STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION	(X3) DATE SURVEY COMPLETED
	525490	A. Building B. Wing	06/07/2024

NAME OF PROVIDER OR SUPPLIER	STREET ADDRESS, CITY, STATE, ZIP CODE
Aria of Waukesha	1451 Cleveland Ave Waukesha, WI 53186

For information on the nursing home's plan to correct this deficiency, please contact the nursing home or the state survey agency.

(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (Each deficiency must be preceded by full regulatory or LSC identifying information)
F 0607 Level of Harm - Minimal harm or potential for actual harm Residents Affected - Few	Develop and implement policies and procedures to prevent abuse, neglect, and theft. 40342 Based on staff interview and record review, the facility did not implement their written policies and procedures to prohibit and prevent abuse for 2 of 8 staff reviewed for caregiver background checks. The facility did not ensure thorough and timely caregiver background checks were completed for Laundry Aide (LA)-C and Certified Nursing Assistant (CNA)-D. Findings include: The facility's undated Abuse Prevention Program indicates: This facility affirms the right of our residents to be free from abuse, neglect, exploitation, misappropriation of property, or mistreatment .This will be done by: conducting pre-employment screening of employees and pre-admission screening of residents .This facility will not knowingly employ any staff convicted of any of the offenses affecting caregiver eligibility under the WI Caregiver Program .Prior to a new employee starting a work schedule, this facility will: .Obtain a Wisconsin Criminal History Record from the Wisconsin Department of Justice, Division of Law Enforcement Services for the individual being hired; and obtain a caregiver background check from the Department of Health Services for the individual being hired. The Wisconsin Caregiver Program: Offenses Affecting Caregiver Eligibility For Chapter 50 Programs, dated 4/2020, indicates: This document lists Wisconsin crimes and other offenses that the Wisconsin State Legislature, under the Caregiver Law, Wis. Stat. S 50.065, has determined require rehabilitation review approval before a person may receive regulatory approval, work as a caregiver, reside as a non-client resident at, or contract with an entity .Additional information must be obtained when: .The Background Information Disclosure (BID) or Department of Justice (DOJ) response indicates a conviction of any of the following, where the conviction occurred five years or less from the date on which the information was obtained .6. Disorderly Conduct Wis. Stat. S 947.01 .Note: These seven convictions do not prohibit employment, but do require the entity to obtain the criminal complaint and judgment of conviction from the Clerk of Courts office in the county where the person was convicted. On 6/7/24, Surveyor reviewed background check documents for 8 staff members, including LA-C and CNA-D and noted the following: (continued on next page)

Any deficiency statement ending with an asterisk (*) denotes a deficiency which the institution may be excused from correcting providing it is determined that other safeguards provide sufficient protection to the patients. (See instructions.) Except for nursing homes, the findings stated above are disclosable 90 days following the date of survey whether or not a plan of correction is provided. For nursing homes, the above findings and plans of correction are disclosable 14 days following the date these documents are made available to the facility. If deficiencies are cited, an approved plan of correction is requisite to continued program participation.

LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE	TITLE	(X6) DATE

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION	(X3) DATE SURVEY COMPLETED
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F 0607 Level of Harm - Minimal harm or potential for actual harm Residents Affected - Few	~ LA-C's hire date was listed as 2/15/24. LA-C's BID form was dated 2/20/24. LA-C's DOJ and Integrated Background Information System (IBIS) letters were dated 2/20/24. LA-C's BID form indicated LA-C previously resided in Florida. A Florida criminal background check was not provided. LA-C's Wisconsin DOJ letter indicated LA-C was convicted of Disorderly Conduct Wis. Stat. S 947.01 in 2023. ~ CNA-D's hire date was listed as 11/6/23. CNA-D's BID form was dated 3/29/24. CNA-D's DOJ and IBIS letters were dated 6/7/24. On 6/7/24 at 11:41 AM, Surveyor interviewed Human Resources Director (HRD)-E who stated the facility's process is to obtain a BID form and DOJ and IBIS letters prior to a new employee's first shift. When asked if the facility conducts out-of-state criminal background checks, HRD-E stated, I think we do national background checks. Don't get too many applicants out of state. I started here mid-March (2024). I would go to the state they were in (to obtain that state's criminal background check). Following a discussion of the above information related to LA-C, HRD-E reviewed LA-C's employee file. HRD-E stated LA-C's file did not contain a criminal background check from Florida and verified there was no additional information related to LA-C's disorderly conduct conviction. Following a discussion of the above information related to CNA-D, HRD-E stated HRD-E obtained CNA-D's DOJ and IBIS letters on 6/7/24 because HRD-E did not see current DOJ and IBIS letters in CNA-D's employee file. HRD-E stated CNA-D transferred from a sister facility and verified CNA-D started at the facility on 11/6/23. HRD-E verified the facility should have obtained a new BID form and DOJ and IBIS letters when CNA-D started employment. Upon request, HRD-E provided Surveyor with LA-C's punch details for 2/15/24 through 2/20/24. HRD-E verified LA-C worked shifts during that timeframe. On 6/7/24, Surveyor reviewed punch details for LA-C for 2/15/24 through 2/21/24 which indicated LA-C worked 11:00 AM to 3:30 PM on 2/15/24, 8:00 AM to 3:30 PM on 2/16/24, 8:00 AM to 3:30 PM on 2/19/24, and 8:00 AM to 3:30 PM on 2/20/24. Surveyor reviewed the Background Request Payment document attached to LA-C's DOJ and IBIS letters which indicated the request was made and paid for on 2/20/24 at 1:35 PM. On 6/7/24 at 12:12 PM, Surveyor interviewed Regional Director of Clinical Operations (RDCO)-F who verified background checks should be completed at a new facility when an employee switches facilities within the corporation. RDCO-F verified background checks should to be done upon hire prior to the employee's first shift. Following a discussion about the facility's policy that does not address out-of-state criminal background checks, RDCO-F indicated a national criminal background check is performed on all employees. On 6/7/24 at 12:25 PM, Surveyor interviewed Nursing Home Administrator (NHA)-A who verified the facility did not have proof that a national criminal background check was obtained for LA-C. NHA-A stated the national criminal background check should have been run and printed for LA-C's file.