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| STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION | X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 15G808 | X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING _____ | X3) DATE SURVEY COMPLETED 10/03/2014 |
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| NAME OF PROVIDER OR SUPPLIER TRADEWINDS SERVICES INC | STREET ADDRESS, CITY, STATE, ZIP CODE 200 NORTH LAKE PARK AVE HOBART, IN 46342 |
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| W000000 | <p>This visit was for the investigation of complaint #IN00154487.</p> <p>COMPLAINT #IN00154487: SUBSTANTIATED, federal and state deficiencies related to the allegation are cited at W149 and W154.</p> <p>Date of Survey: October 3, 2014.</p> <p>Facility Number: 012460 Provider Number: 15G808 AIM Number: 201051410</p> <p>Surveyor: Christine Colon, QIDP</p> <p>The following federal deficiencies also reflect state findings in accordance with 460 IAC 9.</p> <p>Quality review completed October 23, 2014 by Dotty Walton, QIDP.</p> | W000000 | | |
| W000149 | <p>483.420(d)(1) STAFF TREATMENT OF CLIENTS The facility must develop and implement written policies and procedures that prohibit mistreatment, neglect or abuse of the client. Based on record review and interview for 1 of 4 sampled clients (client A) the</p> | W000149 | TradeWinds has a policy on Abuse, Neglect, Exploitation, Mistreatment, Protection of an Individuals' Rights, | 10/31/2014 |

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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| | <p>facility neglected to implement written policy and procedures to conduct investigations in regards to alleged abuse.</p> <p>Findings include:</p> <p>A review of the facility's BDDS (Bureau of Developmental Disabilities Services) reports was conducted on 10/3/14 at 11:10 A.M.. Review of the reports indicated:</p> <p>-BDDS report dated 8/8/14 involving client A indicated: "On 8/8/14, a consumer from the [Group Home name] reported that staff member refused to give [client A] breakfast because he woke up late. [Facility name] will conduct an investigation as a result of this allegation. [Staff name] has been removed from the schedule pending the investigation." There was no written documentation to indicate an investigation was conducted in regard to this incident of neglect.</p> <p>A review of the facility's abuse/neglect policy dated 4/20/10 was conducted on 10/3/14 at 12:40 P.M.. Review of the policy indicated: "To establish prompt, accurate and effective procedures and investigating of all allegations of abuse and neglect and any incident or crime as defined...All allegations of abuse and neglect of consumers served and certain</p> | | <p>and Injuries of an Unknown Origin. The Policy states: "Violating an Individuals Rights, Abuse and or Neglect or any Mistreatment of any consumer who participates in a TradeWindsServices, Inc., program is strictly prohibited and will result in severedisiplinary action up to and include discharge from employment and may furtherresult in criminal prosecution. All allegations of violating an individual's rights or abuse and neglect of consumers served and certain other incidentsdefined in this policy are to be reported and investigated in prompt andprocedurally correct manner." (Please see attached document)</p> <p>For all allegations of Abuse, Neglect, Exploitation, Mistreatment, Protection of an Individuals' Rights, and Injuries of an Unknown Origin, the investigation will start within 24 hours of the alleged incident. When there is an allegation of Abuse, Neglect, Exploitation, Mistreatment, Protection of an Individuals' Rights, and Injuries of an Unknown Origin, the staff person(s) involved will be removed immediately from the schedule pendingthe outcome of the investigation. The staff person(s) involved is responsiblefor completing an internal incident report and notifying all necessaryperson(s), such as: House Manager, QIDP and Residential</p> | | | | |

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| | <p>other incidents defined in this policy are to be reported and investigated in prompt and procedurally correct manner...Accidents and other injuries not defined as abuse or neglect must still be documented on the incident report form and reviewed according to policy and applicable standards...It is mandatory that all personnel follow this policy. This includes: reporting incidents immediately upon becoming aware of them, completing all forms as required by this policy...Physical abuse: willful infliction of injury...Verbal abuse: Oral, written and or gestured language that includes disparaging and derogatory remarks toward consumers...Injuries of unknown origin, in addition all injuries of unknown origin must be reported to Adult Protective Services within 24 hours of the injury being discovered. A complete investigation of the injury must be conducted by the Qualified Mental Retardation Professional (QMRP) or the Residential Coordinator...All staff with knowledge of the incident must complete a copy of the unknown injury report and forward it to the QMRP by the end of their shift...b. Neglect includes failure to provide appropriate care, food, medical care or supervision."</p> <p>An interview with the Qualified Intellectual Disabilities Professional</p> | | <p>Nurse (if medical attention is required). The QIDP must be notified as soon as the incident is under control and there is no further danger to either client(s) involved. The QIDP is responsible for making all necessary incident reports to the Bureau of Developmental Disabilities (BDDS) within the guidelines (24 hours of the incident). TradeWinds Quality Assurance/Crisis Team meets monthly to review all internal/external incident reports in regards to all consumers. The Quality Assurance/Crisis Team also monitors the trends for each incident.</p> <p>Investigation forms has been developed and implemented. One of the investigation forms is designed to have the individual, who is interviewed write down his/her story of the incident that occurred and sign his/her name. The revised/updated investigation form is designed to be extensive and very detailed. (Please see attached investigation forms)</p> <p>On 10/29/2014, staffs were re-trained on the Abuse, Neglect, Exploitation, Mistreatment, Protection of an Individuals' Rights, and Injuries of an Unknown Origin Policy, Active Treatment Schedules, Getting consumers involved in meal preparations and CPI restraints being implemented in the consumer's BSPs. (Please see</p> | |

