

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
CENTERS FOR MEDICARE & MEDICAID SERVICES

PRINTED: 03/20/2015  
FORM APPROVED  
OMB NO. 0938-0391

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  15K024		X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING		X3) DATE SURVEY COMPLETED 01/14/2015	
NAME OF PROVIDER OR SUPPLIER  ABOVE & BEYOND HOMECARE INC				STREET ADDRESS, CITY, STATE, ZIP CODE 1320 E 53RD ST STE A ANDERSON, IN 46013			
(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)			ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)		(X5) COMPLETION DATE
G 000  Bldg. 00	<p>This was a home health federal complaint investigation.</p> <p>Complaint IN00152205- Unsubstantiated: lack of sufficient evidence Complaint IN00158012 -Substantiated: Federal and State deficiencies related to the allegation are cited with unrelated federal and state citations.</p> <p>Survey Date: January 14, 2015</p> <p>Facility #004808</p> <p>Surveyors: Kelly Hemmelgarn, R.N. Surveyor Supervisor</p> <p>Linda Dubak, R.N. Public Health Nurse Surveyor</p> <p>Quality Review: Joyce Elder, MSN, BSN, RN February 11, 2015</p>			G 000			

LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

TITLE

(X6) DATE

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.

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G 125  Bldg. 00	<p>484.14 ORGANIZATION, SERVICES &amp; ADMINISTRATION All services not furnished directly, including services provided through subunits are monitored and controlled by the parent agency.</p> <p>Based on observation, record review, and interview, the agency failed to ensure the state agency was notified of branch sites and branches were approved by the Centers for Medicare and Medicaid Services (CMS) prior to two locations functioning as a branch for 1 of 1 agency.</p> <p>Findings include:</p> <p>1. On 1/12/15, the location at 40 West 500 South, Suite B, Marion, IN was observed and a sign was present which stated, "Above &amp; Beyond HomeCare - Bringing Medical Care Home."</p> <p>2. On 1/14/15, the location at 3304 North Reserve Street, Muncie, IN was observed and there was signage out front of the building which stated, "Above &amp; Beyond Homecare -Bringing Medical Care Home." There were business hours posted on the front door of the building which listed the hours being Monday-Friday 9:00 A.M. to 4:00 P.M., and stated beneath the hours of operation "Above &amp; Beyond Homecare 284-0990".</p>		G 125	<p>Compliance being achieved by submitting branch application contemporaneouslywith plan of correction if compliance not achieved by approval of applicationfor Branch status of Marion and Muncie sites, the sites will be closed andadvertising removed including web based advertising. The Administrator will ensure compliance ofthis corrective action upon receiving notice of application status.</p>		04/01/2015	

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	<p>The office was entered and employee #1 and employee #2 were sitting at desks at the entrance taking phone calls. The main area of the office had three desks for the two case managers (employee #1 and employee #2) and one for a nurse, there was a conference room for training staff which had a cabinet that contained gloves, a supply room for nursing, a separate room with a large executive style desk with computer for a nurse.</p> <p>3. On 1/13/15, the web site <a href="http://www.homecareindiana.com">http://www.homecareindiana.com</a> was reviewed and stated, "... Serving Central Indiana with offices in Anderson, Muncie, and Marion, IN ... Contact us today. Anderson Phone: (765) 622-0999 ... Muncie Phone: (765) 284-0990 ... Marion Phone: (765) 651-0999 ... About Us-Above &amp; Beyond, Inc. is a home health care company that is passionate about caring for those in need. Based in Anderson, Indiana and with offices in Muncie and Marion, we offer homecare throughout Indiana."</p> <p>4. On 1/13/14 a Facebook page titled "Above &amp; Beyond HomeCare" was reviewed that contained pictures of employees with captions to indicate being employee of the month in Muncie, Marion, and Anderson.</p>						

