STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 15G225	(X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING	(X3) DATE SURVEY COMPLETED 10/08/2013

NAME OF PROVIDER OR SUPPLIER	STREET ADDRESS, CITY, STATE, ZIP CODE
OCCAZIO INC	2234 Q AVE NEW CASTLE, IN 47362

(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)	(X5) COMPLETION DATE
W000000	This visit was for the investigation of complaint #IN00135696. COMPLAINT #IN00135696-SUBSTANTIATED, Federal/State deficiencies related to the complaint are cited at W104, W125, W126, and W247. Unrelated deficiency cited. Dates of Survey: September 30, and October 1, 2, 3, 4, 7 and 8, 2013. Provider Number: 15G225 Facility Number: 000749 AIM Number: 100243360 Surveyor: Kathy Wanner, QIDP. These federal deficiencies also reflect state findings in accordance with 460 IAC 9. Quality Review completed 10/18/13 by Ruth Shackelford, QIDP.	W000000		

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

Any defiencystatement ending with an asterisk (*) denotes a deficency which the institution may be excused from correcting providing it is determined that other safegaurds 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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W000104	483.410(a)(1) GOVERNING BODY The governing body must exercise general policy, budget, and operating direction over the facility. Based on record review and interview, the governing body failed to exercise operating direction over the facility by failing to develop a system insuring the rights of clients wanting to rent movies or pay-per-view (PPV) events on the group home's cable in a timely manner and at their own discretion for 3 of 4 sampled clients (clients A, B and C) and 3 of 5 additional clients (clients E, I and J). Findings include: Facility records were reviewed on 10/1/13 at 3:13 P.M. including the Bureau of Developmental Disabilities Services (BDDS) reports for the time period between 2/1/13 and 10/1/13. The reports indicated the following: A BDDS report dated 6/18/13 at 12:00 P.M. indicated "For the last 3 years, the guys at [name of group home] have once every couple of months ordered WWE-Pro Wrestling Pay-Per-View (PPV) events, having a good time, cheering, and having snacks. It was told to the staff that the company could not afford to do this anymore, but the guys at the group home have offered to pay for	W000104	W104 Governing Body The facility failed to exercise operating direction over the facility by failing to develop a system insuring the rights of clients wanting to rent movies or pay-per-view events on the group home's cable in a timely manner and at their own discretion for Clients A, B, C, E, I and J. What corrective action will be accomplished? Develop a written process for clients to be able to request pay-per-view/recreational activities to be scheduled and budgeted for. Training with administrative staff regarding client rights. Formal programming with Clients A, B, C, E, I and J regarding budgeting and paying for pay-per-view/recreational events. Formal programming with Clients A, B, C, E, I and J regarding internal grievance process when they feel a right has been violated. Training with support staff regarding internal grievance process for clients and staff's role in assisting with this. How will we identify other residents having the potential to be affected by the same deficient practice and what corrective action will be taken? All clients have the potential to be affected by the same deficient practice. The Residential	11/07/2013

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	the events themselves...The guys had paid when given bills by the company, but the company seemed unable to keep this organized...I was told by the upper level management that the guys were not able to do this anymore, due to it being a 'hassle' for Occazio and costing too much money...The residents at [name of group home] (GH) that have been effected by this are [client E], [client A], [client B], [client I] and [client C]. They regularly invited peers [peer #1], [peer #2], [peer #3], [peer #4], [peer #5] and [peer #6] (clients from other Occazio program areas)." An internal investigation "Finding of the Facts" dated 6/18/13 was reviewed on 10/1/13 at 3:50 P.M. The investigation indicated in part "Complaint was filed by former employee [name of employee] regarding violations of residents' rights related to PPV events at [name of GH]." The report indicated the finding to be unsubstantiated. "PPV events are not considered a client necessity and are not included in per diem rate for residents...cable television is a covered expense by Occazio...Occazio did not consider the decision to discontinue PPV to be restrictive of client rights." The recommendations indicated "Consider reimbursing amount $72.48 to [client A] for payment of PPV events on 3/20/13.		Coordinator/QMRP will review annual ISPs of all clients to ensure that client entertainment goals for the year are encouraged and implemented. Training with Residential Coordinators/Site Managers regarding protocol for accessing pay per view or any other service clients wish to investigate. Training with Residential Coordinators/Site Manager regarding advocating for resident rights. Training with support staff regarding internal grievance process for clients and staff's role in assisting with this. Training with administrative staff regarding client rights. The RC will monitor the residents programming and behavior needs on a regular basis. As their needs change or new concerns are identified, changes will be reflected in their programming, ISP and behavior plan as necessary. What measures will be put into place or what systemic changes will be made to ensure that the deficient practice does not recur: The Residential Coordinator/QMRP will review annual ISPs of all clients to ensure that client entertainment goals for the year are encouraged and implemented. Training with Residential Coordinators/Site Managers regarding protocol for accessing pay per view or any other service clients wish to investigate. Training with Residential Coordinators/Site Manager regarding advocating for	

