

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 15K108	X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING _____	X3) DATE SURVEY COMPLETED 08/08/2016
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NAME OF PROVIDER OR SUPPLIER HOME HEALTHCARE ASSOCIATES INC	STREET ADDRESS, CITY, STATE, ZIP CODE 6431 GEORGETOWN NORTH BLVD FORT WAYNE, IN 46815
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G 0000 Bldg. 00	<p>This was a revisit for the Federal home health recertification survey completed on June 21, 2016</p> <p>Survey Date: August 3, 4, 5, 8, and 9, 2016</p> <p>Facility #: 004998</p> <p>Medicaid Vendor #: 201184760</p> <p>Sample: RR w/o HV: 4 RR w/HV: 1 HV w/o RR: 2 Total: 7</p> <p>During this survey, 2 Conditions of Participation and 19 standard level deficiencies were found corrected. One Condition of Participation was re-cited, 1 additional Condition of Participation was cited; and 5 standard level deficiencies were re-cited.</p> <p>Home Healthcare Associates, Inc. is precluded from providing its own home health aide training and competency evaluation program for a period of 2 years beginning August 9, 2016, for being found out of compliance with the</p>	G 0000		
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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 0133 Bldg. 00	<p>Conditions of Participation 42 CFR 484.18 Acceptance of Patients, and 484.48: Clinical Records.</p> <p>484.14(c) ADMINISTRATOR The administrator, who may also be the supervising physician or registered nurse required under paragraph (d) of this section, organizes and directs the agency's ongoing functions; maintains ongoing liaison among the governing body, the group of professional personnel, and the staff. Based on document review and interview, the administrator failed to ensure the agency had adequate staffing for 2 of 5 clinical records reviewed (# 1 and 5); failed to ensure patients who were not receiving care due to lack of staffing were discharged from the agency; failed to ensure review of missed visits did not result in patients going without care for extended periods of time (# 1 and 5); and failed to ensure staff followed documentation policies for 1 of 5 clinical records reviewed (#2).</p> <p>Findings include</p>	G 0133	<p>The Governing Body of Home Healthcare Associates, Inc. takes regulatory compliance very seriously and desires that this Plan of Correction serve as their Credible Allegation of Compliance with the Federal Conditions of Participation and the Indiana State Rules governing Home Health. The Agency will ensure adequate staffing by making the following changes:</p> <ol style="list-style-type: none"> 1. The Agency will ensure all home health aide visits are made timely and as ordered by the physician. 2. The Agency is reducing the size of their service area to include only Allen and Whitley County. This will 	09/09/2016

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	<p>1. Clinical record # 1 was reviewed on 8/5/16. Start of care date 4/20/15. The plan of care dated 6/13-8/11/16 contained orders for Skilled Nurse (SN) 1 time a week for 9 weeks for medication set up, and 3 as needed (PRN) visits for change in condition; Home Health Aide (HHA) 12 visits a week for 1 week, 14 visits a week for 7 weeks, and 10 visits a week for 1 week, each visit lasting 2 hours. The record failed to evidence all HHA visits were completed as ordered, with most missed visits related to lack of staff and a total of 40.5 visits were missed between 6/22-8/2/16.</p> <p>A. The Missed Visit Note dated 6/23 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p> <p>B. The Missed Visit Note dated 6/24 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p> <p>C. The Missed Visit Note dated 6/27 and 6/28/16 visits stated "Reason: ... 6/27 Patient refuses care," and "6/28 Staff call off, unable to replace ... (employee L, HHA)."</p> <p>D. The Missed Visit Note dated</p>		<p>eliminate the challenge of long drive times for the homehealth aides. 3. The home health aides will be assigned to geographic coverage areas in order to decrease their mileage and drive time. 4. The Agency has decreased their census by 15patients and the agency is able to staff all their patients at the physician ordered visit frequency. 5. The Agency will implement the utilization of "on-call" home health aides who will be available to staff patients whenever a home health aide calls off or is on vacation. 6. Physicians will be notified weekly of missed visits and physician orders written to updated the home health aide frequency orders. 7. Based on accurately completed patient assessments, an individualized range of visit frequencies will be established and documented in the plan of care. 8. RN Case Managers will be instructed to remind their patients and caregivers to call the agency whenever their home health aide is late. 9. The RN Case Managers have been instructed on the required elements of the 60 day summary. In order to prevent recurrence of this deficiency the agency will institute the following processes: 10. The Director of Nursing or designee will review all referrals to evaluate if there is adequate staffing available in their geographic location to meet the</p>	

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	<p>7/4-7/8/16 AM visits stated "Reason: ... Staff (employee M, HHA) didn't show. Didn't know until over a week later." This note was not created until 7/28/16 and failed to evidence the physician was notified until 7/28/16, not per the agency's 72 hour policy.</p> <p>-The Skilled Nurse Visit Note dated 7/5/16 stated "Home Health Aide Supervision ... Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes" and the Narrative Notes stated "Has not seen the morning aide call to supervisor to advise." This note failed to evidence the Registered Nurse (RN) was made aware of HHA visits not being made on 7/4/16.</p> <p>E. The Missed Visit Notes dated 7/12/16 and 7/14/16 stated "Reason: ... Other, Unable to replace aide."</p> <p>- The Skilled Nursing Visit Note dated 7/12/16 stated "Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Personal Care Given, Yes; Client Satisfied, Yes." The morning HHA was present at the supervisory visit. This note failed to evidence the RN was made aware of HHA visits not being completed in the past week, and failed to evidence</p>		<p>patient needs. 11. A system will be implemented in which the home health aide will call in to the office when they arrive and depart from eachpatient home. This will provide atracking system to evaluate for missed visits and to track the length of time the home health aide stays with the patient. 12. The RN Case Managers have been instructed on the following Policies: Missed Visits,Acceptance of Patients, Documentation Standards and Guidelines, and Professional Standards and practice Compliance. 13. In addition the Administrator and Director of Nursing are implementing a new daily report requirement for the RN CaseManagers. The RN Case Managers are toreport the following on a daily basis to the DON and/or Administrator: home health aide or RN staffing concerns, patient "changes in condition, patients newly started on antibiotics, patient falls, patient concern/needs, patient hospitalization, patient ED visits, and areview of their patients' assessments and functional mobility. The Agency will ensure staff follows documentation policies and requirements related to the patient missed visits, patient discharge processes, 60 day summary requirements, communication and coordination of care requirements by implementing the following measures: 1. The Agency has</p>	

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	<p>discharge planning discussions.</p> <p>F. The Aide Visit Note dated 7/23/15 failed to evidence the HHA provided 2 hours of care as ordered, and stated "Time In 17:30 ... Time Out 18:30."</p> <p>G. The Missed Visit Note dated 7/24/16 stated "Reason: ... Staff call off, unable to replace (employee L)."</p> <p>H. The Missed Visit Note dated 7/25-7/29/16 AM visits stated "Reason: ... Staff didn't show 7/25-7/28, unable to replace (employee N); and 7/29 no aide available to take [aide's] place."</p> <p>I. The Missed Visit Note dated 7/25-7/27/16 PM (evening) visits stated "Reason: ... Staff didn't show, unable to replace (employee L), didn't find out until 7/28 in AM."</p> <p>J. The Missed Visit Note dated 7/30 and 7/31/16 stated "Reason: ... Unable to replace aide."</p> <p>-The Skilled Nursing Visit Note dated 8/1/16 stated "Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes." This note failed to evidence the RN was made aware of HHA visits not being completed in the</p>		<p>instituted certification check lists to remind RN Case Managers of their documentation requirements at all certification timepoints. The management team audits all documentation at the certification timepoints utilizing the certification checklists. 2. The Agency will implement "random" Administrative Supervisory visits to evaluate their RN and HHA staff for compliance. The Agency Administrator and Director of Nursing are responsible for compliance with this regulation.</p>	

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	<p>past week, and failed to evidence discharge planning discussions.</p> <p>K. The Missed Visit Note dated 8/1 and 8/2/16 stated "Both AM and PM visits ... Reason: ... Unable to staff."</p> <p>L. The Interdisciplinary Communication note dated 7/20/16 stated "Patient had missed visits the following dates with explanation following: 6/23/16 unable to replace aide, 6/24/16 unable to replace aide, 6/27/16 unable to replace aide, 6/28/16 unable to replace aide, 6/29/16 patient refused care, 7/11/16 patient not home when aide arrived, 7/12/16 unable to replace aide, 7/14/16 unable to replace aide." This communication note failed to include the 7/4-7/8 staff no- show dates.</p> <p>M. During interview on 8/5/16 at 2:20 PM, employee A (Nursing Supervisor) stated the patient did not tell the agency the HHAs were not showing up, and the agency did not catch it. Employee A stated employee M (HHA) was terminated because she wanted to pick and chose her own patients. Employee A stated for 7/25-27 the agency did not know until 2 days afterward that employee L was not showing up, and the agency does not have any staff willing to drive that far.</p>			

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	<p>Employee A stated the agency had already began reviewing the records for consistency but missed this issue.</p> <p>N. During interview on 8/5/16 at 2:25 PM, employee C (office manager) stated HHA employee K suddenly quit on 6/29/16.</p> <p>O. The Interdisciplinary Communication note dated 8/3/16 at 2:40 PM created by employee C stated "Late entry from 08/02/2016 I called [name] at Iahhc [Indiana Association of Home and Hospice Care] to get a list of agencies that service the [patient's town] area. I then called several agencies in order to find a new agency to staff [patient #1], due to staffing issues in [patient's] area. All the agencies I contacted did not have staffing in [patient's] area to take [patient's] case on. Agencies I called are as follows: DeKalb Cameron Interim Maxim Parkview Sunshine Veritcal."</p> <p>P. During telephone interview on 8/9/16 at 11:11 AM, non-employee AA from Cameron Home Health stated that</p>			

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	<p>patient's town is out of their territory so the would not have taken the referral at all.</p> <p>Q. During telephone interview on 8/9/16 at 11:02 AM, non-employee BB from DeKalb Home Health and Hospice stated they did not receive any information about this patient, she checked with the other intake person and the Administrator and they had not heard of the patient. The agency did not state staffing would be an issue.</p> <p>R. During interview on 8/9/16 at 12:50 PM, employee C stated she probably did not give the patient's name to the agencies, only asked if they would be able to staff patient # 1 and another patient, and she did not want to give out too much information if they could not take the patients. Employee C stated DeKalb said it was too far South of them, Cameron said it was too far, some agencies don't do Medicaid or HHA services, and Sunshine is only focusing on down town Fort Wayne area currently.</p> <p>S. Attempts to contact the patient were completed on 8/9/16 at 11:34 AM, and 12:03 PM...the patient did not answer.</p> <p>T. Called patient's emergency contact person at 12:09 PM on 8/9/16, left a</p>			

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	<p>message to call back. As of 2:30 PM on 8/9/16, no return call had been made.</p> <p>2. The clinical record for patient # 2 was reviewed on 8/4/16. Start of care dated 12/17/2013. The plan of care dated 6/4-8/2/16 contained orders for Home Health Aide (HHA) 5 times a week for 8 weeks, then 2 times a week for 1 week. The 60 day summary failed to mention the patient fall.</p> <p>A. The agency's fall report log for 2016 evidenced patient's # 2 tripped on 6/27/16 and broke their nose.</p> <p>B. An un-titled document dated 6/29/2016 stated "Per Group home staff, patient had a trip and fall resulting in a broken nose. Patient was taken to ER [emergency room], no further treatment needed. MD [doctor] is aware. Reported to [employee O, RN] during supervisory visit. Fall was reported as occurring on 6/27/2016." This document failed to evidence a time and signature of who created it.</p> <p>C. The Skilled Nursing Visit Note dated 6/30/2016 Narrative Notes stated "Pt [Patient] had a fall on Monday and was sent to ER X-ray showed [patient] fractured [patient's] nose."</p>			

