

Statement of Deficiencies

Upper Valley Options, Inc.
7UPPER066

Developmental Disabilities Agency

1120 Stocks Ave
Rexburg, ID 83440
(208) 359-3133

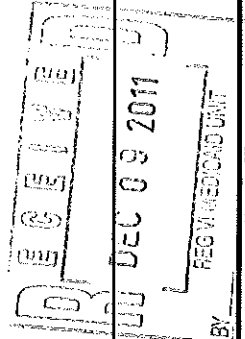
Survey Type: Investigation

Entrance Date: 10/28/2011

Exit Date: 11/1/2011

Initial Comments: Survey Team: Pam Loveland-Schmidt, Medical Program Specialist, Licensing and Certification.

Rule Reference/Text	Category/Findings	Plan of Correction (POC)
16.03.21.009.01 009. CRIMINAL HISTORY AND BACKGROUND CHECK REQUIREMENTS. 01. Verification of Compliance. The agency must verify that all employees, subcontractors, agents of the agency, and volunteers delivering DDA services have complied with IDAPA 16.05.06, "Criminal History and Background Checks." (7-1-11)	Criminal History One of one employee record reviewed ([Employee 1]) lacked documentation the agency followed Criminal History rule requirements. For example, [Employee 1]'s record lacked documentation that the self-declaration form was completed prior to the employee working with participants. Per discussion with agency administration and review of documentation, the employee was hired on June 2, 2011, and began working with participants on June 14, 2011, then took a leave of absence from June 23, 2011, through August 10, 2011. The self-declaration form was notarized and dated on June 24, 2011, after the employee worked with participants. The employee was scheduled for fingerprinting on June 9, 2011, June 23, 2011, and September 1, 2011, which were all missed appointments. The employee submitted a new application on October 14, 2011, and the self-declaration form was notarized on October 27,	1. What Corrective action(s) will be taken? Effective immediately, Upper Valley options will stamp or have stamped by a Notary Public the self-declaration form that is required by rule in 16.03.10.009.02 that states we refer too and follow the rule in 16.05.06.150 that states the specific time frame for submitting the application and fingerprints. It is as follows: "The completed notarized application and fingerprints must be submitted and received by the Department within twenty-one days. The applicant is not available to provide services or be licensed or certified when the notarized applications is not received or the fingerprints have not been rolled for an on-line application within this time frame. The criminal history and background check is incomplete and will not be processed by the Department if this time frame is not met." 2. How will the agency identify participants who may be affected by the deficiency(s)? If participants are identified, what corrective action will be taken? Upper Valley Options will screen its potential employees by having them fill out the self-declaration for during interview process and stamp during that time or have them immediately take it to a Notary if one is not present at the time. If a person is identified as having a risk,



Submit by Email

Print Form

2011, with fingerprinting also completed on October 27, 2011. The employee was not eligible to work prior to June 24, 2011, and the time period July 15, 2011, through October 27, 2011, due to the staff person not keeping her fingerprinting appointment.

Also, see Criminal History rules in IDAPA 16.05.06.

it will be evaluated and appropriate steps taken.

- 3. Who will be responsible for implementing each corrective action. Office Manager and Administrator will assure that these actions are followed through, according to Rule: 16.05.06.
- 4. How will the corrective action(s) be monitored to ensure consistent compliance with IDAPA Rules? Upper Valley Option will now carry a Journal that will state the date and time in which the potential employee has had his/her Self-declaration reviewed, notarized and placed into file. This will be monitored but placing on Nichols desk and each new employee will be put down and QA'd upon the day of completion. Monitored Daily.

- 5. By what date will the corrective action be completed?
"Corrected immediately upon notification, 11/01/11

See attachments:

Scope and Severity: Isolated / No Actual Harm - Potential for More Than Minimal Harm

Date to be Corrected: 2011-11-01

Administrator Initials: *SS*

Administrator Signature (confirms submission of POCE)

Chick

Date: 12/8/11

Team Leader Signature (signifies acceptance of POCE)

Ram Howland-Schmidt

Date: 12/8/11

12/9/11