

Compliance Summary Report

Compliance Summary Report of **Nice's Services LLC 30Aug2013** on **Nice's Services LLC**

Reviewer: **Rob Auer**
Provider: **Nice's Services LLC**
County Name: **Stark County**

Total Cites: **27**
Total POCs: **27**

CITE #1

Question	Explanation	
Was the provider staff's name checked against the U.S. general services administration system for award management database?	The provider did not check the U.S. General Services Administration System For Award Management database until 8/8/13 for staff Shelli Ocheltree, hired 2/1/13.	
POC	Status	Comments
Effective 8/12/13 a process was started to begin organizing Nice's Services, LLC Personnel Files consistent with the DODD Provider Compliance "Personnel Review" chart. All employees hired, will have completed the requirements listed in the chart prior to direct service provision.	Approved	

CITE #2

Question	Explanation	
Was the provider staff's name checked against the Inspector General's Exclusions list?	The provider did not check the Inspector General's Exclusion list database until 8/8/13 for staff Shelli Ocheltree, hired 2/1/13.	
POC	Status	Comments
Effective 8/12/13 a process was started to begin organizing Nice's Services, LLC Personnel Files consistent with the DODD Provider Compliance "Personnel Review" chart. All employees hired, will have completed the requirements listed in the chart prior to direct service provision.	Approved	

CITE #3

Question	Explanation	
Is there evidence that the agency provider/County Board completed a quarterly review of MUI reports to identify trends and patterns.	The provider failed to completed quarterly reviews and submit to the county board by the date specified in rule.	
POC	Status	Comments
Once new UI/MUI reviews have been implemented, the next quarterly review will be submitted to Stark County DD by 12/31/13. A process has been implemented to gather UI's and MUI's that have occurred during the months of May, June, July and August 2013, and a late quarterly review will be submitted to Stark DD by 9/15/13 or sooner when completed.	Approved	

CITE #4

Question	Explanation
Is the service plan being implemented as written?	ID #2- The ISP, 7/1/13-6/30/14, was not implemented as written. A review of the ISP stated her daily schedule & issues should be reviewed at the end of the work day and the provider was to send documentation every 30 days to assist the SSA in monitoring. ID #4- The ISP, 11/10/12-11/9/13, was not implemented as written. Per the provider, they are not providing any in-home supports & handwritten on their HPC documentation was "Services are for outings only at this time". However, the ISP listed the provider as responsible for in-home supports. ID # 5- The ISP, 3/1/13-2/28/14, was not implemented as written. A review of the ISP indicated the need for the provider to send documentation every 30 days to assist the SSA in monitoring. There was no Skill development documentation sheet for the Month of May 2013.

POC	Status	Comments
The citation and ISP for ID#2 was reviewed with SSA Amanda Barkhauer. The 7-1-13 to 6-30-14 ISP was amended to the positive behavior supports section, as there have been no behavioral issues in the Vocational Day Habilitation setting. Please see attached documentation. An ISP Addendum for ID#4 has been submitted for approval by the SSA that removes "in-home services" as a service provided by Nice's Services. A copy of the Addendum will be forwarded once received. Citation for ID#5 includes the skill development for May 2013. The SSA was contacted regarding the need to send documentation every 30 days. Please see attached copy of the SSA's email response is included for Citation #5.	Approved	

CITE #5

Question	Explanation
If the provider is responsible for providing Per Trip non-medical transportation, does the staff person have a form, signed form establishing the driver's physical qualification to provide non-medical transportation?	There was no evidence that driver Tammy Pullins, Angela Offerberger, Jerry Day had a signed stated from an approved professional establishing that she was appropriate to transport.