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	Consider reimbursing amount $72.47 to [client J] (former resident) for payment of PPV event on 3/20/13. Documentation indicated clients A and J were reimbursed. A review of internal emails was conducted on 10/2/13 at 1:12 P.M. indicated the following: An email dated 2/12/13 from Accounts Payable Personal (APP) to Program Specialist (PS) "I looked at the December [name of cable company] bill someone at [name of GH] rented Dr. Seuss/Grinch $2.99 and A Christmas Story $2.99. Please send [name of staff at name of GH] a message letting them know not to rent movies. I think it would be best coming from you. This way they know the accounting department and management are viewing bills." An email dated 4/24/13 at 11:31 A.M. from the APP to the PS indicated "I just spoke with the RA (Residential Assistant) at [name of GH] and she explained the WWE rentals via [name of cable company]. RA explained she invites clients from other ghs (group homes) and waiver to watch the WWE...with the info the RA shared I see this as a recreational activity like going to the movie or concert...for future rentals I would like the RA to send me a heads up when the WWE is rented by sending me a Therap (electronic filing system) message." An email dated 6/7/13		resident rights. Training with support staff regarding internal grievance process for clients and staff's role in assisting with this. Training with administrative staff regarding client rights. The RC will monitor the residents programming and behavior needs on a regular basis. As their needs change or new concerns are identified, changes will be reflected in their programming, ISP and behavior plan as necessary. How will the corrective action be monitored to ensure the deficient practice will not recur? SM will meet with residents monthly to address any concerns or violation of rights. Residential Coordinator/Area Residential Coordinator will review resident meeting documentation monthly to ensure all resident concerns are addressed. What is the date by which the systemic changes will be completed? November 7, 2013	

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	at 9:03 A.M. from PS to Area Residential Coordinator (ARC) "How upset do you think everyone would be if we said no more PPV?? They are the only house in the company that is doing it...This is going to be an accounting nightmare." An email dated 6/7/13 at 2:03 P.M. for ARC to PS indicated "I think it is a stellar idea. There are a few practices at [name of GH] that need to be reviewed. I can approach it from an accounting stand point. It is a royal pain. [Name of APP] said she looked at it like going to the movies, but that would be an activity we could charge on the card and sent (sic) through the system in the proper manner. Give me the word and I will 86 (stop/ban) it." An email dated 6/7/13 at 3:07 P.M. from PS to ARC indicated "Please stop it at this time." An email dated 6/7/13 at 3:10 P.M. from ARC to PS indicated "Done." An email dated 6/7/13 at 10:12 A.M. from APP to PS indicated "I asked the rep. (cable representative) if a PPV block could be applied to the account. She said PPV can be ordered through the cable box so a pin number would need to be set in within the cable box to block movie rentals." An email dated 6/7/13 at 3:08 P.M. from PS to APP indicated "I decided to have [name of ARC] stop the WWE charges. He is giving that directive to staff. Please let me know if you see any extra charges that come up. It just made			

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	more sense on all ends to stop the charges." A series of Confidential Interviews (CI) were conducted between 9/30/13 and 10/7/13. CI #1 "The RC locked the cable TV." CI #2 "We don't watch it anymore, the company doesn't let us...I don't know why the company took it away from us, they (company) weren't paying for it. Makes me wonder why the company wouldn't let us have it. We used to have big parties, invite people in. The company took our privileges away from us. It would be nice if we could see it. It just doesn't make sense why they took it away." CI #3 "Yeah, I watch wrestling. Yeah, they took it away. Yeah, I was paying for it. Don't know why they stopped it. All the guys liked it. Yeah, I didn't like it being stopped. Yeah, I want to watch it." CI #4 "We sometimes have the parties, not sure if we get to watch PPV wrestling anymore, it was a long time ago, different staff were there." CI #5 "We don't get PPV, they (company) can't afford it. Everybody in the house likes it. We would probably pay for it. My			

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	right to watch it. We used to have big parties, not anymore, I miss them some. I think it was [name of ARC] who told me 'We just can't afford it anymore.' I would like to get it back. I never messed with filing a grievance." CI #6 "Now they don't have them anymore (PPV/parties). Something that [name of ARC] said the company can't afford it anymore. The company didn't pay for it; [client A] paid for it. Now they are saying the company paid for it. I knew what I was watching. PPV you pay to see whatever match you want to see. Regular cable, you just see what is on, not necessarily the match you want to see. No one filed a grievance that I know of. Yeah, our rights are being violated big time. They were doing it for a long time now they want to put a stop to it." CI #7 "They stopped doing that because they are not paying for it anymore. They were PPV. I think [name of former RM] was paying for it. I liked going there. They also had big parties. If the guys said they would pay for it they should be able to watch it. I looked forward to going. I miss it." CI #8 "Yeah, I watch wrestling, big parties."			

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	CI #9 "I'm trying to find out why they don't have them anymore. I think Occazio was paying for them. They were fun. They used to pay, they don't anymore. I miss going. I want it to start back. I like to see it. I would like to get that started back up again." An interview was conducted with the Residential Coordinator (RC) on 10/2/13 at 11:55 A.M. The RC explained the current process for clients requesting a movie rental/PPV event. The RC stated "Clients would express to the RM they wanted to rent a movie/PPV event. The RM would inform the RC. The RC would request the money from the activity account through a purchase requisition. The RC would go back to the client to make sure they had been the one to make the request, so it wasn't something for staff. We like at least three days notice, but it has been as little as four hours, or as long as two weeks. If there is no specific date (deadline) it may take longer. We are totally responsible for all activities. Money is sometimes denied by the business office or [name of Director of Programmatic Operations] (DPO). [Name of cable company] needs a code, which is supplied by the business office." An interview was conducted with the Area Residential Coordinator (ARC) on			

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	10/2/13 at 12:59 P.M. The ARC indicated the company paid for all activities for the clients. When asked about the cable being locked, the ARC stated, "It is not locked, it is a parental control thing to screen for nudity, etc. The guys would get there and start ordering stuff. It is only on the main TV. The guys all have their own TVs in their rooms." An interview was again conducted with the RC on 10/2/13 at 12:10 P.M. The RC stated, "We never have had anything in writing about the process. Anything the guys want over $50.00 is requisitioned through the Interdisciplinary Team (IDT) to protect the guys." The RC indicated the requisitioned items could be denied if the IDT deemed it was not in the best interest of the client even if it was not part of their individualized plan. This Federal tag relates to complaint #IN00135696. 9-3-1(a)			