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	<p>5. On 1/14/15 at 9:20 a.m., the nursing supervisor was interviewed and indicated there were branches located in Marion and Muncie. The locations were utilized for dropping off time sheets, picking up forms/paychecks, and had case managers assigned to the locations that would schedule home visits.</p> <p>6. On 1/14/15 at 9:50 a.m., employee #1, was interviewed at the Muncie location and indicated the office used to be located on Tillotson in Muncie prior to opening at this location on Labor Day 2014. Employee #1 indicated only herself and employee #2 are assigned employees at this location, plus one nurse which depends on who is scheduled. Employee #1 indicated there was another location similar to the Muncie location in Marion, IN, with the Anderson, IN location being the main office. Employee #1 indicated their position as case manager was to schedule aides, contact clients, and address call-off and each case manager had a list of patients they were responsible for. Employee #1 indicated the Muncie office takes referrals and served approximately 52 patients.</p> <p>7. On 1/14/15 at 11:20 a.m., interview with administrator, alternate administrator, and nursing supervisor. The administrator indicated the Muncie</p>						

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G 223  Bldg. 00	<p>and Marion locations have both been operating for 6-7 years and used for scheduling and picking up checks. The alternate administrator indicated there were specific staff assigned to those locations and agreed there were signs present advertising the locations. The administrator indicated the Marion location provided services to approximately 50 clients.</p> <p>484.36(c)(1) ASSIGNMENT &amp; DUTIES OF HOME HEALTH AIDE The home health aide is assigned to a specific patient by the registered nurse.</p> <p>Based on interview and record review the agency failed to ensure home health aides were only assigned to their patient by a registered nurse in 1 of 1 agency.</p> <p>Findings include:</p> <p>1. On 1/14/15 at 9:50 a.m., employee #1 (case manager) was interviewed at the Muncie branch and indicated only herself and employee #2 are assigned employees at this location, plus one nurse which</p>		G 223	<p>The Administrator and Director of Nursing has in-serviced Nursing Staff, Schedulers, and administrative personnel that only a Registered Nurse (Health Care Professional) can assign Home Health Aide to Specific Patient.</p> <p>The Director of Nursing will verify compliance with nurses by weekly meetings. Director of Nursing will be responsible for monitoring these corrective actions to ensure that this deficiency is corrected and will not recur.</p>		03/17/2015	

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	<p>depends on who is scheduled. Employee #1 indicated their position as case manager was to schedule and assign home health aides, contact clients, and address call-offs, and oversee the aide and each case manager had a list of patients they were responsible for.</p> <p>3. On 1/14/15 at 11:00 a.m., employee #3 [case manager] was interviewed and indicated case managers were assigned for each location in Anderson, Muncie, and Marion. Employee #3 indicated the role of the case manager was to oversee the home health aide and create a schedule for the client they are assigned. Nurses will conduct the admission, but the case manager (non-nurse) will contact the client with hours and make sure times work for client. The case manager will contact home health aides to offer/assign the case and put onto the schedule. Case manager #3 (home health aide) indicated if a case requires a special skill, a more experienced aide will train the new aide in the home and the more experienced aide will provide the case manager feedback.</p> <p>4. Case Manager assignment sheets were reviewed for employee #1 and indicated they were responsible for 27 patients and employee #2's assignment responsibility was 29 patients.</p>						

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N 000  Bldg. 00	<p>5. The job description for 'Case Manager' indicated, "Schedules - Formulates schedule for patients, ensures that schedules have the appropriate home health aides, case managers need to ensure fair distribution of cases."</p> <p>6. On 1/14/15 at 11:20 a.m., interview with administrator, alternate administrator, and nursing supervisor. The administrator indicated the case managers were not health care professionals as defined in 410 IAC 17-9-15.</p> <p>This visit was for a state home health complaint investigation.</p> <p>Complaint IN00152205 - Unsubstantiated: lack of sufficient evidence</p> <p>Complaint IN00158012 -Substantiated: Federal and State deficiencies related to the allegation are cited with unrelated federal and state citations.</p>		N 000				