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	<p>D. The 60 day Plan of Care Summary dated for the certification period 6/4/2016-8/2/2016 stated "Per staff, patient has had no hospitalizations, falls, ER visits, or injuries during the last 60 days." This form was signed by employee A (Nursing Supervisor) on 8/1/16.</p> <p>3. During interview on 8/5/16 at 12:30 PM, employee A stated the entry about patient # 2 not having fallen was an error.</p> <p>4. Clinical record # 5 was reviewed on 8/4/16. Start of care date 12/26/13. The plan of care dated 6/13-8/11/16 contained orders for HHA 18 visits a week for 1 week; 21 visits a week for 7 weeks, and 15 visits a week for 1 week; 2 HHAs for 2 hours each in the morning and 1 HHA for 2 hours in the evening. The record failed to evidence a second HHA was provided as ordered for 7 visits between 6/22-8/2/16, most due to being unable to staff a second HHA in the mornings.</p> <p>A. The Missed Visit Note dated 6/28/16 stated "Reason: ... Unable to replace (employee CC, previous HHA)."</p> <p>B. The Missed Visit Note dated 7/2/16 stated "Reason: ... Patient Refuses Care."</p>			

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	<p>C. The Missed Visit Note dated 7/3/16 AM visit stated "Reason: ... Patient Refuses Care."</p> <p>D. The Missed Visit Note dated 7/6/16 AM visit stated "Reason: ... unable to replace 2nd Aide."</p> <p>E. The Missed Visit Note dated 7/13/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>F. The Missed Visit Note dated 7/20/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>G. The Missed Visit Note dated 7/28 and 7/29/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>H. The Skilled Nursing Visit Note dated 7/5/16 stated "pt [patient] voices no complaints is happy with services."</p> <p>I. The Skilled Nursing Visit Note dated 7/21/16 stated "Home Health Aide Supervision ... Client Satisfied Yes."</p> <p>J. During telephone interview with patient # 5 on 8/5/16 at 1:10 PM, patient # 5 stated the agency has been having trouble getting a second HHA in the morning every other weekend while 1 was on vacation, and patient has asked to</p>			

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	<p>get new HHAs in to train. Patient stated they were told the agency is working on this, but when a second HHA is unavailable, the patient has to have a bed bath instead of a shower. Patient did voice they are content with the care and the HHAs are awesome.</p> <p>5. The agency's undated policy titled "Missed Visits," no number, stated "Procedure: If the staff member is unable to be replaced and the patient's Plan of Care visit frequency is not met, the missed visit will be recorded and the patient's physician will be notified within 72 hours. If the patient has several missed visits due to staff call offs, weather emergency or reason other than patient request, the physician will be notified within 72 hours in writing and orders will be obtained if necessary to change frequency."</p> <p>6. The agency's undated policy titled "Acceptance of Patients," no date, stated "procedure: If we cannot meet a patient's needs or their home environment will not support our services, we will not admit the patient nor will we continue to provide services. If we are unable to provide you with physician ordered services we may upon patient request provide a list of other home care providers."</p>			

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	<p>7. The agency's un-dated policy titled "Documentation Standards and Guidelines," no number, stated "Procedure: The 10 C's of Documentation 1. Correct: Accurate documentation of observations, assessments, events, services, and treatments, accurate notation of the date and time of documentation; signature of the documenter. ... 5. Complete: All pertinent information included. ... The DO'S of Charting Do sign every entry you make."</p> <p>8. The agency's un-dated job description titled "Registered Nurse," no number, stated "Essential Job Functions Provides assessment, management, and evaluation of the patient's plan of care ... Completes documentation at each needed interval for each assigned patient."</p> <p>9. The agency's un-dated policy titled "Professional Standards and Practice Compliance," no number, stated "POLICY: Home Healthcare Associates will ensure that all staff, employed by Home Healthcare associates and/or contracted, follow professional practice standards as determined by their respective disciplines."</p>			

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G 0156 Bldg. 00	<p>484.18 ACCEPTANCE OF PATIENTS, POC, MED SUPER</p> <p>Based on document review and interview, the agency failed to adequately meet the staffing needs of 2 patients for 40.5 visits in 42 days (#1), 7 visits in 42 days for another patient (#5), and failed to discharge the patient per policy (See G 157); and failed to ensure home health aide visits were provided as ordered by the physician, and failed to evidence the agency notified the physician within 72 hours for missed visits and to obtain orders for a new frequency for 2 of 8 clinical records reviewed (See G 158).</p> <p>The cumulative effect of this systemic problem resulted in the agency being out of compliance with the Condition of Participation 484.18 Acceptance of patients, plan of care & medical supervision.</p>	G 0156	The Governing Body of Home Healthcare Associates, Inc. takes regulatory compliance very seriously and desires that this Plan of Correction serve as their Credible Allegation of Compliance with the Federal Conditions of Participation and the Indiana State Rules governing Home Health. The Governing Body of Home Healthcare Associates, INC. takes regulatory compliance very seriously and desires that this Plan of Correction for G157, and G158 serve as their Credible Allegation of compliance with the Federal Condition of Participation 484.18.	09/09/2016
G 0157	<p>484.18 ACCEPTANCE OF PATIENTS, POC, MED</p>			

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Bldg. 00	<p>SUPER</p> <p>Patients are accepted for treatment on the basis of a reasonable expectation that the patient's medical, nursing, and social needs can be met adequately by the agency in the patient's place of residence.</p> <p>Based on document review and interview, the agency failed to adequately meet the staffing needs of 2 patients for 40.5 visits in 42 days (#1), 7 visits in 42 days for another patient (#5), and failed to discharge the patient per policy (#1).</p> <p>Findings include</p> <p>1. Clinical record # 1 was reviewed on 8/5/16. Start of care date 4/20/15. The plan of care dated 6/13-8/11/16 contained orders for Skilled Nurse (SN) 1 time a week for 9 weeks for medication set up, and 3 as needed (PRN) visits for change in condition; Home Health Aide (HHA) 12 visits a week for 1 week, 14 visits a week for 7 weeks, and 10 visits a week for 1 week, each visit lasting 2 hours. The record failed to evidence all HHA visits were completed as ordered, with most missed visits related to lack of staff and a total of 40.5 visits were missed between 6/22-8/2/16.</p> <p>A. The Missed Visit Note dated 6/23 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p>	G 0157	<p>The Governing Body of Home Healthcare Associates, Inc. takes regulatory compliance very seriously and desires that this Plan of Correction serve as their Credible Allegation of Compliance with the Federal Conditions of Participation and the Indiana State Rules governing Home Health. The Agency will ensure all home health aide visits are made timely and as ordered by the physician. The following changes have been made to facilitate compliance: 1. The Agency is reducing the size of their servicearea to include only Allen and Whitley County. 2. The Home Health Aides will be assigned to geographic coverage areas in order to decrease their mileage and drive time. 3. The Agency will implement the utilization of "on-call" home health aides who will be available to staff patient whenever ahome health aide calls off or is on vacation. 4. The RN Case Managers will be instructed on the components of the Discharge, Missed Visit, Acceptance of Patients policies. In order to prevent this deficiency from recurring the agency will implement the following processes: 1. The Director of Nursing or designee will review all</p>	09/09/2016
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	<p>B. The Missed Visit Note dated 6/24 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p> <p>C. The Missed Visit Note dated 6/27 and 6/28/16 visits stated "Reason: ... 6/27 Patient refuses care," and "6/28 Staff call off, unable to replace ... (employee L, HHA)."</p> <p>D. The Missed Visit Note dated 7/4-7/8/16 AM visits stated "Reason: ... Staff (employee M, HHA) didn't show. Didn't know until over a week later." This note was not created until 7/28/16 and failed to evidence the physician was notified until 7/28/16, not per the agency's 72 hour policy.</p> <p>-The Skilled Nurse Visit Note dated 7/5/16 stated "Home Health Aide Supervision ... Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes" and the Narrative Notes stated "Has not seen the morning aide call to supervisor to advise." This note failed to evidence the Registered Nurse (RN) was made aware of HHA visits not being made on 7/4/16.</p> <p>E. The Missed Visit Notes dated</p>		<p>referrals to evaluate if there is adequate staffing available in their geographic location to meet the patient needs. 2. A system will be implemented in which the home health aide will call in to the office when they arrive and depart from eachpatient home.</p> <p>3. Physicians will be notified within 72 hours of missed visits and physician orders written to update the home health aidefrequency orders. 4. The Administrator and Director of Nursing are implementing a new daily reporting mechanism. The purpose of the report is to assist the agency leadership in management of operations. The RN Case Managers must report the following: a. Any identified HHA or RN staffing concerns, b. Any patient "change in condition" c. Patients newly started on antibiotics d. Patient falls e. Patient Concerns/Needs f. Patient Hospitalizations g. Patient ED Visits h. A review of the patient assessment and functional mobility 5. The Agency will implement random Administrative Supervisory Visits to evaluate their RN and HHA staff for compliance. The Agency Administrator and Director of Nursing are responsible for compliance with this regulation.</p>	

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	<p>7/12/16 and 7/14/16 stated "Reason: ... Other, Unable to replace aide."</p> <p>- The Skilled Nursing Visit Note dated 7/12/16 stated "Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Personal Care Given, Yes; Client Satisfied, Yes." The morning HHA was present at the supervisory visit. This note failed to evidence the RN was made aware of HHA visits not being completed in the past week, and failed to evidence discharge planning discussions.</p> <p>F. The Aide Visit Note dated 7/23/15 failed to evidence the HHA provided 2 hours of care as ordered, and stated "Time In 17:30 ... Time Out 18:30."</p> <p>G. The Missed Visit Note dated 7/24/16 stated "Reason: ... Staff call off, unable to replace (employee L)."</p> <p>H. The Missed Visit Note dated 7/25-7/29/16 AM visits stated "Reason: ... Staff didn't show 7/25-7/28, unable to replace (employee N); and 7/29 no aide available to take [aide's] place."</p> <p>I. The Missed Visit Note dated 7/25-7/27/16 PM (evening) visits stated "Reason: ... Staff didn't show, unable to replace (employee L), didn't find out until</p>			

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	<p>7/28 in AM."</p> <p>J. The Missed Visit Note dated 7/30 and 7/31/16 stated "Reason: ... Unable to replace aide."</p> <p>-The Skilled Nursing Visit Note dated 8/1/16 stated "Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes." This note failed to evidence the RN was made aware of HHA visits not being completed in the past week, and failed to evidence discharge planning discussions.</p> <p>K. The Missed Visit Note dated 8/1 and 8/2/16 stated "Both AM and PM visits ... Reason: ... Unable to staff."</p> <p>L. The Interdisciplinary Communication note dated 7/20/16 stated "Patient had missed visits the following dates with explanation following: 6/23/16 unable to replace aide, 6/24/16 unable to replace aide, 6/27/16 unable to replace aide, 6/28/16 unable to replace aide, 6/29/16 patient refused care, 7/11/16 patient not home when aide arrived, 7/12/16 unable to replace aide, 7/14/16 unable to replace aide." This communication note failed to include the 7/4-7/8 staff no- show dates.</p>			