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W000125	483.420(a)(3) PROTECTION OF CLIENTS RIGHTS The facility must ensure the rights of all clients. Therefore, the facility must allow and encourage individual clients to exercise their rights as clients of the facility, and as citizens of the United States, including the right to file complaints, and the right to due process. Based on record review and interview, the facility failed to allow and encourage 3 of 4 sampled clients (clients A, B and C) and 3 of 5 additional clients (clients E, I and J) to exercise their right to rent movies/pay-per-view (PPV) events at their own discretion. Findings include: Facility records were reviewed on 10/1/13 at 3:13 P.M. including the Bureau of Developmental Disabilities Services (BDDS) reports for the time period between 2/1/13 and 10/1/13. The reports indicated the following: A BDDS report dated 6/18/13 at 12:00 P.M. indicated "For the last 3 years, the guys at [name of group home] have once every couple of months ordered WWE-Pro Wrestling Pay-Per-View (PPV) events, having a good time, cheering, and having snacks. It was told to the staff that the company could not afford to do this anymore, but the guys at the group home have offered to pay for	W000125	W 125 Protection of Clients Rights The facility failed to allow and encourage Clients A, B, C, E, I and J to exercise their right to rent movies/pay-per view events at their own discretion. What corrective action will be accomplished? Develop a written process for clients to be able to request pay-per-view/recreational activities to be scheduled and budgeted for. Training with administrative staff regarding client rights. Formal programming with Clients A, B, C, E, I and J regarding budgeting and paying for pay-per-view/recreational events. Formal programming with Clients A, B, C, E, I and J regarding internal grievance process when they feel a right has been violated. Training with support staff regarding internal grievance process for clients and staff's role in assisting with this. How will we identify other residents having the potential to be affected by the same deficient practice and what corrective action will be taken? All clients have the potential to be affected by the same deficient practice. The Residential	11/07/2013

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	Consider reimbursing amount $72.47 to [client J] (former resident) for payment of PPV event on 3/20/13. Documentation indicated clients A and J were reimbursed. A review of internal emails was conducted on 10/2/13 at 1:12 P.M. indicated the following: An email dated 2/12/13 from Accounts Payable Personal (APP) to Program Specialist (PS) "I looked at the December [name of cable company] bill someone at [name of GH] rented Dr. Seuss/Grinch $2.99 and A Christmas Story $2.99. Please send [name of staff at name of GH] a message letting them know not to rent movies. I think it would be best coming from you. This way they know the accounting department and management are viewing bills." An email dated 4/24/13 at 11:31 A.M. from the APP to the PS indicated "I just spoke with the RA (Residential Assistant) at [name of GH] and she explained the WWE rentals via [name of cable company]. RA explained she invites clients from other ghs (group homes) and waiver to watch the WWE...with the info the RA shared I see this as a recreational activity like going to the movie or concert...for future rentals I would like the RA to send me a heads up when the WWE is rented by sending me a Therap (electronic filing system) message." An email dated 6/7/13		resident rights. Training with support staff regarding internal grievance process for clients and staff's role in assisting with this. Training with administrative staff regarding client rights. The RC will monitor the residents programming and behavior needs on a regular basis. As their needs change or new concerns are identified, changes will be reflected in their programming, ISP and behavior plan as necessary. How will the corrective action be monitored to ensure the deficient practice will not recur? SM will meet with residents monthly to address any concerns or violation of rights. Residential Coordinator/Area Residential Coordinator will review resident meeting documentation monthly to ensure all resident concerns are addressed. What is the date by which the systemic changes will be completed? November 7, 2013	

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	at 9:03 A.M. from PS to Area Residential Coordinator (ARC) "How upset do you think everyone would be if we said no more PPV?? They are the only house in the company that is doing it...This is going to be an accounting nightmare." An email dated 6/7/13 at 2:03 P.M. for ARC to PS indicated "I think it is a stellar idea. There are a few practices at [name of GH] that need to be reviewed. I can approach it from an accounting stand point. It is a royal pain. [Name of APP] said she looked at it like going to the movies, but that would be an activity we could charge on the card and sent (sic) through the system in the proper manner. Give me the word and I will 86 (stop/ban) it." An email dated 6/7/13 at 3:07 P.M. from PS to ARC indicated "Please stop it at this time." An email dated 6/7/13 at 3:10 P.M. from ARC to PS indicated "Done." An email dated 6/7/13 at 10:12 A.M. from APP to PS indicated "I asked the rep. (cable representative) if a PPV block could be applied to the account. She said PPV can be ordered through the cable box so a pin number would need to be set in within the cable box to block movie rentals." An email dated 6/7/13 at 3:08 P.M. from PS to APP indicated "I decided to have [name of ARC] stop the WWE charges. He is giving that directive to staff. Please let me know if you see any extra charges that come up. It just made			

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	more sense on all ends to stop the charges." A series of Confidential Interviews (CI) were conducted between 9/30/13 and 10/7/13. CI #1 "The RC locked the cable TV." CI #2 "We don't watch it anymore, the company doesn't let us...I don't know why the company took it away from us, they (company) weren't paying for it. Makes me wonder why the company wouldn't let us have it. We used to have big parties, invite people in. The company took our privileges away from us. It would be nice if we could see it. It just doesn't make sense why they took it away." CI #3 "Yeah, I watch wrestling. Yeah, they took it away. Yeah, I was paying for it. Don't know why they stopped it. All the guys liked it. Yeah, I didn't like it being stopped. Yeah, I want to watch it." CI #4 "We sometimes have the parties, not sure if we get to watch PPV wrestling anymore, it was a long time ago, different staff were there." CI #5 "We don't get PPV, they (company) can't afford it. Everybody in the house likes it. We would probably pay for it. My			

