in the following areas: 04. Supervision. Appropriate methods of supervision. (7-1-95)</p>	<p>In review of personnel files, Employee #3 and Employee #4 lacked documentation that they received training in the area of supervision. Appropriate methods of supervision.</p>	<p>1. <i>this agency will ensure documentation is kept to prove training has been provided and is up to date in the area of Appropriate methods of Supervision .</i> 2. <i>this agency will provide Educational Material on subject to staff</i> 3. <i>QIDP will provide training</i> 4. <i>Administrator will be responsible for monitoring to ensure staff receive required training .an audit will be conducted on a monthly bases by the administrator</i></p>	<p>01/01/16</p>
<p>16.04.17.203.05. 203.STAFF RESIDENTIAL HABILITATION PROVIDER TRAINING.</p>	<p>In review of personnel files, Employee #3 and Employee #4 lacked documentation that they received training in the area of a</p>	<p>1. <i>This agency will ensure documentation is kept to prove training</i></p>	<p>01/01/16</p>



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<p>Training must include orientation and ongoing training at a minimum as required under IDAPA 16.03.10, "Medicaid Enhanced Plan Benefits," Sections 700 through 706. Training is to be a part of the orientation training and is required initially prior to accepting participants. All required training must be completed within six (6) months of employment with a residential habilitation agency and documented in the employee residential habilitation provider record. The agency must ensure that all employees and contractors receive orientation training in the following areas: 05. Review of Services. A review of the specific services that the participant requires. (3-20-04)</p>	<p>review of the specific services that the participant requires.</p>	<p><i>has been provided in the area of a review of specific services that Participant require</i> <i>2. agency will conduct file audits to ensure no other staff is missing this training and to ensure Training is up to date</i> <i>3. Administrator will be responsible and or QIDP will conduct file audits monthly to ensure QIDP sign off or initial form to verify training QIDP will be responsible for conducting training</i> <i>4. QIDP and or Administrator when allowed will Provide training and Provide documentation of training on a monthly bases or as needed when</i></p>	



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		<i>Participant specific needs change and or Orientation</i>	
<p>16.04.17.300.04. POLICY AND PROCEDURE MANUAL. A policy and procedure manual must be developed by the residential habilitation agency for effectively implementing its objectives. It must be approved by the governing authority. Policies and procedures must be reviewed annually and revised as necessary. The manual must, at a minimum, include policies and procedures reflecting the following: 04. Required Services. Procedures that must be performed by each service. (7-1-95)</p>	<p>In review of agency policy and procedures and participant files, it was identified that the policy and procedure is lacking sufficient detail identify the procedures that must be performed by each service. This is identified in that the assessment does not address each required residential habilitation service area as it relates to the participant and the implementation plans are not addressing any identified needs in those areas.</p>	<p>1. <i>this agency will review Policy and Procedures to ensure all components of Procedures are complete</i> 2. <i>this Agency will create forms with directions instructions and or educational material specific to procedures and needs of Participant and following IDAPA Code and will train staff using form .this agency will insure staff sign off to document training was completed</i> 3. <i>QIDP will conduct training , Administrator will document and retain sign proof in staff files</i></p>	<p>01/01/16</p>



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		<p><i>and preform audit to ensure it is complete and up to date Monthly</i></p> <p><i>4. Administrator will create document that tracks what staff requires specific training based on what participant they work with and will conduct a monthly audit to insure all staff are up to date in training</i></p>	
<p>16.04.17.300.08. POLICY AND PROCEDURE MANUAL. A policy and procedure manual must be developed by the residential habilitation agency for effectively implementing its objectives. It must be approved by the governing authority. Policies and procedures must be reviewed annually and revised as necessary. The manual must, at a minimum, include policies and procedures reflecting the following:</p>	<p>In review of agency policies and procedures and personnel files, the policies have not been revised as necessary to assure that personnel files are implemented to include personnel qualifications, responsibilities and job descriptions will be reviewed and met upon hire. For employee #1 the employee file did not contain qualifications or a job description identifying responsibilities for either the administrative role or direct care</p>	<p><i>1.this agency will create a form to ensure employees are receive required forms and info for staff files. this agency will review the policy and procedures to ensure that personnel files are implemented to include personnel qualifications, responsibilities and a job</i></p>	<p><i>01/01/16</i></p>