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	<p>M. During interview on 8/5/16 at 2:20 PM, employee A (Nursing Supervisor) stated the patient did not tell the agency the HHAs were not showing up, and the agency did not catch it. Employee A stated employee M (HHA) was terminated because she wanted to pick and chose her own patients. Employee A stated for 7/25-27 the agency did not know until 2 days afterward that employee L was not showing up, and the agency does not have any staff willing to drive that far. Employee A stated the agency had already began reviewing the records for consistency but missed this issue.</p> <p>N. During interview on 8/5/16 at 2:25 PM, employee C (office manager) stated HHA employee K suddenly quit on 6/29/16.</p> <p>O. The Interdisciplinary Communication note dated 8/3/16 at 2:40 PM created by employee C stated "Late entry from 08/02/2016 I called [name] at Iahhc [Indiana Association of Home and Hospice Care] to get a list of agencies that service the [patient's town] area. I then called several agencies in order to find a new agency to staff [patient #1], due to staffing issues in [patient's] area. All the agencies I contacted did not have staffing in [patient's] area to take</p>			

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	<p>[patient's] case on. Agencies I called are as follows: DeKalb Cameron Interim Maxim Parkview Sunshine Veritcal."</p> <p>P. During telephone interview on 8/9/16 at 11:11 AM, non-employee AA from Cameron Home Health stated that patient's town is out of their territory so the would not have taken the referral at all.</p> <p>Q. During telephone interview on 8/9/16 at 11:02 AM, non-employee BB from DeKalb Home Health and Hospice stated they did not receive any information about this patient, she checked with the other intake person and the Administrator and they had not heard of the patient. The agency did not state staffing would be an issue.</p> <p>R. During interview on 8/9/16 at 12:50 PM, employee C stated she probably did not give the patient's name to the agencies, only asked if they would be able to staff patient # 1 and another patient, and she did not want to give out too much information if they could not</p>			

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	<p>take the patients. Employee C stated DeKalb said it was too far South of them, Cameron said it was too far, some agencies don't do Medicaid or HHA services, and Sunshine is only focusing on down town Fort Wayne area currently.</p> <p>S. Attempts to contact the patient were completed on 8/9/16 at 11:34 AM, and 12:03 PM...the patient did not answer.</p> <p>T. Called patient's emergency contact person at 12:09 PM on 8/9/16, left a message to call back. As of 2:30 PM on 8/9/16, no return call had been made.</p> <p>2. Clinical record # 5 was reviewed on 8/4/16. Start of care date 12/26/13. The plan of care dated 6/13-8/11/16 contained orders for HHA 18 visits a week for 1 week; 21 visits a week for 7 weeks, and 15 visits a week for 1 week; 2 HHAs for 2 hours each in the morning and 1 HHA for 2 hours in the evening. The record failed to evidence a second HHA was provided as ordered for 7 visits between 6/22-8/2/16, most due to being unable to staff a second HHA in the mornings.</p> <p>A. The Missed Visit Note dated 6/28/16 stated "Reason: ... Unable to replace (employee CC, previous HHA)."</p> <p>B. The Missed Visit Note dated</p>			

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	<p>7/2/16 stated "Reason: ... Patient Refuses Care."</p> <p>C. The Missed Visit Note dated 7/3/16 AM visit stated "Reason: ... Patient Refuses Care."</p> <p>D. The Missed Visit Note dated 7/6/16 AM visit stated "Reason: ... unable to replace 2nd Aide."</p> <p>E. The Missed Visit Note dated 7/13/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>F. The Missed Visit Note dated 7/20/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>G. The Missed Visit Note dated 7/28 and 7/29/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>H. The Skilled Nursing Visit Note dated 7/5/16 stated "pt [patient] voices no complaints is happy with services."</p> <p>I. The Skilled Nursing Visit Note dated 7/21/16 stated "Home Health Aide Supervision ... Client Satisfied Yes."</p> <p>J. During telephone interview with patient # 5 on 8/5/16 at 1:10 PM, patient # 5 stated the agency has been having</p>			

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	<p>trouble getting a second HHA in the morning every other weekend while I was on vacation, and patient has asked to get new HHAs in to train. Patient stated they were told the agency is working on this, but when a second HHA is unavailable, the patient has to have a bed bath instead of a shower. Patient did voice they are content with the care and the HHAs are awesome.</p> <p>3. The agency's undated policy titled "Missed Visits," no number, stated "Procedure: If the staff member is unable to be replaced and the patient's Plan of Care visit frequency is not met, the missed visit will be recorded and the patient's physician will be notified within 72 hours. If the patient has several missed visits due to staff call offs, weather emergency or reason other than patient request, the physician will be notified within 72 hours in writing and orders will be obtained if necessary to change frequency."</p> <p>4. The agency's undated policy titled "Acceptance of Patients," no date, stated "procedure: If we cannot meet a patient's needs or their home environment will not support our services, we will not admit the patient nor will we continue to provide services. If we are unable to provide you with physician ordered</p>			

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G 0158 Bldg. 00	<p>services we may upon patient request provide a list of other home care providers."</p> <p>484.18 ACCEPTANCE OF PATIENTS, POC, MED SUPER Care follows a written plan of care established and periodically reviewed by a doctor of medicine, osteopathy, or podiatric medicine. Based on document review and interview, the agency failed to ensure home health aide visits were provided as ordered by the physician, and failed to evidence the agency notified the physician within 72 hours for missed visits and to obtain orders for a new frequency for 2 of 8 clinical records reviewed. (# 1 and 5)</p> <p>Findings include</p> <p>1. Clinical record # 1 was reviewed on 8/5/16. Start of care date 4/20/15. The plan of care dated 6/13-8/11/16 contained orders for Skilled Nurse (SN) 1 time a week for 9 weeks for medication set up, and 3 as needed (PRN) visits for change in condition; Home Health Aide (HHA) 12 visits a week for 1 week, 14 visits a week for 7 weeks, and 10 visits a week for 1 week, each visit lasting 2 hours.</p>	G 0158	Home Healthcare Associates, INC. staff will provide care that is ordered by the physician. 1. The Director of Nursing or designee will review all referrals to evaluate if the is adequate staffing available in their geographic location to meet the patient needs. 2. A system will be implemented in which the home health aide will call in to the office when they arrive and depart from each patient home. This will provide a tracking system to evaluate for missed visits and to track the length of time the home health aide stays with the patient. 3. Physicians will be notified within 72 hours of any missed visits and physician orders will be written to update the home health aide frequency orders. 4. The RN Case Managers have been instructed on the requirement to obtain physician orders for all services and frequency changes the patient needs including a	09/09/2016

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	<p>The record failed to evidence all HHA visits were completed as ordered, with most missed visits related to lack of staff and a total of 40.5 hours of visits were missed between 6/22-8/2/16.</p> <p>A. The Missed Visit Note dated 6/23 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p> <p>B. The Missed Visit Note dated 6/24 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p> <p>C. The Missed Visit Note dated 6/27 and 6/28/16 visits stated "Reason: ... 6/27 Patient refuses care," and "6/28 Staff call off, unable to replace ... (employee L, HHA)."</p> <p>D. The Missed Visit Note dated 7/4-7/8/16 AM visits stated "Reason: ... Staff (employee M, HHA) didn't show. Didn't know until over a week later." This note was not created until 7/28/16 and failed to evidence the physician was notified until 7/28/16, not per the agency's 72 hour policy.</p> <p>-The Skilled Nurse Visit Note dated 7/5/16 stated "Home Health Aide Supervision ... Aide Follows Plan of</p>		<p>notification of the physician of pending patient discharge. In order to ensure compliance with physician orders the agency will implement the following: 1. The Agency will implement random Administrative Supervisory Visits to evaluate their RN and HHA staff for compliance. 2. The Agency Administrator and Director of Nursing will audit all documentation at certification time points utilizing the certification checklists to ensure all documentation is complete and accurate, and physician orders are obtained. 3. RNs and HHAs failing to provide care as ordered by the physician will be re-educated on their responsibilities. Ongoing non-compliance will result in employee counseling up to and including termination. The Agency Administrator and Director of Nursing are responsible for compliance with this regulation</p>	

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	<p>Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes" and the Narrative Notes stated "Has not seen the morning aide call to supervisor to advise." This note failed to evidence the Registered Nurse (RN) was made aware of HHA visits not being made on 7/4/16.</p> <p>E. The Missed Visit Notes dated 7/12/16 and 7/14/16 stated "Reason: ... Other, Unable to replace aide."</p> <p>- The Skilled Nursing Visit Note dated 7/12/16 stated "Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Personal Care Given, Yes; Client Satisfied, Yes." The morning HHA was present at the supervisory visit. This note failed to evidence the RN was made aware of HHA visits not being completed in the past week, and failed to evidence discharge planning discussions.</p> <p>F. The Aide Visit Note dated 7/23/15 failed to evidence the HHA provided 2 hours of care as ordered, and stated "Time In 17:30 ... Time Out 18:30."</p> <p>G. The Missed Visit Note dated 7/24/16 stated "Reason: ... Staff call off, unable to replace (employee L)."</p>			

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	<p>H. The Missed Visit Note dated 7/25-7/29/16 AM visits stated "Reason: ... Staff didn't show 7/25-7/28, unable to replace (employee N); and 7/29 no aide available to take [aide's] place."</p> <p>I. The Missed Visit Note dated 7/25-7/27/16 PM (evening) visits stated "Reason: ... Staff didn't show, unable to replace (employee L), didn't fin out until 7/28 in AM."</p> <p>J. The Missed Visit Note dated 7/30 and 7/31/16 stated "Reason: ... Unable to replace aide."</p> <p>-The Skilled Nursing Visit Note dated 8/1/16 stated "Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes." This note failed to evidence the RN was made aware of HHA visits not being completed in the past week, and failed to evidence discharge planning discussions.</p> <p>K. The Missed Visit Note dated 8/1 and 8/2/16 stated "Both AM and PM visits ... Reason: ... Unable to staff."</p> <p>L. The Interdisciplinary Communication note dated 7/20/16 stated "Patient had missed visits the following dates with explanation following:</p>			

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	<p>6/23/16 unable to replace aide, 6/24/16 unable to replace aide, 6/27/16 unable to replace aide, 6/28/16 unable to replace aide, 6/29/16 patient refused care, 7/11/16 patient not home when aide arrived, 7/12/16 unable to replace aide, 7/14/16 unable to replace aide." This communication note failed to include the 7/4-7/8 staff no- show dates.</p> <p>M. During interview on 8/5/16 at 2:20 PM, employee A (Nursing Supervisor) stated the patient did not tell the agency the HHAs were not showing up, and the agency did not catch it. Employee A stated employee M (HHA) was terminated because she wanted to pick and chose her own patients. Employee A stated for 7/25-27 the agency did not know until 2 days after that employee L was not showing up, and the agency does not have any staff willing to drive that far. Employee A stated the agency had already began reviewing the records for consistency but missed this.</p> <p>N. During interview on 8/5/16 at 2:25 PM, employee C (office manager) stated HHA employee K suddenly quit on 6/29/16.</p> <p>O. The Interdisciplinary Communication note dated 8/3/16 at 2:40 PM created by employee C stated "Late</p>			