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	right to watch it. We used to have big parties, not anymore, I miss them some. I think it was [name of ARC] who told me 'We just can't afford it anymore.' I would like to get it back. I never messed with filing a grievance." CI #6 "Now they don't have them anymore (PPV/parties). Something that [name of ARC] said the company can't afford it anymore. The company didn't pay for it; [client A] paid for it. Now they are saying the company paid for it. I knew what I was watching. PPV you pay to see whatever match you want to see. Regular cable, you just see what is on, not necessarily the match you want to see. No one filed a grievance that I know of. Yeah, our rights are being violated big time. They were doing it for a long time now they want to put a stop to it." CI #7 "They stopped doing that because they are not paying for it anymore. They were PPV. I think [name of former RM] was paying for it. I liked going there. They also had big parties. If the guys said they would pay for it they should be able to watch it. I looked forward to going. I miss it." CI #8 "Yeah, I watch wrestling, big parties."			

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	CI #9 "I'm trying to find out why they don't have them anymore. I think Occazio was paying for them. They were fun. They used to pay, they don't anymore. I miss going. I want it to start back. I like to see it. I would like to get that started back up again." The facility's Resident Rights & Consumer Rights dated 2/1/2006 was reviewed on 10/1/2013 at 3:15 P.M. indicated "Keep and be allowed to spend reasonable amounts of your own money." The facility's Use of Behavior Change Interventions dated 12/1/2010 was reviewed on 9/30/13 at 4:07 P.M. indicated "Occazio staff will attempt to change the behavior of an Occazio resident/consumer in a manner that assures resident/consumer well being and respect for his/her rights...Normalization: Making available to individuals with developmental disabilities patterns of life and conditions of everyday living that are as close as possible to the regular circumstances and ways of life of their communities and culture." An interview was conducted with the Residential Coordinator (RC) on 10/2/13 at 11:55 A.M. The RC explained the current process for clients requesting a movie rental/PPV event. The RC stated "Clients would express to the RM they			

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	wanted to rent a movie/PPV event. The RM would inform the RC. The RC would request the money from the activity account through a purchase requisition. The RC would go back to the client to make sure they had been the one to make the request, so it wasn't something for staff. We like at least three days notice, but it has been as little as four hours, or as long as two weeks. If there is no specific date (deadline) it may take longer. We are totally responsible for all activities. Money is sometimes denied by the business office or [name of Director of Programmatic Operations] (DPO). [Name of cable company] needs a code, which is supplied by the business office." An interview was conducted with the Area Residential Coordinator (ARC) on 10/2/13 at 12:59 P.M. The ARC indicated the company paid for all activities for the clients. When asked about the cable being locked, the ARC stated, "It is not locked, it is a parental control thing to screen for nudity, etc. The guys would get there and start ordering stuff. It is only on the main TV. The guys all have their own TVs in their rooms." The ARC indicated he did not see it as a right issues as the clients were able to watch wrestling events for free on cable several night a week. An interview was again conducted with			

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	the RC on 10/2/13 at 12:10 P.M. The RC stated, "We never have had anything in writing about the process. Anything the guys want over $50.00 is requisitioned through the Interdisciplinary Team (IDT) to protect the guys." The RC indicated the requisitioned items could be denied if the IDT deemed it was not in the best interest of the client even if it was not part of their individualized plan. This Federal tag relates to complaint #IN00135696. 9-3-2(a)			

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W000126	483.420(a)(4) PROTECTION OF CLIENTS RIGHTS The facility must ensure the rights of all clients. Therefore, the facility must allow individual clients to manage their financial affairs and teach them to do so to the extent of their capabilities. Based on record review and interview, the facility failed to allow and encourage 4 of 4 sampled clients (clients A, B, C and D) and 4 of 4 additional clients (clients E, F, G and J) to manage their money and teach them to do so to the extent of their individual capabilities. Findings include: Facility records were reviewed on 10/1/13 at 3:13 P.M. including the Bureau of Developmental Disabilities Services (BDDS) reports for the time period between 2/1/13 and 10/1/13 the reports indicated the following: A BDDS report dated 6/18/13 at 12:00 P.M. indicated "For the last 3 years, the guys at [name of group home] have once every couple of months ordered WWE-Pro Wrestling Pay-Per-View (PPV) events, having a good time, cheering, and having snacks. It was told to the staff that the company could not afford to do this anymore, but the guys at the group home have offered to pay for the events themselves...The guys had paid	W000126	W 126 Protection of Clients Rights The facility failed to allow and encourage Client A, B, D, D, E, F and G to manage their money and teach them to do so to the extent of their individual capabilities. What corrective action will be accomplished? Develop a written process for clients to be able to request pay-per-view/recreational activities to be scheduled and budgeted for. Training with administrative staff regarding client rights. Formal programming with Clients A, B, C, E, I and J regarding budgeting and paying for pay-per-view/recreational events. Formal programming with Clients A, B, C, E, I and J regarding internal grievance process when they feel a right has been violated. Formal programming with Clients A, B, C, E, I and J regarding how to pay for activities using the flex card. Training with support staff regarding internal grievance process for clients and staff's role in assisting with this. How will we identify other residents having the potential to be affected by the same deficient practice and what corrective action will be taken? All clients have the potential to be	11/07/2013