POC	Status	Comments
Drivers Tammy Pullins, Angela Offerberger, and Jerry Day will have their signed statements from an approved professional that they are appropriate to transport individuals with developmental disabilities by 9/30/13. This information will be faxed to DODD Reviewer Rob Auer.	Approved	

CITE #6

Question	Explanation
For direct service staff, hired after 10/1/09, did the staff person receive initial training prior to providing services with individuals that included:• Overview of serving individuals with developmental disabilities• Overview of basic principles and requirements of providing HCBS waiver services • Initial rights training • Initial MUI training • Universal precautions	There was no evidence indicating direct care staff, hired after 10/1/09, received initial training that included:-Overview of serving individuals with developmental disabilities-Overview of basic principles and requirements of providing HCBS waiver services:Jerry Day, hired 6/10/10Angela Offerberger, hired 1/3/11Amanda Emerson, hired 4/3/09

POC	Status	Comments

Effective 8/12/13 staff will sign off on their annual MUI training that will include an overview of developmental disabilities, and an overview of principles and requirements of providing waiver services. Approved

CITE #7

Question	Explanation
For day waiver services, did the provider ensure that within the first 90 days of employment, new employees completed either: PATHS "Certificate of Initial Proficiency" program OR 8 hr orientation program that includes topics identified in rule?	For day waiver services, there was no evidence indicating that the provider ensured staff Shelli Ocheltree completed the PATHS "Certificate of Initial Proficiency" program or 8 hour orientation program that includes topics identified in rule within the first 90 days of employment.

POC	Status	Comments
Effective 8/12/13 new staff will sign off on their 8 hour orientation program, and current staff will sign off on all training (annual and otherwise) that they receive with regards to provision of day waiver services.	Approved	

CITE #8

Question	Explanation
For day waiver services, did the provider ensure that during the first year of employment, direct service staff are provided with: 1) a mentor 2) on-the-job training specific to each individual served and 3) 8 hrs of training specific to the provision of the day waiver service?	For day waiver services, there was no evidence indicating that the provider ensured staff Shelli Ocheltree had a mentor, on-the-job training specific to each individual served and 8 hours of training specific to the provision of the day waiver service during the first year of employment.

POC	Status	Comments
Effective 8/12/13 new staff will be assigned a mentor who will provide on the job training and will sign off on their 8 hour orientation program including training specific to the provision of the day waiver services they received during the first year of employment.	Approved	

CITE #9

Question	Explanation
Does the waiver service delivery documentation include the arrival and departure times of the provider?	ID's#1, ID #4 and ID# 5 Provider's June/July/August 2013 HPC service delivery documentation did not include arrival and departure times.

POC	Status	Comments
Documentation of HPC services for ID#'s 1, 4, & 5 for June, July, & August 2013 have been changed to reflect arrival & departure times. Arrival and Departure Times have also been added to the HPC Paperwork form. See attached documentation.	Approved	

CITE #10

Question	Explanation
Does the waiver service delivery documentation for all waiver billing codes include the group size in which the services were delivered?	ID's #1, ID #4 and #6- Provider's June/July/August 2013 HPC service delivery documentation did not include Group Size.

POC	Status	Comments
Documentation of HPC services for ID#'s 1, 4, & 6 for June, July, & August 2013 have been changed to reflect group sizes. Group size has also been added to the HPC Paperwork. See attached documentation.	Approved	

CITE #11

Question	Explanation
Does the waiver service delivery documentation for all waiver billing codes include the Description and details of the services delivered, including: Duration: The length of time that a service will be provided. A limit on the duration of services means that the service will no longer be provided after a specified period of time or, after a specified period of time, the necessity for the service is subject to review and reauthorization. The length of time the service is to be offered.	ID #4- Provider's June/July August 2013 HPC service delivery documentation did not include durations for services to be provided.

POC	Status	Comments
Duration for services provided for the months of June, July & August 2013 have been added to the service delivery documentation for ID#4. See attached documentation.	Approved	

CITE #12

Question	Explanation
Does the waiver service delivery documentation for all waiver billing codes include the description and details of the services delivered, including: Frequency: How often a service will be furnished to a beneficiary. The number of times the service is to be offered.	ID #4- Provider's June/July/August 2013 HPC service delivery documentation did not include frequencies for services to be provided.