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	<p>entry from 08/02/2016 I called [name] at Iahhc to get a list of agencies that service the [patient's town] area. I then called several agencies in order to find a new agency to staff [patient #1], due to staffing issues in [patient's] area. All the agencies I contacted did not have staffing in [patient's] area to take [patient's] case on. Agencies I called are as follows: DeKalb Cameron Interim Maxim Parkview Sunshine Veritcal."</p> <p>P. During telephone interview on 8/9/16 at 11:11 AM, non-employee AA from Cameron Home Health stated that town is out of their territory so the would not have taken the referral at all.</p> <p>Q. During telephone interview on 8/9/16 at 11:02 AM, non-employee BB from DeKalb Home Health and Hospice stated they did not receive any information about this patient, she checked with the other intake person and the Administrator and they had not heard of the patient. The agency did not state staffing would be an issue.</p> <p>R. During interview on 8/9/16 at</p>			

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	<p>12:50 PM, employee C stated she probably did not give the patient's name to the agencies, only asked if they would be able to staff patient # 1 and another patient, and she did not want to give out too much information if they could not take the patients. Employee C stated DeKalb said it was too far South of the, Cameron said it was too far, some agencies don't do Medicaid or HHA services, and Sunshine is only focusing on down town Fort Wayne area currently.</p> <p>S. Attempts to contact the patient were completed on 8/9/16 at 11:34 AM, and 12:03 PM...the patient did not answer.</p> <p>T. Called patient's emergency contact person at 12:09 PM on 8/9/16, left a message to call back. As of 2:30 PM on 8/9/16, no return call had been made.</p> <p>2. Clinical record # 5 was reviewed on 8/4/16. Start of care date 12/26/13. The plan of care dated 6/13-8/11/16 contained orders for HHA 18 visits a week for 1 week; 21 visits a week for 7 weeks, and 15 visits a week for 1 week; 2 HHAs for 2 hours each in the morning and 1 HHA for 2 hours in the evening. The record failed to evidence a second HHA was provided as ordered for 14 hours of visits between 6/19-8/216, due to being unable</p>			

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	<p>to staff a second HHA in the mornings.</p> <p>A. The Missed Visit Note dated 6/19/16 stated "Reason: ... Refused alt. caregiver for bath Patient Refuses Care."</p> <p>B. The Missed Visit Note dated 6/28/16 stated "Reason: ... Unable to replace (employee CC, previous HHA)."</p> <p>C. The Missed Visit Note dated 7/2/16 stated "Reason: ... Patient Refuses Care."</p> <p>D. The Missed Visit Note dated 7/3/16 AM visit stated "Reason: ... Patient Refuses Care."</p> <p>E. The Missed Visit Note dated 7/6/16 AM visit stated "Reason: ... unable to replace 2nd Aide."</p> <p>F. The Missed Visit Note dated 7/13/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>G. The Missed Visit Note dated 7/20/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>H. The Missed Visit Note dated 7/28 and 7/29/16 stated "Reason: ... unable to replace 2nd Aide."</p>			

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	<p>I. The Skilled Nursing Visit Note dated 7/5/16 stated "pt voices no complaints is happy with services."</p> <p>J. The Skilled Nursing Visit Note dated 7/21/16 stated "Home Health Aide Supervision ... Client Satisfied Yes."</p> <p>K. During telephone interview with patient # 5 on 8/5/16 at 1:10 PM, patient # 5 stated the agency has been having trouble getting a second HHA in the morning every other weekend while I was on vacation, and patient has asked to get new HHAs in to train. Patient stated they were told the agency is working on this, but when a second HHA is unavailable, the patient has to have a bed bath instead of a shower. Patient did voice they are content with the care and the HHAs are awesome.</p> <p>3. The agency's undated policy titled "Missed Visits," no number, stated "Procedure: If the staff member is unable to be replaced and the patient's Plan of Care visit frequency is not met, the missed visit will be recorded and the patient's physician will be notified within 72 hours. If the patient has several missed visits due to staff call offs, weather emergency or reason other than patient request, the physician will be notified within 72 hours in writing and</p>			

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G 0176 Bldg. 00	<p>orders will be obtained if necessary to change frequency."</p> <p>4. The agency's undated policy titled "Acceptance of Patients," no date, stated "procedure: If we cannot meet a patient's needs or their home environment will not support our services, we will not admit the patient nor will we continue to provide services. If we are unable to provide you with physician ordered services we may upon patient request provide a list of other home care providers."</p> <p>484.30(a) DUTIES OF THE REGISTERED NURSE The registered nurse prepares clinical and progress notes, coordinates services, informs the physician and other personnel of changes in the patient's condition and needs. Based on document review and interview, the agency failed to ensure the Registered Nurse (RN) included the patient's fall in the 60 day summary to the physician for 1 of 5 clinical records reviewed (#2).</p> <p>Findings include</p> <p>1. The clinical record for patient # 2 was reviewed on 8/4/16. Start of care dated</p>	G 0176	Home Healthcare Associates, INC will ensure the 60 daysummary includes all the required elements. The RN Case Mangers will be re-instructed on what is to be included in the 60 day summary. The Director of Nursing will instruct the RN Case Managers on the utilization ofthe certification checklists. (The checklists identify all the tasks the RN case Manageris to complete at all certification time points.) The clinician will check off the	09/09/2016

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	<p>12/17/2013. The plan of care dated 6/4-8/2/16 contained orders for Home Health Aide (HHA) 5 times a week for 8 weeks, then 2 times a week for 1 week. The 60 day summary failed to mention the patient fall.</p> <p>A. The agency's fall report log for 2016 evidenced patient's # 2 tripped on 6/27/16 and broke their nose.</p> <p>B. An un-titled document dated 6/29/2016 stated "Per Group home staff, patient had a trip and fall resulting in a broken nose. Patient was taken to ER [emergency room], no further treatment needed. MD [doctor] is aware. Reported to [employee O, RN] during supervisory visit. Fall was reported as occurring on 6/27/2016." This document failed to evidence a time and signature of who created it.</p> <p>C. The Skilled Nursing Visit Note dated 6/30/2016 Narrative Notes stated "Pt [Patient] had a fall on Monday and was sent to ER X-ray showed [patient] fractured [patient's] nose."</p> <p>D. The 60 day Plan of Care Summary dated for the certification period 6/4/2016-8/2/2016 stated "Per staff, patient has had no hospitalizations, falls, ER visits, or injuries during the last 60</p>		<p>tasks as they are completed and submit the checklist and completed certification documentation to the Director of Nursing or designee. In order to ensure compliance the agency will audit 100% of fall certification documentation as follows: 1. The Director of Nursing or designee will utilize the certification checklist as an audit tool to ensure the assessments are accurate and complete, the Plan of Care or physician orders reflect the needs identified on the comprehensive assessment and that summaries contain all the required elements. 2. RNs with identified errors in documentation will be reeducated. Ongoing noncompliance will result in employee counseling up to and including termination. The Director of Nursing is responsible for compliance with this regulation.</p>		

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	<p>days." This form was signed by employee A (Nursing Supervisor) on 8/1/16.</p> <p>2. During interview on 8/5/16 at 12:30 PM, employee A stated the entry about patient # 2 not having fallen was an error.</p> <p>3. The agency's un-dated policy titled "Documentation Standards and Guidelines," no number, stated "Procedure: The 10 C's of Documentation 1. Correct: Accurate documentation of observations, assessments, events, services, and treatments, accurate notation of the date and time of documentation; signature of the documenter. ... 5. Complete: All pertinent information included. ... The DO'S of Charting Do sign every entry you make."</p> <p>4. The agency's un-dated job description titled "Registered Nurse," no number, stated "Essential Job Functions Provides assessment, management, and evaluation of the patient's plan of care ... Completes documentation at each needed interval for each assigned patient."</p> <p>5. The agency's un-dated policy titled "Professional Standards and Practice Compliance," no number, stated "POLICY: Home Healthcare Associates</p>			

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G 0235 Bldg. 00	<p>will ensure that all staff, employed by Home Healthcare associates and/or contracted, follow professional practice standards as determined by their respective disciplines."</p> <p>484.48 CLINICAL RECORDS</p> <p>Based on document review and interview, the agency failed to ensure the Registered Nurse (RN) included the patient's fall in the 60 day summary to the physician for 1 of 5 clinical records reviewed (See G 236).</p> <p>The cumulative effect of this systemic problem resulted in the agency being out of compliance with the Condition of Participation 484.48 Clinical Records.</p>	G 0235	<p>Home Healthcare Associates, INC will ensure the 60 day summary includes all the required elements. The RN Case Managers will be re-instructed on what is to be included in the 60 day summary. The Director of Nursing will instruct the RN Case Managers on the utilization of the certification checklists. (The checklists identify all the tasks the RN case Manager is to complete at all certification time points.) The clinician will check off the tasks as they are completed and submit the checklist and completed certification documentation to the Director of Nursing or designee. In order to ensure compliance the agency will audit 100% of all certification documentation as follows: 1. The Director of Nursing or designee will utilize the certification checklist as an audit tool to ensure the assessments are accurate and complete, the Plan of Care or physician orders reflect the needs identified on the comprehensive assessment and that summaries contain all the required elements. 2. RNs with identified errors in</p>	09/09/2016

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G 0236 Bldg. 00	<p>484.48 CLINICAL RECORDS A clinical record containing pertinent past and current findings in accordance with accepted professional standards is maintained for every patient receiving home health services. In addition to the plan of care, the record contains appropriate identifying information; name of physician; drug, dietary, treatment, and activity orders; signed and dated clinical and progress notes; copies of summary reports sent to the attending physician; and a discharge summary.</p> <p>Based on document review and interview, the agency failed to ensure the Registered Nurse (RN) included the patient's fall in the 60 day summary to the physician for 1 of 5 clinical records reviewed (#2).</p> <p>Findings include</p> <p>1. The clinical record for patient # 2 was reviewed on 8/4/16. Start of care dated 12/17/2013. The plan of care dated 6/4-8/2/16 contained orders for Home Health Aide (HHA) 5 times a week for 8 weeks, then 2 times a week for 1 week.</p>	G 0236	<p>documentation will be re-educated. Ongoing noncompliance will result in employee counseling up to and including termination. The Director of Nursing is responsible for compliance with this regulation.</p> <p>Home Healthcare Associates, INC will ensure the 60 day summary includes all the required elements. The RN Case Managers will be re-instructed on what is to be included in the 60 day summary. The Director of Nursing will instruct the RN Case Managers on the utilization of the certification checklists. (The checklists identify all the tasks the RN case Manager is to complete at all certification time points.) The clinician will check off the tasks as they are completed and submit the checklist and completed certification documentation to the Director of Nursing or designee. In order to</p>	09/09/2016