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	when given bills by the company, but the company seemed unable to keep this organized...I was told by the upper level management that the guys were not able to do this anymore, due to it being a 'hassle' for Occazio and costing too much money." An internal investigation "Finding of the Facts" dated 6/18/13 was reviewed on 10/1/13 at 3:50 P.M. The investigation indicated in part "Complaint was filed by former employee [name of employee] regarding violations of residents' rights related to PPV events at [name of GH]" The report indicated the finding to be unsubstantiated. "PPV events are not considered a client necessity and are not included in per diem rate for residents...cable television is a covered expense by Occazio...Occazio did not consider the decision to discontinue PPV to be restrictive of client rights." The recommendations indicated "Consider reimbursing amount $72.48 to [client A] for payment of PPV events on 3/20/13. Consider reimbursing amount $72.47 to [client J] (former resident) for payment of PPV event on 3/20/13. Documentation indicated clients A and J were reimbursed. A review of internal emails was conducted on 10/2/13 at 1:12 P.M.		affected by the same deficient practice. The Residential Coordinator/QMRP will review annual ISPs of all clients to ensure that client entertainment goals for the year are encouraged and implemented. Training with Residential Coordinators/Site Managers regarding protocol for accessing pay per view or any other service clients wish to investigate. Training with Residential Coordinators/Site Manager regarding advocating for resident rights. Training with support staff regarding internal grievance process for clients and staff's role in assisting with this. Training with administrative staff regarding client rights. The RC will monitor the residents programming and behavior needs on a regular basis. As their needs change or new concerns are identified, changes will be reflected in their programming, ISP and behavior plan as necessary. What measures will be put into place or what systemic changes will be made to ensure that the deficient practice does not recur: The Residential Coordinator/QMRP will review annual ISPs of all clients to ensure that client entertainment goals for the year are encouraged and implemented. Training with Residential Coordinators/Site Managers regarding protocol for accessing pay per view or any other service clients wish to investigate. Training with	

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	There are a few practices at [name of GH] that need to be reviewed. I can approach it from an accounting stand point. It is a royal pain. [Name of APP] said she looked at it like going to the movies, but that would be an activity we could charge on the card and sent (sic) through the system in the proper manner. Give me the word and I will 86 (stop/ban) it." An email dated 6/7/13 at 3:07 P.M. from PS to ARC indicated "Please stop it at this time." An email dated 6/7/13 at 3:10 P.M. from ARC to PS indicated "Done." An email dated 6/7/13 at 10:12 A.M. from APP to PS indicated "I asked the rep. (cable representative) if a PPV block could be applied to the account. She said PPV can be ordered through the cable box so a pin number would need to be set in within the cable box to block movie rentals." An email dated 6/7/13 at 3:08 P.M. from PS to APP indicated "I decided to have [name of ARC] stop the WWE charges. He is giving that directive to staff. Please let me know if you see any extra charges that come up. It just made more sense on all ends to stop the charges." A series of Confidential Interviews (CI) were conducted between 9/30/13 and 10/7/13. CI #1 "The RC locked the cable TV."			

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	CI #2 "We don't watch it anymore, the company doesn't let us...I don't know why the company took it away from us, they (company) weren't paying for it. Makes me wonder why the company wouldn't let us have it. We used to have big parties, invite people in. The company took our privileges away from us. It would be nice if we could see it. It just doesn't make sense why they took it away." CI #3 "Yeah, I watch wrestling. Yeah, they took it away. Yeah, I was paying for it. Don't know why they stopped it. All the guys liked it. Yeah, I didn't like it being stopped. Yeah, I want to watch it." CI #4 "We sometimes have the parties, not sure if we get to watch PPV wrestling anymore, it was a long time ago, different staff were there." CI #5 "We don't get PPV, they (company) can't afford it. Everybody in the house likes it. We would probably pay for it. My right to watch it. We used to have big parties, not anymore, I miss them some. I think it was [name of ARC] who told me 'We just can't afford it anymore.' I would like to get it back. I never messed with filing a grievance." CI #6 "Now they don't have them			

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	The facility's Use of Behavior Change Interventions dated 12/1/2010 was reviewed on 9/30/13 at 4:07 P.M. indicated "Occazio staff will attempt to change the behavior of an Occazio resident/consumer in a manner that assures resident/consumer well being and respect for his/her rights...Normalization: Making available to individuals with developmental disabilities patterns of life and conditions of everyday living that are as close as possible to the regular circumstances and ways of life of their communities and culture...Occazio's goal is to encourage resident/consumer development and learning to assist residents/consumers in increasing their independence." The facility's Resident Rights & Consumer Rights dated 2/1/2006 was reviewed on 10/1/2013 at 3:15 P.M. indicated "Keep and be allowed to spend reasonable amounts of your own money." The facility's Use of Behavior Change Interventions dated 12/1/2010 was reviewed on 9/30/13 at 4:07 P.M. indicated "Occazio staff will attempt to change the behavior of an Occazio resident/consumer in a manner that assures resident/consumer well being and respect for his/her rights...Normalization: Making available to individuals with developmental disabilities patterns of life			

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NAME OF PROVIDER OR SUPPLIER OCCAZIO INC		STREET ADDRESS, CITY, STATE, ZIP CODE 2234 Q AVE NEW CASTLE, IN 47362	