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N 447  Bldg. 00	<p>Survey Date: January 14, 2015</p> <p>Facility #004808</p> <p>Surveyors: Kelly Hemmelgarn, R.N. Surveyor Supervisor</p> <p>Linda Dubak, R.N. Public Health Nurse Surveyor</p> <p>Quality Review: Joyce Elder, MSN, BSN, RN February 11, 2015</p> <p>410 IAC 17-12-1(c)(4) Home health agency administration/management Rule 12 Sec. 1(c)(4) The administrator, who may also be the supervising physician or registered nurse required by subsection (d), shall do the following: (4) Ensure the accuracy of public information materials and activities.</p> <p>Based on observation, record review, and interview, the agency failed to ensure the state agency was notified of branch sites and branches were approved by the Centers for Medicare and Medicaid Services (CMS) prior to two locations functioning as a branch for 1 of 1 agency.</p> <p>Findings include:</p>			N 447	<p>Compliance being achieved by submitting branch application contemporaneously with plan of correction if compliance not achieved by approval of application for Branch status of Marion and Muncie sites, the sites will be closed and advertising removed including web based advertising. The Administrator will ensure compliance of this</p>		04/01/2015



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	<p>Muncie, and Marion, IN ... Contact us today. Anderson Phone: (765) 622-0999 ... Muncie Phone: (765) 284-0990 ... Marion Phone: (765) 651-0999 ... About Us-Above &amp; Beyond, Inc. is a home health care company that is passionate about caring for those in need. Based in Anderson, Indiana and with offices in Muncie and Marion, we offer homecare throughout Indiana."</p> <p>4. On 1/13/14 a Facebook page titled "Above &amp; Beyond HomeCare" was reviewed that contained pictures of employees with captions to indicate being employee of the month in Muncie, Marion, and Anderson.</p> <p>5. On 1/14/15 at 9:20 a.m., the nursing supervisor was interviewed and indicated there were branches located in Marion and Muncie. The locations were utilized for dropping off time sheets, picking up forms/paychecks, and had case managers assigned to the locations that would schedule home visits.</p> <p>6. On 1/14/15 at 9:50 a.m., employee #1, was interviewed at the Muncie location and indicated the office used to be located on Tillotson in Muncie prior to opening at this location on Labor Day 2014. Employee #1 indicated only herself and employee #2 are assigned</p>						

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N 476  Bldg. 00	<p>employees at this location, plus one nurse which depends on who is scheduled. Employee #1 indicated there was another location similar to the Muncie location in Marion, IN, with the Anderson, IN location being the main office. Employee #1 indicated their position as case manager was to schedule aides, contact clients, and address call-off and each case manager had a list of patients they were responsible for. Employee #1 indicated the Muncie office takes referrals and served approximately 52 patients.</p> <p>7. On 1/14/15 at 11:20 a.m., interview with administrator, alternate administrator, and nursing supervisor. The administrator indicated the Muncie and Marion locations have both been operating for 6-7 years and used for scheduling and picking up checks. The alternate administrator indicated there were specific staff assigned to those locations and agreed there were signs present advertising the locations. The administrator indicated the Marion location provided services to approximately 50 clients.</p> <p>410 IAC 17-12-2(c) Q A and performance improvement Rule 12 Sec. 2(c) In all cases involving the</p>						

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	<p>provision of home health aide services the home health agency shall provide case management by a health care professional acting within the scope of his or her practice. Such case management shall include an initial home visit for assessment of a patient's needs to determine the type, appropriateness, and adequacy of requested service, and the development of the patient care plan.</p> <p>Based on interview and review of records, the agency failed to ensure case management of home health aides was conducted by qualified healthcare professionals in 1 of 1 agency.</p> <p>Findings include:</p> <p>1. On 1/14/15 at 9:50 a.m., employee #1 (case manager) was interviewed at the Muncie branch and indicated only herself and employee #2 are assigned employees at this location, plus one nurse which depends on who is scheduled. Employee #1 indicated their position as case manager was to schedule and assign home health aides, contact clients, and address call-offs, and oversee the aide and each case manager had a list of patients they were responsible for.</p> <p>3. On 1/14/15 at 11:00 a.m., employee #3 [case manager] was interviewed and indicated case managers were assigned for each location in Anderson, Muncie, and Marion. Employee #3 indicated the</p>			N 476	<p>The Administrator and Director of Nursing have in-serviced Nursing Staff, Schedulers, and administrative personnel that only a Registered Nurse (Health Care Professional) can assign Home Health Aide to Specific Patient. The Director of Nursing will verify compliance with nurses by weekly meetings. Director of Nursing will be responsible for monitoring these corrective actions to ensure that this deficiency is corrected and will not recur.</p>		03/17/2015