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	<p>The 60 day summary failed to mention the patient fall.</p> <p>A. The agency's fall report log for 2016 evidenced patient's # 2 tripped on 6/27/16 and broke their nose.</p> <p>B. An un-titled document dated 6/29/2016 stated "Per Group home staff, patient had a trip and fall resulting in a broken nose. Patient was taken to ER [emergency room], no further treatment needed. MD [doctor] is aware. Reported to [employee O, RN] during supervisory visit. Fall was reported as occurring on 6/27/2016."</p> <p>C. The Skilled Nursing Visit Note dated 6/30/2016 Narrative Notes stated "Pt [Patient] had a fall on Monday and was sent to ER X-ray showed [patient] fractured [patient's] nose."</p> <p>D. The 60 day Plan of Care Summary dated for the certification period 6/4/2016-8/2/2016 stated "Per staff, patient has had no hospitalizations, falls, ER visits, or injuries during the last 60 days." This form was signed by employee A (Nursing Supervisor) on 8/1/16.</p> <p>2. During interview on 8/5/16 at 12:30 PM, employee A stated the entry about</p>		<p>ensure compliance the agency will audit 100% of all certification documentation as follows: 1. The Director of Nursing or designee will utilize the certification checklist as an audit tool to ensure the assessments are accurate and complete, the Plan of Care or physician orders reflect the needs identified on the comprehensive assessment and that summaries contain all the required elements. 2. RNs with identified errors in documentation will be re-educated. Ongoing noncompliance will result in employee counseling up to and including termination. The Director of Nursing is responsible for compliance with this regulation.</p>	

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	<p>patient # 2 not having fallen was an error.</p> <p>3. The agency's un-dated policy titled "Documentation Standards and Guidelines," no number, stated "Procedure: The 10 C's of Documentation 1. Correct: Accurate documentation of observations, assessments, events, services, and treatments, accurate notation of the date and time of documentation; signature of the documenter. ... 5. Complete: All pertinent information included. ... The DO'S of Charting Do sign every entry you make."</p> <p>4. The agency's un-dated job description titled "Registered Nurse," no number, stated "Essential Job Functions Provides assessment, management, and evaluation of the patient's plan of care ... Completes documentation at each needed interval for each assigned patient."</p> <p>5. The agency's un-dated policy titled "Professional Standards and Practice Compliance," no number, stated "POLICY: Home Healthcare Associates will ensure that all staff, employed by Home Healthcare associates and/or contracted, follow professional practice standards as determined by their respective disciplines."</p>			

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N 0000 Bldg. 00	<p>This was a revisit for the home health State licensure survey completed on June 21, 2016</p> <p>Survey Date: August 3, 4, 5, 8, and 9, 2016</p> <p>Facility #: 004998</p> <p>Medicaid Vendor #: 201184760</p> <p>Sample: RR w/o HV: 4 RR w/HV: 1 HV w/o RR: 2 Total: 7</p>	N 0000		
N 0444 Bldg. 00	<p>410 IAC 17-12-1(c)(1) Home health agency administration/management Rule 12 Sec. 1(c) An individual need not be a home health agency employee or be present full time at the home health agency in order to qualify as its administrator. The administrator, who may also be the supervising physician or registered nurse required by subsection (d), shall do the following: (1) Organize and direct the home health agency's ongoing functions. Based on document review and interview, the administrator failed to</p>	N 0444	The Governing Body of Home Healthcare Associates, Inc. takes	09/09/2016

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NAME OF PROVIDER OR SUPPLIER HOME HEALTHCARE ASSOCIATES INC	STREET ADDRESS, CITY, STATE, ZIP CODE 6431 GEORGETOWN NORTH BLVD FORT WAYNE, IN 46815
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	<p>ensure the agency had adequate staffing for 2 of 5 clinical records reviewed (# 1 and 5); failed to ensure patients who were not receiving care due to lack of staffing were discharged from the agency; failed to ensure review of missed visits did not result in patients going without care for extended periods of time (# 1 and 5); and failed to ensure staff followed documentation policies for 1 of 5 clinical records reviewed (#2).</p> <p>Findings include</p> <p>1. Clinical record # 1 was reviewed on 8/5/16. Start of care date 4/20/15. The plan of care dated 6/13-8/11/16 contained orders for Skilled Nurse (SN) 1 time a week for 9 weeks for medication set up, and 3 as needed (PRN) visits for change in condition; Home Health Aide (HHA) 12 visits a week for 1 week, 14 visits a week for 7 weeks, and 10 visits a week for 1 week, each visit lasting 2 hours. The record failed to evidence all HHA visits were completed as ordered, with most missed visits related to lack of staff and a total of 40.5 visits were missed between 6/22-8/2/16.</p> <p>A. The Missed Visit Note dated 6/23 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p>		<p>regulatory compliance very seriously and desires that this Plan of Correction serve as their Credible Allegation of Compliance with the Federal Conditions of Participation and the Indiana State Rules governing Home Health. The Agency will ensure adequate staffing by making the following changes: 1. The Agency will ensure all home health aide visits are made timely and as ordered by the physician. 2. The Agency is reducing the size of their service area to include only Allen and Whitley County. This will eliminate the challenge of long drive times for the homehealth aides. 3. The home health aides will be assigned to geographic coverage areas in order to decrease their mileage and drive time. 4. The Agency has decreased their census by 15 patients and the agency is able to staff all their patients at the physician ordered visit frequency. 5. The Agency will implement the utilization of "on-call" home health aides who will be available to staff patients whenever a home health aide calls off or is on vacation. 6. Physicians will be notified weekly of missed visits and physician orders written to updated the home health aide frequency orders. 7. Based on accurately completed patient assessments, an individualized range of visit frequencies will be established and documented in</p>	

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	<p>B. The Missed Visit Note dated 6/24 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p> <p>C. The Missed Visit Note dated 6/27 and 6/28/16 visits stated "Reason: ... 6/27 Patient refuses care," and "6/28 Staff call off, unable to replace ... (employee L, HHA)."</p> <p>D. The Missed Visit Note dated 7/4-7/8/16 AM visits stated "Reason: ... Staff (employee M, HHA) didn't show. Didn't know until over a week later." This note was not created until 7/28/16 and failed to evidence the physician was notified until 7/28/16, not per the agency's 72 hour policy.</p> <p>-The Skilled Nurse Visit Note dated 7/5/16 stated "Home Health Aide Supervision ... Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes" and the Narrative Notes stated "Has not seen the morning aide call to supervisor to advise." This note failed to evidence the Registered Nurse (RN) was made aware of HHA visits not being made on 7/4/16.</p> <p>E. The Missed Visit Notes dated</p>		<p>the plan of care. 8. RN Case Managers will be instructed to remind their patients and caregivers to call the agency whenever their home health aide is late. 9. The RN Case Managers have been instructed on the required elements of the 60 day summary In order to prevent recurrence of this deficiency the agency will institute the following processes: 10. The Director of Nursing or designee will review all referrals to evaluate if there is adequate staffing available in their geographic location to meet the patient needs. 11. A system will be implemented in which the home health aide will call in to the office when they arrive and depart from eachpatient home. This will provide atracking system to evaluate for missed visits and to track the length of time the home health aide stays with the patient. 12. The RN Case Managers have been instructed on the following Policies: Missed Visits,Acceptance of Patients, Documentation Standards and Guidelines, and Professional Standards and practice Compliance. 13. In addition the Administrator and Director of Nursing are implementing a new daily report requirement for the RN CaseManagers. The RN Case Managers are to report the following on a daily basis to the DON and/or Administrator: home health aide or RN staffing concerns, patient "changes in</p>	

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	<p>7/12/16 and 7/14/16 stated "Reason: ... Other, Unable to replace aide."</p> <p>- The Skilled Nursing Visit Note dated 7/12/16 stated "Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Personal Care Given, Yes; Client Satisfied, Yes." The morning HHA was present at the supervisory visit. This note failed to evidence the RN was made aware of HHA visits not being completed in the past week, and failed to evidence discharge planning discussions.</p> <p>F. The Aide Visit Note dated 7/23/15 failed to evidence the HHA provided 2 hours of care as ordered, and stated "Time In 17:30 ... Time Out 18:30."</p> <p>G. The Missed Visit Note dated 7/24/16 stated "Reason: ... Staff call off, unable to replace (employee L)."</p> <p>H. The Missed Visit Note dated 7/25-7/29/16 AM visits stated "Reason: ... Staff didn't show 7/25-7/28, unable to replace (employee N); and 7/29 no aide available to take [aide's] place."</p> <p>I. The Missed Visit Note dated 7/25-7/27/16 PM (evening) visits stated "Reason: ... Staff didn't show, unable to replace (employee L), didn't find out until</p>		<p>condition, patients newly started on antibiotics, patientfalls, patient concern/needs, patient hospitalization, patient ED visits, and a review of their patients' assessments and functional mobility. The Agency will ensure staff follows documentation policies and requirements related to the patient missed visits, patient dischargeprocesses, 60 day summary requirements, communication and coordination of carerequirements by implementing the following measures: 1. The Agency has instituted certification checklists to remind RN Case Managers of their documentation requirements a tall certification timepoints. Themangement team audits all documentation at the certification timepoints utilizing the certification checklists. 2. The Agency will implement "random"Administrative Supervisory visits to evaluate their RN and HHA staff for compliance. The Agency Administrator and Director of Nursing are responsible for compliance with this regulation.</p>	

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	<p>7/28 in AM."</p> <p>J. The Missed Visit Note dated 7/30 and 7/31/16 stated "Reason: ... Unable to replace aide."</p> <p>-The Skilled Nursing Visit Note dated 8/1/16 stated "Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes." This note failed to evidence the RN was made aware of HHA visits not being completed in the past week, and failed to evidence discharge planning discussions.</p> <p>K. The Missed Visit Note dated 8/1 and 8/2/16 stated "Both AM and PM visits ... Reason: ... Unable to staff."</p> <p>L. The Interdisciplinary Communication note dated 7/20/16 stated "Patient had missed visits the following dates with explanation following: 6/23/16 unable to replace aide, 6/24/16 unable to replace aide, 6/27/16 unable to replace aide, 6/28/16 unable to replace aide, 6/29/16 patient refused care, 7/11/16 patient not home when aide arrived, 7/12/16 unable to replace aide, 7/14/16 unable to replace aide." This communication note failed to include the 7/4-7/8 staff no- show dates.</p>			

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	<p>M. During interview on 8/5/16 at 2:20 PM, employee A (Nursing Supervisor) stated the patient did not tell the agency the HHAs were not showing up, and the agency did not catch it. Employee A stated employee M (HHA) was terminated because she wanted to pick and chose her own patients. Employee A stated for 7/25-27 the agency did not know until 2 days afterward that employee L was not showing up, and the agency does not have any staff willing to drive that far. Employee A stated the agency had already began reviewing the records for consistency but missed this issue.</p> <p>N. During interview on 8/5/16 at 2:25 PM, employee C (office manager) stated HHA employee K suddenly quit on 6/29/16.</p> <p>O. The Interdisciplinary Communication note dated 8/3/16 at 2:40 PM created by employee C stated "Late entry from 08/02/2016 I called [name] at Iahhc [Indiana Association of Home and Hospice Care] to get a list of agencies that service the [patient's town] area. I then called several agencies in order to find a new agency to staff [patient #1], due to staffing issues in [patient's] area. All the agencies I contacted did not have staffing in [patient's] area to take</p>			