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	and conditions of everyday living that are as close as possible to the regular circumstances and ways of life of their communities and culture." An interview was conducted with the Residential Coordinator (RC) on 10/2/13 at 11:55 A.M. The RC explained the current process for clients requesting a movie rental/PPV event. The RC stated "Clients would express to the RM they wanted to rent a movie/PPV event. The RM would inform the RC. The RC would request the money from the activity account through a purchase requisition. The RC would go back to the client to make sure they had been the one to make the request, so it wasn't something for staff. We like at least three days notice, but it has been as little as four hours, or as long as two weeks. If there is no specific date (deadline) it may take longer. We are totally responsible for all activities. Money is sometimes denied by the business office or [name of Director of Programmatic Operations] (DPO). [Name of cable company] needs a code, which is supplied by the business office." An interview was conducted with the Area Residential Coordinator (ARC) on 10/2/13 at 12:59 P.M. The ARC indicated the company paid for all activities for the clients. The ARC indicated each home			

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	was given $700.00 on a card each month to pay for group activities such as eating out, movies, sporting events. The ARC did not indicate how the clients in the home were learning money skills by the home using one card to pay for client activities. On 10/7/13 at 2:20 P.M. the facility Billing Coordinator (BC) indicated by email "Regarding the $700 that is used for rec flex (recreational activities)...the card is never used by residents- staff always assist in the purchases. It can be used for a group planned activity or spontaneous activities that may not involve the entire group such as buying lunch for a resident after a doctor's appointment. Occazio will pay the $700 towards that month's activities. Each group home and group of folks may differ in the way they choose to spend the money that month. If residents choose to do other activities and the money is low during that time, they can choose to individually pay for the activities that they want to participate in." There was no documentation available for review to indicate how Occazio staff were assisting clients A, B, C, D, E, F and G on budgeting their money for movie rentals/PPV events, or other outings and activities. There was no documentation available for review indicating if clients			

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	A, B, C, D, E, F and G were unable to make financial decisions. This Federal tag relates to complaint #IN00135696. 9-3-2(a)			

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W000247	483.440(c)(6)(vi) INDIVIDUAL PROGRAM PLAN The individual program plan must include opportunities for client choice and self-management. Based on record review and interview, the facility failed to provide opportunities for choice, and encourage and practice decision making in daily activities for 3 of 4 sampled clients (clients A, B and C) and 3 of 5 additional clients (clients E, I and J) by not allowing the clients to rent movies/pay-per-view events on cable TV. Findings include: Facility records were reviewed on 10/1/13 at 3:13 P.M. including the Bureau of Developmental Disabilities Services (BDDS) reports for the time period between 2/1/13 and 10/1/13 the reports indicated the following: A BDDS report dated 6/18/13 at 12:00 P.M. indicated "For the last 3 years, the guys at [name of group home] have once every couple of months ordered WWE-Pro Wrestling Pay-Per-View (PPV) events, having a good time, cheering, and having snacks. It was told to the staff that the company could not afford to do this anymore, but the guys at the group home have offered to pay for the events themselves...The guys had paid when given bills by the company, but the	W000247	W247 Individual Program Plan The facility failed to provide opportunities for choice, and encourage and practice decision making in daily activities for Client A, B, C, E, I and J by not allowing the client to rent movies/pay-per-view events on cable TV. What corrective action will be accomplished? Develop a written process for clients to be able to request pay-per-view/recreational activities to be scheduled and budgeted for. Training with administrative staff regarding client rights. Formal programming with Clients A, B, C, E, I and J regarding budgeting and paying for pay-per-view/recreational events. Formal programming with Clients A, B, C, E, I and J regarding internal grievance process when they feel a right has been violated. Training with support staff regarding internal grievance process for clients and staff's role in assisting with this. Formal programming with Clients A, B, C, E, I and J regarding how to pay for activities using the flex card. How will we identify other residents having the potential to be affected by the same deficient practice and what corrective action will be taken? All clients have the potential to be affected	11/07/2013

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	company seemed unable to keep this organized...I was told by the upper level management that the guys were not able to do this anymore, due to it being a 'hassle' for Occazio and costing too much money." An internal investigation "Finding of the Facts" dated 6/18/13 was reviewed on 10/1/13 at 3:50 P.M. The investigation indicated in part "Complaint was filed by former employee [name of employee] regarding violations of residents' rights related to PPV events at [name of GH]" The report indicated the finding to be unsubstantiated. "PPV events are not considered a client necessity and are not included in per diem rate for residents...cable television is a covered expense by Occazio...Occazio did not consider the decision to discontinue PPV to be restrictive of client rights." The recommendations indicated "Consider reimbursing amount $72.48 to [client A] for payment of PPV events on 3/20/13. Consider reimbursing amount $72.47 to [client J] (former resident) for payment of PPV event on 3/20/13. Documentation indicated clients A and J were reimbursed. A review of internal emails was conducted on 10/2/13 at 1:12 P.M. indicated the following: An email dated		by the same deficient practice. The Residential Coordinator/QMRP will review annual ISPs of all clients to ensure that client entertainment goals for the year are encouraged and implemented. Training with Residential Coordinators/Site Managers regarding protocol for accessing pay per view or any other service clients wish to investigate. Training with Residential Coordinators/Site Manager regarding advocating for resident rights. Training with support staff regarding internal grievance process for clients and staff's role in assisting with this. Training with administrative staff regarding client rights. The RC will monitor the residents programming and behavior needs on a regular basis. As their needs change or new concerns are identified, changes will be reflected in their programming, ISP and behavior plan as necessary. What measures will be put into place or what systemic changes will be made to ensure that the deficient practice does not recur: The Residential Coordinator/QMRP will review annual ISPs of all clients to ensure that client entertainment goals for the year are encouraged and implemented. Training with Residential Coordinators/Site Managers regarding protocol for accessing pay per view or any other service clients wish to investigate. Training with	