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	<p>role of the case manager was to oversee the home health aide and create a schedule for the client they are assigned. Nurses will conduct the admission, but the case manager (non-nurse) will contact the client with hours and make sure times work for client. The case manager will contact home health aides to offer/assign the case and put onto the schedule. Case manager #3 (home health aide) indicated if a case requires a special skill, a more experienced aide will train the new aide in the home and the more experienced aide will provide the case manager feedback.</p> <p>4. Case Manager assignment sheets were reviewed for employee #1 and indicated they were responsible for 27 patients and employee #2's assignment responsibility was 29 patients.</p> <p>5. The job description for 'Case Manager' indicated, "Schedules - Formulates schedule for patients, ensures that schedules have the appropriate home health aides, case managers need to ensure fair distribution of cases."</p> <p>6. On 1/14/15 at 11:20 a.m., interview with administrator, alternate administrator, and nursing supervisor. The administrator indicated the case managers were not health care</p>						

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N 602  Bldg. 00	<p>professionals as defined in 410 IAC 17-9-15.</p> <p>410 IAC 17-14-1(m) Scope of Services Rule 14 Sec. 1(m) The home health aide shall be assigned to a particular patient by a registered nurse (or therapist in therapy only cases).</p> <p>Based on interview and record review the agency failed to ensure home health aides were only assigned to their patient by a registered nurse in 1 of 1 agency.</p> <p>Findings include:</p> <p>1. On 1/14/15 at 9:50 a.m., employee #1 (case manager) was interviewed at the Muncie branch and indicated only herself and employee #2 are assigned employees at this location, plus one nurse which depends on who is scheduled. Employee #1 indicated their position as case manager was to schedule and assign home health aides, contact clients, and address call-offs, and oversee the aide and each case manager had a list of patients they were responsible for.</p> <p>3. On 1/14/15 at 11:00 a.m., employee #3 [case manager] was interviewed and</p>		N 602	<p>The Administrator and Director of Nursing have in-serviced Nursing Staff, Schedulers, and administrative personnel that only a Registered Nurse (Health Care Professional) can assign Home Health Aide to Specific Patient.</p> <p>The Director of Nursing will verify compliance with nurses by weekly meetings. Director of Nursing will be responsible for monitoring these corrective actions to ensure that this deficiency is corrected and will not recur.</p>		03/17/2015	

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NAME OF PROVIDER OR SUPPLIER  ABOVE & BEYOND HOMECARE INC				STREET ADDRESS, CITY, STATE, ZIP CODE 1320 E 53RD ST STE A ANDERSON, IN 46013			
(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)			ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)		(X5) COMPLETION DATE
	<p>indicated case managers were assigned for each location in Anderson, Muncie, and Marion. Employee #3 indicated the role of the case manager was to oversee the home health aide and create a schedule for the client they are assigned. Nurses will conduct the admission, but the case manager (non-nurse) will contact the client with hours and make sure times work for client. The case manager will contact home health aides to offer/assign the case and put onto the schedule. Case manager #3 (home health aide) indicated if a case requires a special skill, a more experienced aide will train the new aide in the home and the more experienced aide will provide the case manager feedback.</p> <p>4. Case Manager assignment sheets were reviewed for employee #1 and indicated they were responsible for 27 patients and employee #2's assignment responsibility was 29 patients.</p> <p>5. The job description for 'Case Manager' indicated, "Schedules - Formulates schedule for patients, ensures that schedules have the appropriate home health aides, case managers need to ensure fair distribution of cases."</p> <p>6. On 1/14/15 at 11:20 a.m., interview with administrator, alternate</p>						

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
CENTERS FOR MEDICARE & MEDICAID SERVICES

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FORM APPROVED

OMB NO. 0938-0391

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	administrator, and nursing supervisor. The administrator indicated the case managers were not health care professionals as defined in 410 IAC 17-9-15.						