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	<p>[patient's] case on. Agencies I called are as follows: DeKalb Cameron Interim Maxim Parkview Sunshine Veritcal."</p> <p>P. During telephone interview on 8/9/16 at 11:11 AM, non-employee AA from Cameron Home Health stated that patient's town is out of their territory so the would not have taken the referral at all.</p> <p>Q. During telephone interview on 8/9/16 at 11:02 AM, non-employee BB from DeKalb Home Health and Hospice stated they did not receive any information about this patient, she checked with the other intake person and the Administrator and they had not heard of the patient. The agency did not state staffing would be an issue.</p> <p>R. During interview on 8/9/16 at 12:50 PM, employee C stated she probably did not give the patient's name to the agencies, only asked if they would be able to staff patient # 1 and another patient, and she did not want to give out too much information if they could not</p>			

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	<p>take the patients. Employee C stated DeKalb said it was too far South of them, Cameron said it was too far, some agencies don't do Medicaid or HHA services, and Sunshine is only focusing on down town Fort Wayne area currently.</p> <p>S. Attempts to contact the patient were completed on 8/9/16 at 11:34 AM, and 12:03 PM...the patient did not answer.</p> <p>T. Called patient's emergency contact person at 12:09 PM on 8/9/16, left a message to call back. As of 2:30 PM on 8/9/16, no return call had been made.</p> <p>2. The clinical record for patient # 2 was reviewed on 8/4/16. Start of care dated 12/17/2013. The plan of care dated 6/4-8/2/16 contained orders for Home Health Aide (HHA) 5 times a week for 8 weeks, then 2 times a week for 1 week. The 60 day summary failed to mention the patient fall.</p> <p>A. The agency's fall report log for 2016 evidenced patient's # 2 tripped on 6/27/16 and broke their nose.</p> <p>B. An un-titled document dated 6/29/2016 stated "Per Group home staff, patient had a trip and fall resulting in a broken nose. Patient was taken to ER [emergency room], no further treatment</p>			

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	<p>needed. MD [doctor] is aware. Reported to [employee O, RN] during supervisory visit. Fall was reported as occurring on 6/27/2016." This document failed to evidence a time and signature of who created it.</p> <p>C. The Skilled Nursing Visit Note dated 6/30/2016 Narrative Notes stated "Pt [Patient] had a fall on Monday and was sent to ER X-ray showed [patient] fractured [patient's] nose."</p> <p>D. The 60 day Plan of Care Summary dated for the certification period 6/4/2016-8/2/2016 stated "Per staff, patient has had no hospitalizations, falls, ER visits, or injuries during the last 60 days." This form was signed by employee A (Nursing Supervisor) on 8/1/16.</p> <p>3. During interview on 8/5/16 at 12:30 PM, employee A stated the entry about patient # 2 not having fallen was an error.</p> <p>4. Clinical record # 5 was reviewed on 8/4/16. Start of care date 12/26/13. The plan of care dated 6/13-8/11/16 contained orders for HHA 18 visits a week for 1 week; 21 visits a week for 7 weeks, and 15 visits a week for 1 week; 2 HHAs for 2 hours each in the morning and 1 HHA for 2 hours in the evening. The record</p>			

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	<p>failed to evidence a second HHA was provided as ordered for 7 visits between 6/22-8/2/16, most due to being unable to staff a second HHA in the mornings.</p> <p>A. The Missed Visit Note dated 6/28/16 stated "Reason: ... Unable to replace (employee CC, previous HHA)."</p> <p>B. The Missed Visit Note dated 7/2/16 stated "Reason: ... Patient Refuses Care."</p> <p>C. The Missed Visit Note dated 7/3/16 AM visit stated "Reason: ... Patient Refuses Care."</p> <p>D. The Missed Visit Note dated 7/6/16 AM visit stated "Reason: ... unable to replace 2nd Aide."</p> <p>E. The Missed Visit Note dated 7/13/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>F. The Missed Visit Note dated 7/20/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>G. The Missed Visit Note dated 7/28 and 7/29/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>H. The Skilled Nursing Visit Note</p>			

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	<p>dated 7/5/16 stated "pt [patient] voices no complaints is happy with services."</p> <p>I. The Skilled Nursing Visit Note dated 7/21/16 stated "Home Health Aide Supervision ... Client Satisfied Yes."</p> <p>J. During telephone interview with patient # 5 on 8/5/16 at 1:10 PM, patient # 5 stated the agency has been having trouble getting a second HHA in the morning every other weekend while 1 was on vacation, and patient has asked to get new HHAs in to train. Patient stated they were told the agency is working on this, but when a second HHA is unavailable, the patient has to have a bed bath instead of a shower. Patient did voice they are content with the care and the HHAs are awesome.</p> <p>5. The agency's undated policy titled "Missed Visits," no number, stated "Procedure: If the staff member is unable to be replaced and the patient's Plan of Care visit frequency is not met, the missed visit will be recorded and the patient's physician will be notified within 72 hours. If the patient has several missed visits due to staff call offs, weather emergency or reason other than patient request, the physician will be notified within 72 hours in writing and orders will be obtained if necessary to</p>			

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	<p>change frequency."</p> <p>6. The agency's undated policy titled "Acceptance of Patients," no date, stated "procedure: If we cannot meet a patient's needs or their home environment will not support our services, we will not admit the patient nor will we continue to provide services. If we are unable to provide you with physician ordered services we may upon patient request provide a list of other home care providers."</p> <p>7. The agency's un-dated policy titled "Documentation Standards and Guidelines," no number, stated "Procedure: The 10 C's of Documentation 1. Correct: Accurate documentation of observations, assessments, events, services, and treatments, accurate notation of the date and time of documentation; signature of the documenter. ... 5. Complete: All pertinent information included. ... The DO'S of Charting Do sign every entry you make."</p> <p>8. The agency's un-dated job description titled "Registered Nurse," no number, stated "Essential Job Functions Provides assessment, management, and evaluation of the patient's plan of care ... Completes documentation at each needed</p>			

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N 0520 Bldg. 00	<p>interval for each assigned patient."</p> <p>9. The agency's un-dated policy titled "Professional Standards and Practice Compliance," no number, stated "POLICY: Home Healthcare Associates will ensure that all staff, employed by Home Healthcare associates and/or contracted, follow professional practice standards as determined by their respective disciplines."</p> <p>410 IAC 17-13-1(a) Patient Care Rule 13 Sec. 1(a) Patients shall be accepted for care on the basis of a reasonable expectation that the patient's health needs can be adequately met by the home health agency in the patient's place of residence. Based on document review and interview, the agency failed to adequately meet the staffing needs of 2 patients for 40.5 visits in 42 days (#1), 7 visits in 42 days for another patient (#5), and failed to discharge the patient per policy (#1).</p> <p>Findings include</p> <p>1. Clinical record # 1 was reviewed on 8/5/16. Start of care date 4/20/15. The plan of care dated 6/13-8/11/16 contained</p>	N 0520	The Governing Body of Home Healthcare Associates, Inc. takes regulatory compliance very seriously and desires that this Plan of Correction serve as their Credible Allegation of Compliance with the Federal Conditions of Participation and the Indiana State Rules governing Home Health. The Agency will ensure all home health aide visits are madetimely and as ordered by the physician. The following changes have been made to facilitate compliance: 1. The	09/09/2016

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	<p>orders for Skilled Nurse (SN) 1 time a week for 9 weeks for medication set up, and 3 as needed (PRN) visits for change in condition; Home Health Aide (HHA) 12 visits a week for 1 week, 14 visits a week for 7 weeks, and 10 visits a week for 1 week, each visit lasting 2 hours. The record failed to evidence all HHA visits were completed as ordered, with most missed visits related to lack of staff and a total of 40.5 visits were missed between 6/22-8/2/16.</p> <p>A. The Missed Visit Note dated 6/23 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p> <p>B. The Missed Visit Note dated 6/24 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p> <p>C. The Missed Visit Note dated 6/27 and 6/28/16 visits stated "Reason: ... 6/27 Patient refuses care," and "6/28 Staff call off, unable to replace ... (employee L, HHA)."</p> <p>D. The Missed Visit Note dated 7/4-7/8/16 AM visits stated "Reason: ... Staff (employee M, HHA) didn't show. Didn't know until over a week later." This note was not created until 7/28/16</p>		<p>Agency is reducing the size of their service area to include only Allen and Whitley County. 2. The Home Health Aides will be assigned to geographic coverage areas in order to decrease their mileage and drive time. 3. The Agency will implement the utilization of "on-call" home health aides who will be available to staff patient whenever a home health aide calls off or is on vacation. 4. The RN Case Managers will be instructed on the components of the Discharge, Missed Visit, Acceptance of Patients policies. In order to prevent this deficiency from recurring the agency will implement the following processes: 1. The Director of Nursing or designee will review all referrals to evaluate if there is adequate staffing available in their geographic location to meet the patient needs. 2. A system will be implemented in which the home health aide will call in to the office when they arrive and depart from each patient home. 3. Physicians will be notified within 72 hours of missed visits and physician orders written to update the home health aide frequency orders. 4. The Administrator and Director of Nursing are implementing a new daily reporting mechanism. The purpose of the report is to assist the agency leadership in management of operations. The RN CaseManagers must report the following: a. Any identified</p>	

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	<p>and failed to evidence the physician was notified until 7/28/16, not per the agency's 72 hour policy.</p> <p>-The Skilled Nurse Visit Note dated 7/5/16 stated "Home Health Aide Supervision ... Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes" and the Narrative Notes stated "Has not seen the morning aide call to supervisor to advise." This note failed to evidence the Registered Nurse (RN) was made aware of HHA visits not being made on 7/4/16.</p> <p>E. The Missed Visit Notes dated 7/12/16 and 7/14/16 stated "Reason: ... Other, Unable to replace aide."</p> <p>- The Skilled Nursing Visit Note dated 7/12/16 stated "Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Personal Care Given, Yes; Client Satisfied, Yes." The morning HHA was present at the supervisory visit. This note failed to evidence the RN was made aware of HHA visits not being completed in the past week, and failed to evidence discharge planning discussions.</p> <p>F. The Aide Visit Note dated 7/23/15 failed to evidence the HHA provided 2</p>		<p>HHA or RN staffing concerns, b. Any patient "change in condition" c. Patients newly started on antibiotics d. Patient falls e. Patient Concerns/Needs f. Patient Hospitalizations g. Patient ED Visits h. A review of the patient assessment and functional mobility 5. The Agency will implement random Administrative Supervisory Visits to evaluate their RN and HHA staff for compliance. The Agency Administrator and Director of Nursing are responsible for compliance with this regulation.</p>	

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	<p>hours of care as ordered, and stated "Time In 17:30 ... Time Out 18:30."</p> <p>G. The Missed Visit Note dated 7/24/16 stated "Reason: ... Staff call off, unable to replace (employee L)."</p> <p>H. The Missed Visit Note dated 7/25-7/29/16 AM visits stated "Reason: ... Staff didn't show 7/25-7/28, unable to replace (employee N); and 7/29 no aide available to take [aide's] place."</p> <p>I. The Missed Visit Note dated 7/25-7/27/16 PM (evening) visits stated "Reason: ... Staff didn't show, unable to replace (employee L), didn't find out until 7/28 in AM."</p> <p>J. The Missed Visit Note dated 7/30 and 7/31/16 stated "Reason: ... Unable to replace aide."</p> <p>-The Skilled Nursing Visit Note dated 8/1/16 stated "Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes." This note failed to evidence the RN was made aware of HHA visits not being completed in the past week, and failed to evidence discharge planning discussions.</p> <p>K. The Missed Visit Note dated 8/1</p>			