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08. Personnel. Personnel qualifications, responsibilities, and job description. (7-1-95)	role. For Employee #2, the employee file did not contain a job description of the direct care role being filled. For Employees #3 and #4, there was no job description in the file.	<i>descriptions and create a form to ensure qualifications are met upon hire and reviews are scheduled and met this agency will review staff file #1 and provide qualifications and a job description for all jobs don by this employee . This agency will review and provided employee #2 with a job description . This agency will Provide employee # 3 and employee # 4 with a job description but employee 2. the administrator will review all other file to ensure all contain a job descriptions and job qualifications 3. Administrator will be responsible for ensuring</i>	



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		<p><i>employees receive job description and job and keep a copy in employees file</i></p> <p><i>4. the administrator will monitor by conducting and audit monthly and a form on the outside of employees file kept in the office</i></p>	
<p>16.04.17.301.03.f 301. PERSONNEL. 03. Personnel Records. A record for each employee must be maintained from date of hire for not less than one (1) year after the employee is no longer employed by the agency, and must include at least the following: f. Position in the agency; and (7-1-95)</p>	<p>In review of personnel records, Employee #1 and #2 files did not have a job description for all positions held within agency. Employee # and #4 did not have a job description or other form of indicating what position they held within the agency.</p>	<p><i>1. this agency will provided employee #1 and # 2 with a job description for all jobs held within the agency this agency will create a form to state what position and employee holds</i></p> <p><i>2. the administrator will review all other employee files to ensure that they have required job descriptions and</i></p>	<p>01/01/16</p>



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		<p><i>supply all job descriptions if more than one job is being performed by a staff member</i></p> <p><i>3. the administrator will be responsible for creating a form and implementing it</i></p> <p><i>4. the administrator will monitor employee file to ensure they are correct and have current changes applied</i></p>	
<p>16.04.17.301.03.h 301. PERSONNEL. 03. Personnel Records. A record for each employee must be maintained from date of hire for not less than one (1) year after the employee is no longer employed by the agency, and must include at least the following: h. Documentation of initial orientation and required training; and (7-1-95)</p>	<p>In review of agency records, there was no documentation that employees 3 or 4 had completed all required training.</p>	<p><i>1. this agency will ensure employee 3 and 4 have all required training .</i></p> <p><i>2. the agency will conduct audit of all staff file to ensure training is complete</i></p> <p><i>3. the administrator will do follow up on employee educational</i></p>	<p>01/01/16</p>



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		<p><i>sign off sheet and the QIDP will conduct training if required</i></p> <p><i>4. a monthly audit will be done by administrator to ensure all file are up dated</i></p>	
<p>16.04.17.301.03.k. 301. PERSONNEL. 03. Personnel Records. A record for each employee must be maintained from date of hire for not less than one (1) year after the employee is no longer employed by the agency, and must include at least the following: k. Evidence that the employee has received a job description and understands his duties. (3-29-12)</p>	<p>In review of agency documentation, there was no evidence that employee #1 and #2 have received job descriptions for direct care positions and understand those duties. For employee's #3 and #4, there is no evidence that they have received a job description and understand those</p>	<p><i>1. this agency will provide a job description and have employee 1 and 2 sign and have them sign a receipt of review and understanding of job description.</i></p> <p><i>This agency will provide signed job description and a receipt of review and understanding of job description for employee # 3 and # 4</i></p> <p><i>2. administrator will review employee's file to ensure all employee's have a job description</i></p>	<p>01/01/16</p>



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		<p><i>and a signed receipt of review and understanding of job description.</i></p> <p><i>3. the Administrator will be responsible to ensuring implementation of correction</i></p> <p><i>4. administrator will create a form as a check off sheet to ensure employee's receive job description and conduct monthly audits</i></p> <p><i>5. 01/01.2016</i></p>	
<p>16.04.17.400.01. PARTICIPANT RECORDS. 01. Participant Records. Each agency must have and maintain a written policy outlining the required content of participant records, criteria for completeness, and methodology to be used to ensure current and accurate records. An individual record must be</p>	<p>In review of participant records not all data sheets were signed and dated. Participant #1, data sheets for several days in September 2015 were blank with the exception of the date. There was no documentation of service to match services billed. Participant #2's record contained several</p>	<p><i>1. This agency will create a data collection sheet that is complete.</i></p> <p><i>2. This agency will conduct a audit on all Participant file to ensure all documentation is complete</i></p>	<p><i>01/01/16</i></p>