POC	Status	Comments
Frequencies for services have been added to the HPC service delivery documentation for the months of June, July, & August 2013 for ID#4. See attached documentation.	Approved	

CITE #13

Question	Explanation
Does the staff person have a high school diploma or GED?	There was no evidence of a high school diploma or GED for staff Jerry Day, Angela Offerberger, & Amanda Emerson.

POC	Status	Comments
Copies of High School Diploma for Amanda Nice and High School Transcripts for Jerry Day and Angela Offenberger are attached.	Approved	

CITE #14

Question	Explanation
Did the provider/staff person providing HPC waiver services receive annual training in the principles to positive intervention culture?	The provider had no evidence of annual training in the principles to positive intervention culture for all staff who provide HPC waiver services.

POC	Status	Comments

Effective 8/12/13 staff will sign off on their annual MUI training that will also include training in principles of positive intervention culture for all staff that provides HPC services. Approved

CITE #15

Question	Explanation
Did the provider/staff person providing HPC waiver services receive annual training in self determination?	The provider had no evidence of annual training in self- determination for all staff who provide HPC waiver services.
POC	Status Comments
Effective 8/12/13 staff will sign off on their annual MUI training that will also include annual self-determination training for all staff that provides HPC services.	Approved

CITE #16

Question	Explanation
Did the provider/staff person providing HPC OR Adult Foster Care waiver services receive annual training in their role in providing behavior supports?	The provider had no evidence of annual training in their role in providing behavior supports for all staff who provide HPC waiver services.
POC	Status Comments
Effective 8/12/13 staff will sign off on their annual MUI training that will also include staff's role in providing behavior supports for all staff that provides HPC services.	Approved

CITE #17

Question	Explanation
Did the provider staff, prior to direct contact with individuals, sign a statement attesting that the staff person has never plead guilty to or been convicted of a disqualifying offense?	Provider was using a form for staff to sign to indicate they had never plead guilty to or been convicted of any disqualifying offences listed. However, that form did not include all disqualifying offenses per rule 5123:2-2-02; effective 1/1/2013.
POC	Status Comments
The old Attestation Form has been removed and the new form that includes all disqualifying offenses per rule 5123:2-2-02 (effective 1/1/13) is now in use for all new employees. All current employees will have completed the new Attestation form by 9/30/13.	Approved

CITE #18

Question	Explanation
Did the provider staff have current first aid certification?	There was no evidence of current First Aid for the following direct care staff:Shelli Ocheltree, Jim Hester, Angela Offerberger, & Jerry Day.
POC	Status Comments
CPR, First Aid, AED certification and training completed 8/12/13 for Shelli Ocheltree & Jerry Day; and Angela Offenberger and Jim Hester on 8/23/13. CPR/First Aid/AED training for NMT Drivers were faxed to DODD Reviewer Rob Auer 8/13/13.	Approved

CITE #19

Question	Explanation
Did the provider staff have current CPR certification?	There was no evidence of current CPR for the following direct care staff: Shelli Ocheltree, Jim Hester, Jerry Day, & Angela Offerberger.
POC	Status Comments
CPR, First Aid, AED certification and training completed 8/12/13 for Shelli Ocheltree & Jerry Day; and Angela Offenberger and Jim Hester on 8/23/13. CPR/First Aid/AED training for NMT Drivers were faxed to DODD Reviewer Rob Auer 8/13/13.	Approved

CITE #20

Question	Explanation
Did the provider staff have annual notification explaining conduct for which a DD employee may be included on the Abuser Registry?	The provider did not evidence informing employees annually of potential offenses that could result in them being placed on the Abuser Registry.
POC	Status Comments
Effective 8/12/13 staff will sign off on their annual MUI training that will also inform staff annually of potential offenses that could result in them being placed on the Abuser Registry.	Approved