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	<p>and 8/2/16 stated "Both AM and PM visits ... Reason: ... Unable to staff."</p> <p>L. The Interdisciplinary Communication note dated 7/20/16 stated "Patient had missed visits the following dates with explanation following: 6/23/16 unable to replace aide, 6/24/16 unable to replace aide, 6/27/16 unable to replace aide, 6/28/16 unable to replace aide, 6/29/16 patient refused care, 7/11/16 patient not home when aide arrived, 7/12/16 unable to replace aide, 7/14/16 unable to replace aide." This communication note failed to include the 7/4-7/8 staff no- show dates.</p> <p>M. During interview on 8/5/16 at 2:20 PM, employee A (Nursing Supervisor) stated the patient did not tell the agency the HHAs were not showing up, and the agency did not catch it. Employee A stated employee M (HHA) was terminated because she wanted to pick and chose her own patients. Employee A stated for 7/25-27 the agency did not know until 2 days afterward that employee L was not showing up, and the agency does not have any staff willing to drive that far. Employee A stated the agency had already began reviewing the records for consistency but missed this issue.</p>			

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	<p>N. During interview on 8/5/16 at 2:25 PM, employee C (office manager) stated HHA employee K suddenly quit on 6/29/16.</p> <p>O. The Interdisciplinary Communication note dated 8/3/16 at 2:40 PM created by employee C stated "Late entry from 08/02/2016 I called [name] at Iahhc [Indiana Association of Home and Hospice Care] to get a list of agencies that service the [patient's town] area. I then called several agencies in order to find a new agency to staff [patient #1], due to staffing issues in [patient's] area. All the agencies I contacted did not have staffing in [patient's] area to take [patient's] case on. Agencies I called are as follows: DeKalb Cameron Interim Maxim Parkview Sunshine Veritcal."</p> <p>P. During telephone interview on 8/9/16 at 11:11 AM, non-employee AA from Cameron Home Health stated that patient's town is out of their territory so the would not have taken the referral at all.</p>			

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	<p>Q. During telephone interview on 8/9/16 at 11:02 AM, non-employee BB from DeKalb Home Health and Hospice stated they did not receive any information about this patient, she checked with the other intake person and the Administrator and they had not heard of the patient. The agency did not state staffing would be an issue.</p> <p>R. During interview on 8/9/16 at 12:50 PM, employee C stated she probably did not give the patient's name to the agencies, only asked if they would be able to staff patient # 1 and another patient, and she did not want to give out too much information if they could not take the patients. Employee C stated DeKalb said it was too far South of them, Cameron said it was too far, some agencies don't do Medicaid or HHA services, and Sunshine is only focusing on down town Fort Wayne area currently.</p> <p>S. Attempts to contact the patient were completed on 8/9/16 at 11:34 AM, and 12:03 PM...the patient did not answer.</p> <p>T. Called patient's emergency contact person at 12:09 PM on 8/9/16, left a message to call back. As of 2:30 PM on 8/9/16, no return call had been made.</p> <p>2. Clinical record # 5 was reviewed on</p>			

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	<p>8/4/16. Start of care date 12/26/13. The plan of care dated 6/13-8/11/16 contained orders for HHA 18 visits a week for 1 week; 21 visits a week for 7 weeks, and 15 visits a week for 1 week; 2 HHAs for 2 hours each in the morning and 1 HHA for 2 hours in the evening. The record failed to evidence a second HHA was provided as ordered for 7 visits between 6/22-8/2/16, most due to being unable to staff a second HHA in the mornings.</p> <p>A. The Missed Visit Note dated 6/28/16 stated "Reason: ... Unable to replace (employee CC, previous HHA)."</p> <p>B. The Missed Visit Note dated 7/2/16 stated "Reason: ... Patient Refuses Care."</p> <p>C. The Missed Visit Note dated 7/3/16 AM visit stated "Reason: ... Patient Refuses Care."</p> <p>D. The Missed Visit Note dated 7/6/16 AM visit stated "Reason: ... unable to replace 2nd Aide."</p> <p>E. The Missed Visit Note dated 7/13/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>F. The Missed Visit Note dated 7/20/16 stated "Reason: ... unable to</p>			

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	<p>replace 2nd Aide."</p> <p>G. The Missed Visit Note dated 7/28 and 7/29/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>H. The Skilled Nursing Visit Note dated 7/5/16 stated "pt [patient] voices no complaints is happy with services."</p> <p>I. The Skilled Nursing Visit Note dated 7/21/16 stated "Home Health Aide Supervision ... Client Satisfied Yes."</p> <p>J. During telephone interview with patient # 5 on 8/5/16 at 1:10 PM, patient # 5 stated the agency has been having trouble getting a second HHA in the morning every other weekend while 1 was on vacation, and patient has asked to get new HHAs in to train. Patient stated they were told the agency is working on this, but when a second HHA is unavailable, the patient has to have a bed bath instead of a shower. Patient did voice they are content with the care and the HHAs are awesome.</p> <p>3. The agency's undated policy titled "Missed Visits," no number, stated "Procedure: If the staff member is unable to be replaced and the patient's Plan of Care visit frequency is not met, the missed visit will be recorded and the</p>			

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N 0522 Bldg. 00	<p>patient's physician will be notified within 72 hours. If the patient has several missed visits due to staff call offs, weather emergency or reason other than patient request, the physician will be notified within 72 hours in writing and orders will be obtained if necessary to change frequency."</p> <p>4. The agency's undated policy titled "Acceptance of Patients," no date, stated "procedure: If we cannot meet a patient's needs or their home environment will not support our services, we will not admit the patient nor will we continue to provide services. If we are unable to provide you with physician ordered services we may upon patient request provide a list of other home care providers."</p> <p>410 IAC 17-13-1(a) Patient Care Rule 13 Sec. 1(a) Medical care shall follow a written medical plan of care established and periodically reviewed by the physician, dentist, chiropractor, optometrist or podiatrist, as follows: Based on document review and interview, the agency failed to ensure home health aide visits were provided as</p>	N 0522	Home Healthcare Associates, Inc. staff will provide care that is ordered by the physician. 1. The Director of Nursing or designee	09/09/2016

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	<p>ordered by the physician, and failed to evidence the agency notified the physician within 72 hours for missed visits and to obtain orders for a new frequency for 2 of 8 clinical records reviewed. (# 1 and 5)</p> <p>Findings include</p> <p>1. Clinical record # 1 was reviewed on 8/5/16. Start of care date 4/20/15. The plan of care dated 6/13-8/11/16 contained orders for Skilled Nurse (SN) 1 time a week for 9 weeks for medication set up, and 3 as needed (PRN) visits for change in condition; Home Health Aide (HHA) 12 visits a week for 1 week, 14 visits a week for 7 weeks, and 10 visits a week for 1 week, each visit lasting 2 hours. The record failed to evidence all HHA visits were completed as ordered, with most missed visits related to lack of staff and a total of 40.5 hours of visits were missed between 6/22-8/2/16.</p> <p>A. The Missed Visit Note dated 6/23 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p> <p>B. The Missed Visit Note dated 6/24 AM (morning) visit stated "Reason: ... Staff call off, unable to replace ... (employee K, HHA)."</p>		<p>will review all referrals to evaluate if the is adequate staffing available in their geographic location to meet the patient needs. 2. A system will be implemented in which the home health aide will call in to the office when they arrive and depart from each patient home. This will provide a tracking system to evaluate for missed visits and to track the length of time the home health aide stays with the patient. 3. Physicians will be notified within 72 hours of any missed visits and physician orders will be written to update the homehealth aide frequency orders. 4. The RN Case Managers have been instructed on the requirement to obtain physician orders for all services and frequency changes the patient needs including a notification of the physician of pending patient discharge. In order to ensure compliance withphysician orders the agency will implement the following:</p> <p>1. The Agency will implement random Administrative Supervisory Visits to evaluate their RN and HHA staff for compliance. 2. The Agency Administrator and Director of Nursing will audit all documentation at certification time points utilizing the certification checklists to ensure all documentation is complete and accurate, and physician orders are obtained. 3. RNs and HHAs failing to provide care as</p>	

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	<p>C. The Missed Visit Note dated 6/27 and 6/28/16 visits stated "Reason: ... 6/27 Patient refuses care," and "6/28 Staff call off, unable to replace ... (employee L, HHA)."</p> <p>D. The Missed Visit Note dated 7/4-7/8/16 AM visits stated "Reason: ... Staff (employee M, HHA) didn't show. Didn't know until over a week later." This note was not created until 7/28/16 and failed to evidence the physician was notified until 7/28/16, not per the agency's 72 hour policy.</p> <p>-The Skilled Nurse Visit Note dated 7/5/16 stated "Home Health Aide Supervision ... Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes" and the Narrative Notes stated "Has not seen the morning aide call to supervisor to advise." This note failed to evidence the Registered Nurse (RN) was made aware of HHA visits not being made on 7/4/16.</p> <p>E. The Missed Visit Notes dated 7/12/16 and 7/14/16 stated "Reason: ... Other, Unable to replace aide."</p> <p>- The Skilled Nursing Visit Note dated 7/12/16 stated "Aide Follows Plan</p>		<p>ordered by the physician will be re-educated on their responsibilities. Ongoing non-compliance will result in employee counseling up to and including termination. The Agency Administrator and Director of Nursing are responsible for compliance with this regulation.</p>	

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	<p>of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Personal Care Given, Yes; Client Satisfied, Yes." The morning HHA was present at the supervisory visit. This note failed to evidence the RN was made aware of HHA visits not being completed in the past week, and failed to evidence discharge planning discussions.</p> <p>F. The Aide Visit Note dated 7/23/15 failed to evidence the HHA provided 2 hours of care as ordered, and stated "Time In 17:30 ... Time Out 18:30."</p> <p>G. The Missed Visit Note dated 7/24/16 stated "Reason: ... Staff call off, unable to replace (employee L)."</p> <p>H. The Missed Visit Note dated 7/25-7/29/16 AM visits stated "Reason: ... Staff didn't show 7/25-7/28, unable to replace (employee N); and 7/29 no aide available to take [aide's] place."</p> <p>I. The Missed Visit Note dated 7/25-7/27/16 PM (evening) visits stated "Reason: ... Staff didn't show, unable to replace (employee L), didn't fin out until 7/28 in AM."</p> <p>J. The Missed Visit Note dated 7/30 and 7/31/16 stated "Reason: ... Unable to replace aide."</p>			

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	<p>-The Skilled Nursing Visit Note dated 8/1/16 stated "Aide Follows Plan of Care/Assignment, Yes; Aide Documentation Adequate, Yes; Client Satisfied, Yes." This note failed to evidence the RN was made aware of HHA visits not being completed in the past week, and failed to evidence discharge planning discussions.</p> <p>K. The Missed Visit Note dated 8/1 and 8/2/16 stated "Both AM and PM visits ... Reason: ... Unable to staff."</p> <p>L. The Interdisciplinary Communication note dated 7/20/16 stated "Patient had missed visits the following dates with explanation following: 6/23/16 unable to replace aide, 6/24/16 unable to replace aide, 6/27/16 unable to replace aide, 6/28/16 unable to replace aide, 6/29/16 patient refused care, 7/11/16 patient not home when aide arrived, 7/12/16 unable to replace aide, 7/14/16 unable to replace aide." This communication note failed to include the 7/4-7/8 staff no- show dates.</p> <p>M. During interview on 8/5/16 at 2:20 PM, employee A (Nursing Supervisor) stated the patient did not tell the agency the HHAs were not showing up, and the agency did not catch it.</p>			

