

Illinois Department of Public Health

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| STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION | (X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: IL6009377 | (X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____ | (X3) DATE SURVEY COMPLETED 06/29/2022 |
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| NAME OF PROVIDER OR SUPPLIER THE TERRACE | STREET ADDRESS, CITY, STATE, ZIP CODE 1615 SUNSET AVENUE WAUKEGAN, IL 60087 |
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| S9999 | <p>Final Observations</p> <p>Statement of Licensure Violation 1-2: 300.625 c)1)2)</p> <p>Section 300.625 Identified Offender</p> <p>c) If the results of a resident's criminal history background check reveal that the resident is an identified offender as defined in Section 1-114.01 of the Act, the facility shall do the following:</p> <p>1) Immediately notify the Department of State Police, in the form and manner required by the Department of State Police, that the resident is an identified offender.</p> <p>2) Within 72 hours, arrange for a fingerprint-based criminal history record inquiry to be requested on the identified offender resident. The inquiry shall be based on the subject's name, sex, race, date of birth, fingerprint images, and other identifiers required by the Department of State Police. The inquiry shall be processed through the files of the Department of State Police and the Federal Bureau of Investigation to locate any criminal history record information that may exist regarding the subject. The Federal Bureau of Investigation shall furnish to the Department of State Police, pursuant to an inquiry under this subsection (c)(2), any criminal history record information contained in its files.</p> <p>This REQUIREMENT was not met as evidenced by:</p> <p>Based on interview and record review the facility failed to notify the State Police and arrange for a</p> | S9999 | <p style="text-align: center;">Attachment A Statement of Licensure Violations</p> | |

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| LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE | TITLE | (X6) DATE |
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| S9999 | <p>Continued From page 1</p> <p>fingerprint based criminal background check within 72 hours followed by a risk assessment screening for 4 residents with a "Hit" found on their name based background check.</p> <p>This applies to 4 of 14 residents (R8, R27, R34, R111) reviewed for background checks in a sample of 16.</p> <p>The findings include:</p> <ol style="list-style-type: none"> 1. R8 EMR (Electronic Medical Record) shows that R8 was admitted to the facility on 2/19/21. <p>R8's name-based Background check was completed on 2/19/21 and shows that R8 had a "HIT".</p> <p>R8's Fingerprint Check Report shows that R8's fingerprints were not done until 5/5/22.</p> <p>R8's Care Plan, initiated on 6/29/22 states, "Resident has an identified criminal history with an order of protection." Interventions for this problem include: "Review the State Police criminal history analysis report."</p> <p>On 6/29/22 at 11:02 AM V18 (Admissions) stated, "We redid the request for fingerprints for (R8) in May, but he has never had a risk assessment done."</p> <ol style="list-style-type: none"> 2. R27's EMR shows that he was admitted to the facility on 12/8/21. <p>R27's name-based background check was completed on 12/8/21 and shows R27 had a "HIT".</p> <p>R27's Care Plan initiated on 6/16/22 states,</p> | S9999 | | |

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| S9999 | <p>Continued From page 2</p> <p>"Resident has been identified as an offender of a felony offense as listed in section 25 of the Healthcare Worker Background Check Act." The Interventions include: "Conduct Identified Offender Risk Screening Assessment."</p> <p>3. R34's EMR shows that he was admitted to the facility on 3/10/21.</p> <p>R34's name-based background check was completed on 3/11/21 and shows that he had a "HIT".</p> <p>R34's Care Plan initiated on 3/24/22 states, "Resident has been identified as an offender of a felony offense as listed in section 25 of the Healthcare Worker Background Check Act, has been initially screened and considered appropriate for admission according to the available history. Has misdemeanor convictions." Interventions include Review the State Police criminal history analysis report. "</p> <p>On 6/29/22 at 11:13 AM V13 (Social Services) stated, "I didn't know they had a hit. So I never requested the fingerprints or screening."</p> <p>4. R111's EMR shows that he was admitted to the facility on 2/1/22 and discharged on 3/24/22.</p> <p>R111's name-based background check was completed on 1/12/22 and shows that he had a "HIT".</p> <p>On 6/29/22 at 10:45 AM V18 stated that she was not employed by the facility at that time and could not find that any fingerprints or risk assessment screening had ever been done for R111.</p> <p>The facility policy entitled Abuse dated 3/2021</p> | S9999 | | |

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| S9999 | <p>Continued From page 3</p> <p>states, "For resident who are offenders, the facility shall incorporate the Identified Offender Report and Recommendations Report into the Identified Offender's plan of care including the security measures listed."</p> <p>This policy does not address the requirement to perform fingerprint background checks for residents found to have a criminal history on the name-based background check.</p> <p style="text-align: center;">(C)</p> <p>Statement of Licensure Violation 2-2: 300.661</p> <p>Section 300.661 Health Care Worker Background Check</p> <p>A facility shall comply with the Health Care Worker Background Check Act and the Health Care Worker Background Check Code.</p> <p>This REQUIREMENT was not met as evidenced by:</p> <p>Based on interview and record review the facility failed to complete Health Care Worker Background Checks for newly hired employees.</p> <p>This applies to all 59 residents residing in the facility.</p> <p>The findings Include:</p> <p>The CMS 672 Resident Census and Condition</p> | S9999 | | |

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| S9999 | <p>Continued From page 4</p> <p>form dated 6/27/22 shows a resident sample of 59.</p> <p>On 6/29/22 the facility provided a current employee list showing 14 employees hired since January of 2022.</p> <p>The facility provided background checks on V10 Certified Nursing Assistant (CNA), V22 Housekeeping, and V23 CNA. V22 and V23's background check does not show a date the background check was performed and V10's background check was incomplete.</p> <p>On 6/29/22 at 10:23 AM, V1 Administrator stated she has only been the administrator for a few days and there is no human resources person. V1 stated corporate human resources does the background checks. V1 stated she had no access to employee files, so she has no way to determine who is new and what their hire dates are. V1 stated corporate provided the current employee list and all the background checks for newly hired employees that they had. V1 stated background checks should be done within so many days of being hired for all employees.</p> <p>(C)</p> | S9999 | | |