CITE #21

Question	Explanation
Did the provider staff have an Abuser Registry check completed prior to direct contact with individuals?	There was no evidence to indicate the provider completed an Abuser Registry check for the following staff prior to direct contact with individuals: Shelli Ocheltree- hired 2/1/13, Abuser Registry check dated 6/10/13; Marissa McMullins (no longer employed) - hired 11/29/12, Abuser Registry check dated 1/21/13; Tammy Pullins – hired 6/11/11, Abuser Registry checked on 6/27/11; Jerry Day – hired 6/10/10, Abuser Registry checked on 8/17/10
POC	Status Comments
Effective 8/12/13 a process was started to begin organizing Nice's Services, LLC Personnel Files and hiring practices consistent with the DODD Provider Compliance "Personnel Review" chart. All employees hired, will have completed the requirements listed in the chart prior to direct service provision. Our target date for personnel file re-organization is 12/2/13.	Approved

CITE #22

Question	Explanation
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Did the provider staff have a Nurse Aide Registry check completed prior to direct contact with the individuals?

There was no evidence to indicate that the provider completed a Nurse Aide Registry check for the following staff prior to direct contact with individuals: Marlissa McMullins (no longer employed) - hired 11/29/12, Nurse Aide Registry check dated 1/21/13 Tammy Pullins – hired 6/11/11, Nurse Aid Registry check dated 6/27/11 Jerry Day – hired 6/10/10, Nurse Aide Registry checked on 8/17/10

POC	Status	Comments
Effective 8/12/13 a process was started to begin organizing Nice's Services, LLC Personnel Files consistent with the DODD Provider Compliance "Personnel Review" chart. All employees hired, will have completed the requirements listed in the chart prior to direct service provision. Our target date for personnel file re-organization is 12/2/13.	Approved	

CITE #23

Question	Explanation
Did the provider complete a BCII check on staff prior to direct contact with individuals?	BCII checks were not evidenced for employees Jim Hester, hired 1/25/13 & Amanda Emerson, hired 4/3/09.

POC	Status	Comments
Criminal background check was completed for Jim Hester, hired 1/25/13 on 12/12/12. Fingerprinting and local background check completed by the Waynesburg, Ohio Police Department on 3/26/09 for Amanda Emerson who was hired 4-3-09. A BCII was completed before she provided any direct care, however, the BCII record remains missing. An FBI check was completed on 12-9-09. See attached documentation. Effective 8/12/13 a process was started to begin organizing Nice's Services, LLC Personnel Files consistent with the DODD Provider Compliance "Personnel Review" chart. All employees hired, will have completed the requirements listed in the chart prior to direct service provision. Our target date for personnel file re-organization is 12/2/13.	Approved	

CITE #24

Question	Explanation
Did the agency provider/County Board maintain a log of unusual incidents which includes: • Name of Individual• Description of Incident• Identification of Injuries• Time/Date of Incident• Location of Incident• Preventative Measures	The provider had a UI/MUI form in place, but was not utilizing it

POC	Status	Comments
Staff will begin utilizing the UI/MUI log beginning 8/30/13.	Approved	

CITE #25

Question	Explanation
Did the agency provider/County Board conduct a monthly review of unusual incidents?	The provider did not conduct monthly reviews of their UI log to track for trends and patterns

POC	Status	Comments

Staff attended MUI Training on 8/27/13 with Marsha Castner from NEON. Monthly reviews of UI log to track trends and patterns will begin 8/30/13 Approved

CITE #26

Question	Explanation
Was the provider staff's name checked against the sex offender and child-victim offender database?	The provider did not check the Sex Offender and Child-Victim Offender database until 8/8/13 for staff Shelli Ocheltree, hired 2/1/13.
POC	Status Comments
Effective 8/12/13 a process was started to begin organizing Nice's Services, LLC Personnel Files consistent with the DODD Provider Compliance "Personnel Review" chart. All employees hired, will have completed the requirements listed in the chart prior to direct service provision.	Approved

CITE #27

Question	Explanation
Was the provider staff's name checked against the database of incarcerated and supervised offenders?	The provider did not check the Incarcerated and Supervised Offenders database until 8/8/13 for staff Shelli Ocheltree, hired 2/1/13.
POC	Status Comments
Effective 8/12/13 a process was started to begin organizing Nice's Services, LLC Personnel Files consistent with the DODD Provider Compliance "Personnel Review" chart. All employees hired, will have completed the requirements listed in the chart prior to direct service provision.	Approved