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	<p>Employee A stated employee M (HHA) was terminated because she wanted to pick and chose her own patients. Employee A stated for 7/25-27 the agency did not know until 2 days after that employee L was not showing up, and the agency does not have any staff willing to drive that far. Employee A stated the agency had already began reviewing the records for consistency but missed this.</p> <p>N. During interview on 8/5/16 at 2:25 PM, employee C (office manager) stated HHA employee K suddenly quit on 6/29/16.</p> <p>O. The Interdisciplinary Communication note dated 8/3/16 at 2:40 PM created by employee C stated "Late entry from 08/02/2016 I called [name] at Iahhc to get a list of agencies that service the [patient's town] area. I then called several agencies in order to find a new agency to staff [patient #1], due to staffing issues in [patient's] area. All the agencies I contacted did not have staffing in [patient's] area to take [patient's] case on. Agencies I called are as follows: DeKalb Cameron Interim Maxim Parkview Sunshine</p>			

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NAME OF PROVIDER OR SUPPLIER HOME HEALTHCARE ASSOCIATES INC	STREET ADDRESS, CITY, STATE, ZIP CODE 6431 GEORGETOWN NORTH BLVD FORT WAYNE, IN 46815
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	<p>Veritcal."</p> <p>P. During telephone interview on 8/9/16 at 11:11 AM, non-employee AA from Cameron Home Health stated that town is out of their territory so the would not have taken the referral at all.</p> <p>Q. During telephone interview on 8/9/16 at 11:02 AM, non-employee BB from DeKalb Home Health and Hospice stated they did not receive any information about this patient, she checked with the other intake person and the Administrator and they had not heard of the patient. The agency did not state staffing would be an issue.</p> <p>R. During interview on 8/9/16 at 12:50 PM, employee C stated she probably did not give the patient's name to the agencies, only asked if they would be able to staff patient # 1 and another patient, and she did not want to give out too much information if they could not take the patients. Employee C stated DeKalb said it was too far South of the, Cameron said it was too far, some agencies don't do Medicaid or HHA services, and Sunshine is only focusing on down town Fort Wayne area currently.</p> <p>S. Attempts to contact the patient were completed on 8/9/16 at 11:34 AM,</p>			

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	<p>and 12:03 PM...the patient did not answer.</p> <p>T. Called patient's emergency contact person at 12:09 PM on 8/9/16, left a message to call back. As of 2:30 PM on 8/9/16, no return call had been made.</p> <p>2. Clinical record # 5 was reviewed on 8/4/16. Start of care date 12/26/13. The plan of care dated 6/13-8/11/16 contained orders for HHA 18 visits a week for 1 week; 21 visits a week for 7 weeks, and 15 visits a week for 1 week; 2 HHAs for 2 hours each in the morning and 1 HHA for 2 hours in the evening. The record failed to evidence a second HHA was provided as ordered for 14 hours of visits between 6/19-8/21/16, due to being unable to staff a second HHA in the mornings.</p> <p>A. The Missed Visit Note dated 6/19/16 stated "Reason: ... Refused alt. caregiver for bath Patient Refuses Care."</p> <p>B. The Missed Visit Note dated 6/28/16 stated "Reason: ... Unable to replace (employee CC, previous HHA)."</p> <p>C. The Missed Visit Note dated 7/2/16 stated "Reason: ... Patient Refuses Care."</p> <p>D. The Missed Visit Note dated</p>			

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	<p>7/3/16 AM visit stated "Reason: ... Patient Refuses Care."</p> <p>E. The Missed Visit Note dated 7/6/16 AM visit stated "Reason: ... unable to replace 2nd Aide."</p> <p>F. The Missed Visit Note dated 7/13/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>G. The Missed Visit Note dated 7/20/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>H. The Missed Visit Note dated 7/28 and 7/29/16 stated "Reason: ... unable to replace 2nd Aide."</p> <p>I. The Skilled Nursing Visit Note dated 7/5/16 stated "pt voices no complaints is happy with services."</p> <p>J. The Skilled Nursing Visit Note dated 7/21/16 stated "Home Health Aide Supervision ... Client Satisfied Yes."</p> <p>K. During telephone interview with patient # 5 on 8/5/16 at 1:10 PM, patient # 5 stated the agency has been having trouble getting a second HHA in the morning every other weekend while 1 was on vacation, and patient has asked to get new HHAs in to train. Patient stated</p>			

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	<p>they were told the agency is working on this, but when a second HHA is unavailable, the patient has to have a bed bath instead of a shower. Patient did voice they are content with the care and the HHAs are awesome.</p> <p>3. The agency's undated policy titled "Missed Visits," no number, stated "Procedure: If the staff member is unable to be replaced and the patient's Plan of Care visit frequency is not met, the missed visit will be recorded and the patient's physician will be notified within 72 hours. If the patient has several missed visits due to staff call offs, weather emergency or reason other than patient request, the physician will be notified within 72 hours in writing and orders will be obtained if necessary to change frequency."</p> <p>4. The agency's undated policy titled "Acceptance of Patients," no date, stated "procedure: If we cannot meet a patient's needs or their home environment will not support our services, we will not admit the patient nor will we continue to provide services. If we are unable to provide you with physician ordered services we may upon patient request provide a list of other home care providers."</p>			

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N 0544 Bldg. 00	<p>410 IAC 17-14-1(a)(1)(E) Scope of Services Rule 14 Sec. 1(a) (1)(E) Except where services are limited to therapy only, for purposes of practice in the home health setting, the registered nurse shall do the following: (E) Prepare clinical notes.</p> <p>Based on document review and interview, the agency failed to ensure the Registered Nurse (RN) included the patient's fall in the 60 day summary to the physician for 1 of 5 clinical records reviewed (#2).</p> <p>Findings include</p> <p>1. The clinical record for patient # 2 was reviewed on 8/4/16. Start of care dated 12/17/2013. The plan of care dated 6/4-8/2/16 contained orders for Home Health Aide (HHA) 5 times a week for 8 weeks, then 2 times a week for 1 week. The 60 day summary failed to mention the patient fall.</p> <p>A. The agency's fall report log for 2016 evidenced patient's # 2 tripped on 6/27/16 and broke their nose.</p> <p>B. An un-titled document dated 6/29/2016 stated "Per Group home staff, patient had a trip and fall resulting in a</p>	N 0544	<p>Home Healthcare Associates, INC will ensure the 60 daysummary includes all the required elements. The RN Case Managers will be re-instructed on what is to be included in the 60 day summary. The Director of Nursing will instruct the RN Case Managers on the utilization ofthe certification checklists. (The checklists identify all the tasks the RN case Manageris to complete at all certification time points.) The clinician will check off the tasks as they are completed and submit the checklist and completed certification documentation to the Director of Nursing or designee. In order to ensure compliance the agency will audit 100% of all certification documentation as follows: 1. The Director of Nursing or designee will utilize the certification checklist as an audit tool to ensure the assessments are accurate and complete, the Plan ofCare or physician orders reflect the needs identified on the comprehensive assessment and that summaries contain all the</p>	09/09/2016

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	<p>broken nose. Patient was taken to ER [emergency room], no further treatment needed. MD [doctor] is aware. Reported to [employee O, RN] during supervisory visit. Fall was reported as occurring on 6/27/2016." This document failed to evidence a time and signature of who created it.</p> <p>C. The Skilled Nursing Visit Note dated 6/30/2016 Narrative Notes stated "Pt [Patient] had a fall on Monday and was sent to ER X-ray showed [patient] fractured [patient's] nose."</p> <p>D. The 60 day Plan of Care Summary dated for the certification period 6/4/2016-8/2/2016 stated "Per staff, patient has had no hospitalizations, falls, ER visits, or injuries during the last 60 days." This form was signed by employee A (Nursing Supervisor) on 8/1/16.</p> <p>2. During interview on 8/5/16 at 12:30 PM, employee A stated the entry about patient # 2 not having fallen was an error.</p> <p>3. The agency's un-dated policy titled "Documentation Standards and Guidelines," no number, stated "Procedure: The 10 C's of Documentation 1. Correct: Accurate documentation of observations,</p>		<p>required elements. 2. RNs with identified errors in documentation willbe re-educated. Ongoing noncompliance will result in employee counseling up to and including termination. The Director of Nursing is responsible for compliance with this regulation.</p>	

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N 0608 Bldg. 00	<p>assessments, events, services, and treatments, accurate notation of the date and time of documentation; signature of the documenter. ... 5. Complete: All pertinent information included. ... The DO'S of Charting Do sign every entry you make."</p> <p>4. The agency's un-dated job description titled "Registered Nurse," no number, stated "Essential Job Functions Provides assessment, management, and evaluation of the patient's plan of care ... Completes documentation at each needed interval for each assigned patient."</p> <p>5. The agency's un-dated policy titled "Professional Standards and Practice Compliance," no number, stated "POLICY: Home Healthcare Associates will ensure that all staff, employed by Home Healthcare associates and/or contracted, follow professional practice standards as determined by their respective disciplines."</p> <p>410 IAC 17-15-1(a)(1-6) Clinical Records Rule 15 Sec. 1(a) Clinical records containing pertinent past and current findings in accordance with accepted professional standards shall be maintained for every patient as follows: (1) The medical plan of care and</p>			

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	<p>appropriate identifying information.</p> <p>(2) Name of the physician, dentist, chiropractor, podiatrist, or optometrist.</p> <p>(3) Drug, dietary, treatment, and activity orders.</p> <p>(4) Signed and dated clinical notes contributed to by all assigned personnel. Clinical notes shall be written the day service is rendered and incorporated within fourteen (14) days.</p> <p>(5) Copies of summary reports sent to the person responsible for the medical component of the patient's care.</p> <p>(6) A discharge summary.</p> <p>Based on document review and interview, the agency failed to ensure the Registered Nurse (RN) included the patient's fall in the 60 day summary to the physician for 1 of 5 clinical records reviewed (#2).</p> <p>Findings include</p> <p>1. The clinical record for patient # 2 was reviewed on 8/4/16. Start of care dated 12/17/2013. The plan of care dated 6/4-8/2/16 contained orders for Home Health Aide (HHA) 5 times a week for 8 weeks, then 2 times a week for 1 week. The 60 day summary failed to mention the patient fall.</p> <p>A. The agency's fall report log for 2016 evidenced patient's # 2 tripped on 6/27/16 and broke their nose.</p> <p>B. An un-titled document dated</p>	N 0608	Home Healthcare Associates, INC will ensure the 60 day summary includes all the required elements. The RN Case Managers will be re-instructed on what is to be included in the 60 day summary. The Director of Nursing will instruct the RN Case Managers on the utilization of the certification checklists. (The checklists identify all the tasks the RN case Manageris to complete at all certification time points.) The clinician will check off the tasks as they are completed and submit the checklist and completed certification documentation to the Director of Nursing or designee. In order to ensure compliance the agency will audit 100% of all certification documentation as follows: 1. The Director of Nursing or designee will utilize the certification checklist as a audit tool to ensure the assessments are accurate and complete, the Plan of Care or physician orders reflect the needs	09/09/2016

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