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	2/12/13 from Accounts Payable Personal (APP) to Program Specialist (PS) "I looked at the December [name of cable company] bill someone at [name of GH] rented Dr. Seuss/Grinch $2.99 and A Christmas Story $2.99. Please send [name of staff at name of GH] a message letting them know not to rent movies. I think it would be best coming from you. This way they know the accounting department and management are viewing bills." An email dated 4/24/13 at 11:31 A.M. from the APP to the PS indicated "I just spoke with the RA (Residential Assistant) at [name of GH] and she explained the WWE rentals via [name of cable company]. RA explained she invites clients from other ghs (group homes) and waiver to watch the WWE...with the info the RA shared I see this as a recreational activity like going to the movie or concert...for future rentals I would like the RA to send me a heads up when the WWE is rented by sending me a Therap (electronic filing system) message." An email dated 6/7/13 at 9:03 A.M. from PS to Area Residential Coordinator (ARC) "How upset do you think everyone would be if we said no more PPV?? They are the only house in the company that is doing it...This is going to be an accounting nightmare." An email dated 6/7/13 at 2:03 P.M. for ARC to PS indicated "I think it is a stellar idea. There are a few practices at [name of GH]		Residential Coordinators/Site Manager regarding advocating for resident rights. Training with support staff regarding internal grievance process for clients and staff's role in assisting with this. Training with administrative staff regarding client rights. The RC will monitor the residents programming and behavior needs on a regular basis. As their needs change or new concerns are identified, changes will be reflected in their programming, ISP and behavior plan as necessary. How will the corrective action be monitored to ensure the deficient practice will not recur? SM will meet with residents monthly to address any concerns or violation of rights. Residential Coordinator/Area Residential Coordinator will review resident meeting documentation monthly to ensure all resident concerns are addressed. What is the date by which the systemic changes will be completed? November 7, 2013	

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	that need to be reviewed. I can approach it from an accounting stand point. It is a royal pain. [Name of APP] said she looked at it like going to the movies, but that would be an activity we could charge on the card and sent (sic) through the system in the proper manner. Give me the word and I will 86 (stop/ban) it." An email dated 6/7/13 at 3:07 P.M. from PS to ARC indicated "Please stop it at this time." An email dated 6/7/13 at 3:10 P.M. from ARC to PS indicated "Done." An email dated 6/7/13 at 10:12 A.M. from APP to PS indicated "I asked the rep. (cable representative) if a PPV block could be applied to the account. She said PPV can be ordered through the cable box so a pin number would need to be set in within the cable box to block movie rentals." An email dated 6/7/13 at 3:08 P.M. from PS to APP indicated "I decided to have [name of ARC] stop the WWE charges. He is giving that directive to staff. Please let me know if you see any extra charges that come up. It just made more sense on all ends to stop the charges." A series of Confidential Interviews (CI) were conducted between 9/30/13 and 10/7/13. CI #1 "The RC locked the cable TV."			

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	CI #2 "We don't watch it anymore, the company doesn't let us...I don't know why the company took it away from us, they (company) weren't paying for it. Makes me wonder why the company wouldn't let us have it. We used to have big parties, invite people in. The company took our privileges away from us. It would be nice if we could see it. It just doesn't make sense why they took it away." CI #3 "Yeah, I watch wrestling. Yeah, they took it away. Yeah, I was paying for it. Don't know why they stopped it. All the guys liked it. Yeah, I didn't like it being stopped. Yeah, I want to watch it." CI #4 "We sometimes have the parties, not sure if we get to watch PPV wrestling anymore, it was a long time ago, different staff were there." CI #5 "We don't get PPV, they (company) can't afford it. Everybody in the house likes it. We would probably pay for it. My right to watch it. We used to have big parties, not anymore, I miss them some. I think it was [name of ARC] who told me 'We just can't afford it anymore.' I would like to get it back. I never messed with filing a grievance." CI #6 "Now they don't have them anymore (PPV/parties). Something that			

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	[name of ARC] said the company can't afford it anymore. The company didn't pay for it; [client A] paid for it. Now they are saying the company paid for it. I knew what I was watching. PPV you pay to see whatever match you want to see. Regular cable, you just see what is on, not necessarily the match you want to see. No one filed a grievance that I know of. Yeah, our rights are being violated big time. They were doing it for a long time now they want to put a stop to it." CI #7 "They stopped doing that because they are not paying for it anymore. They were PPV. I think [name of former RM] was paying for it. I liked going there. They also had big parties. If the guys said they would pay for it they should be able to watch it. I looked forward to going. I miss it." CI #8 "Yeah, I watch wrestling, big parties." CI #9 "I'm trying to find out why they don't have them anymore. I think Occazio was paying for them. They were fun. They used to pay, they don't anymore. I miss going. I want it to start back. I like to see it. I would like to get that started back up again." The facility's Use of Behavior Change			

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	Interventions dated 12/1/2010 was reviewed on 9/30/13 at 4:07 P.M. indicated "Occazio staff will attempt to change the behavior of an Occazio resident/consumer in a manner that assures resident/consumer well being and respect for his/her rights...Normalization: Making available to individuals with developmental disabilities patterns of life and conditions of everyday living that are as close as possible to the regular circumstances and ways of life of their communities and culture...Occazio's goal is to encourage resident/consumer development and learning to assist residents/consumers in increasing their independence." The facility's Resident Rights & Consumer Rights dated 2/1/2006 was reviewed on 10/1/2013 at 3:15 P.M. indicated "Keep and be allowed to spend reasonable amounts of your own money." The facility's Use of Behavior Change Interventions dated 12/1/2010 was reviewed on 9/30/13 at 4:07 P.M. indicated "Occazio staff will attempt to change the behavior of an Occazio resident/consumer in a manner that assures resident/consumer well being and respect for his/her rights...Normalization: Making available to individuals with developmental disabilities patterns of life and conditions of everyday living that are			