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<p>maintained for each participant and retained for a period of three (3) years following the participant's termination of services. All entries made into a participant record must be dated and signed in ink. (3-20-04)</p>	<p>data sheets that did not contain participant name, the year, staff initials, signatures, or the participant signature. For example the data sheet in the file dated "10/2" doesn't have the year, only contains the staff's first name and some data. It is missing the staff's last name, and initials by the data, a staff signature, the participant's name, and the space for the participant's signature is blank.</p>	<p>3. <i>the Administrator and or QIDP will be responsible in implementation of new forms and in conducting audit of Participant files</i> 4. <i>A monthly Audit will be conducted by Administrator and or QIDP</i> 5. <i>01/01/2016</i></p>	
<p>16.04.17.400.02.i. 400.PARTICIPANT RECORDS. 02. Required Information. Records must include at least the following information: i. Results of an age appropriate functional assessment, and person centered plan. (7-1-95)</p>	<p>In review of participant files, the agency is not utilizing a functional skill assessment.</p>	<p>1. <i>this agency will ensure that a functional skill assessment is completed for each Participant and kept in the Participants file. this agency will create a functional skill assessment tool that follows IDAPA code</i> 2. <i>this agency will conduct an audit of all Participants file to</i></p>	<p><i>01/01/16</i></p>



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		<p><i>ensure a functional skill assessment is in file and complete</i></p> <p><i>3. the QIDP will be responsible for the assessment to be completed</i></p> <p><i>4. the administrator and or QIDP will conduct monthly audits to ensure completion.</i></p> <p><i>5. 01/01/2016</i></p>	
<p>16.04.17.400.02.n. 400.PARTICIPANT RECORDS. 02. Required Information. Records must include at least the following information: n. Daily record of the date, time, duration, and type of service provided. (7-1-95)</p>	<p>In review of participant records, the records do not consistently identify the date, time, duration and type of service provided. For example, in Participant #1 record, September 14th, 15th, 17th, 19th, and 20th are blank. Participant #2's record data sheets for October 2 and 3 do not include the year, agency name and type of service.</p>	<p><i>1. this agency will ensure all Participants records are complete and create a record that meets IDAPA requirements</i></p> <p><i>2. this agency will conduct a audit to ensure all Participant records are complete and ensure updated</i></p>	<p><i>Click here to enter a date.</i></p>



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		<p><i>form is in use</i></p> <p>3. QIDP and or Administrator will be responsible to conduct audit and implement changes and or corrections</p> <p>4. A monthly Audit will be done to ensure all files are complete and up dated if needed</p> <p>5. 01/01/2016</p>	
<p>16.04.17.400.02.o. 400.PARTICIPANT RECORDS. 02. Required Information. Records must include at least the following information: o. The plan of service including implementation plans maintained by the agency and data-based progress notes. (3-20-04)</p>	<p>In review of participant records, for participants #1 and #2, the daily notes do not indicate documentation that indicates progress.</p>	<p>1. <i>this agency will train staff on accurate documentation practice .</i></p> <p>2. <i>this agency will train Staff in correct documenting</i></p> <p>3. <i>QIDP will be responsible to provide training for staff</i></p> <p>4. <i>Administrator will conduct monthly audit to ensure training is</i></p>	<p><i>Click here to enter a date.</i></p>



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		complete and up to date 5. 01/01/2016	

Agency Representative & Title: Tracy Crabb Administrator. <i>* By entering my name and title, I agree to implement this plan of correction as stated above.</i>	Date Submitted: 11/27/2015.
Department Representative & Title: Kimberly D. Cole, LSW. <i>* By entering my name and title, I approve of this plan of correction as it is written on the date identified.</i>	Date Approved: 12/3/2015