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	as close as possible to the regular circumstances and ways of life of their communities and culture." An interview was conducted with the Residential Coordinator (RC) on 10/2/13 at 11:55 A.M. The RC explained the current process for clients requesting a movie rental/PPV event. The RC stated "Clients would express to the RM they wanted to rent a movie/PPV event. The RM would inform the RC. The RC would request the money from the activity account through a purchase requisition. The RC would go back to the client to make sure they had been the one to make the request, so it wasn't something for staff. We like at least three days notice, but it has been as little as four hours, or as long as two weeks. If there is no specific date (deadline) it may take longer. We are totally responsible for all activities. Money is sometimes denied by the business office or [name of Director of Programmatic Operations] (DPO). [Name of cable company] needs a code, which is supplied by the business office." An interview was conducted with the Area Residential Coordinator (ARC) on 10/2/13 at 12:59 P.M. The ARC indicated the company paid for all activities for the clients. The ARC indicated each home was given $700.00 on a card each month			

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	to pay for group activities such as eating out, movies, sporting events. The ARC did not indicate how the clients in the home were learning money skills by the home using one card to pay for client activities. On 10/7/13 at 2:20 P.M. the facility Billing Coordinator (BC) indicated by email "Regarding the $700 that is used for rec flex (recreational activities)...the card is never used by residents- staff always assist in the purchases. It can be used for a group planned activity or spontaneous activities that may not involve the entire group such as buying lunch for a resident after a doctor's appointment. Occazio will pay the $700 towards that month's activities. Each group home and group of folks may differ in the way they choose to spend the money that month. If residents choose to do other activities and the money is low during that time, they can choose to individually pay for the activities that they want to participate in." There was no documentation available for review to indicate how Occazio staff were encouraging clients to make choices for renting movies/PPV events or other outings and activities. This Federal tag relates to complaint #IN00135696.			

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W000368	483.460(k)(1) DRUG ADMINISTRATION The system for drug administration must assure that all drugs are administered in compliance with the physician's orders. Based on record review and interview, the facility failed to assure all medications were administered according to the Physician's Orders (PO) for 1 of 4 additional clients (client H). Findings include: Facility records were reviewed on 10/1/13 at 3:13 P.M. including the Bureau of Developmental Disabilities Services (BDDS) reports for the time period between 2/1/13 and 10/1/13 the reports indicated the following: A BDDS report dated 6/28/13 at 8:00 A.M. indicated "[Client H] gets an injection of twenty units of Humalog (Diabetes) at 8:00 A.M. for blood sugar control. He gets additional units based on a sliding scale depending on his blood sugar reading. On 6/28/13 [client H] should have gotten an additional four units due to having a B/S (blood sugar) level of 238. [Client H] received the twenty units, but there were no additional units available at the home. Support staff notified a Residential Coordinator (RC) of the Humalog shortage. [Client H's] pharmacy was called and additional	W000368	W 368 Drug Administration The facility failed to assure all medications were administered to the Physician's Orders for client H. What corrective action will be accomplished? Develop protocol for ordering medications to ensure medications are available in the house. Training with Residential Coordinator/Site Manager regarding protocol for ordering medications. Training with all support staff regarding protocol for ordering medications. Implement medication-order tracking form. Medication Cabinet checks to be completed by the Residential Coordinator and Site Manager. Formal programming to be implemented for Client H to identify when his medications need to be reordered. How will we identify other residents having the potential to be affected by the same deficient practice and what corrective action will be taken? All clients have the potential to be affected by this deficient practice. Develop protocol for ordering medications to ensure medications are available in the house. Training with Residential Coordinator/Site Manager regarding protocol for ordering medications. Training with all support staff regarding protocol for ordering medications.	11/07/2013

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 15G225	(X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING	(X3) DATE SURVEY COMPLETED 10/08/2013
NAME OF PROVIDER OR SUPPLIER OCCAZIO INC		STREET ADDRESS, CITY, STATE, ZIP CODE 2234 Q AVE NEW CASTLE, IN 47362	

(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)	(X5) COMPLETION DATE
	Humalog was ordered and delivered to his home prior to his next injection. [Client H] did not seem to have any negative effects from not receiving the additional amount." The Area Residential Coordinator (ARC) was interviewed on 10/2/13 at 12:15 P.M. The ARC indicated the Humalog was not in the home due to a former employee not ordering it timely. The RC/Qualified Intellectual Disabilities Professional (QIDP) was interviewed on 10/2/13 at 12:25 P.M. The RC/QIDP indicated client H had not suffered any ill effects, and the new residential manager now ordered all medications in a timely manner. 9-3-6(a)		Implement medication-order tracking form. Medication Cabinet checks to be completed by the Residential Coordinator and Site Manager. What measures will be put into place or what systemic changes will be made to ensure that the deficient practice does not recur: Develop protocol for ordering medications to ensure medications are available in the house. Training with Residential Coordinator/Site Manager regarding protocol for ordering medications. Training with all support staff regarding protocol for ordering medications. Implement medication-order tracking form. Medication Cabinet checks to be completed by the Residential Coordinator and Site Manager. How will the corrective action be monitored to ensure the deficient practice will not recur? Site Manager to will review and document that there is an appropriate amount of medication for the individuals. Site Manager will review the medication-order tracking form to ensure that medications have been ordered and received from pharmacy in a timely manner. Residential Coordinator/Area Residential Coordinator will review medication audit sheets and medication-order tracking forms monthly. What is the date by which the systemic changes will be completed? November 7, 2013	