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| | <p>(QIDP) was conducted on 10/3/14 at 2:08 P.M.. The QIDP indicated there was no written documentation to indicate an investigation had been conducted in regard to the mentioned incident.</p> <p>This federal tag relates to complaint #IN00154487.</p> <p>9-3-2(a)</p> | | <p>attached documents)</p> <p>On 10/31/2014, the QIDP was re-trained on InternalInvestigations involving residential staff; Investigations must start within 24hours of the incident, conducting thorough investigations, which include:interviewing all parties (consumers, staff, nursing staff and or managers).(Please see attached document)</p> <p>After reviewing the notes from the investigation from theBDDS report dated 08/08/2014 involving Client A, the notes from one staffmember stated that when she opened the bedroom door of Client A, Client A stated, "I don't want any breakfast, I don't want any breakfast. Staff stated,Client A continued to state, "I don't want any breakfast repeatedly until staffleft Client A's bedroom. The other staff member, stated she woke up 2 consumersand one of the consumers were Client A. Staff stated she woke Client A up on 3different occasions (5:00am, 5:20am & 5:30am) for breakfast, but Client Arefused to get up and eat breakfast; Client A did not sit at the breakfasttable with his peers while breakfast was served. After getting fully dressedand Client A taking meds, Client A then got onto the van to attend theworkshop. Client A never asked for any breakfast while getting on the van orwhile riding on the van to the workshop. After the</p> | | |

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| W000154 | 483.420(d)(3) STAFF TREATMENT OF CLIENTS The facility must have evidence that all alleged violations are thoroughly investigated. Based on record review and interview for 1 of 4 sampled clients (client A) the | W000154 | investigation, it was determined that Client A refused breakfast from staff #1 on three occasions and repeatedly informed staff #2 that Client A didn't want any breakfast. It has been recommended by the QIDP that if a consumer refuses to eat breakfast, they should in fact offer fruits, fruit bars; pop tarts or etc...to encourage the consumer to eat something for breakfast and to document the refusals and the number of times, the consumer was prompted by staff to eat breakfast. The group home manager is responsible for monitoring and ensuring that the staffs are following the rights of the consumers. In addition, the QIDP will observe during weekly unannounced visits that staff is following the rights of the consumers. It is the policy of TradeWinds Service to ensure that all consumers have a safe environment free of aggression, exploitation, abuse, neglect and mistreatment. It is also the policy of TradeWinds to ensure the health, welfare and rights of the individuals we serve. TradeWinds has a policy on Abuse, Neglect, Exploitation, Mistreatment, | 10/31/2014 | |

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| | <p>facility neglected to conduct an investigation in regards to alleged abuse/neglect.</p> <p>Findings include:</p> <p>A review of the facility's BDDS (Bureau of Developmental Disabilities Services) reports was conducted on 10/3/14 at 11:10 A.M.. Review of the reports indicated:</p> <p>-BDDS report dated 8/8/14 involving client A indicated: "On 8/8/14, a consumer from the [Group Home name] reported that staff member refused to give [client A] breakfast because he woke up late. [Facility name] will conduct an investigation as a result of this allegation. [Staff name] has been removed from the schedule pending the investigation." There was no written documentation to indicate an investigation was conducted in regard to this incident of neglect.</p> <p>An interview with the Qualified Intellectual Disabilities Professional (QIDP) was conducted on 10/3/14 at 2:08 P.M.. The QIDP indicated there was no written documentation to indicate an investigation had been conducted in regard to the mentioned incident.</p> <p>This federal tag relates to complaint</p> | | <p>Protection of an Individuals' Rights, and Injuries of an Unknown Origin. The Policy states: "Violating an Individuals Rights, Abuse and orNeglect or any Mistreatment of any consumer who participates in a TradeWindsServices, Inc., program is strictly prohibited and will result in severedisiplinary action up to and include discharge from employment and may furtherresult in criminal prosecution. All allegations of violating an individual'srights or abuse and neglect of consumers served and certain other incidentsdefined in this policy are to be reported and investigated in prompt andprocedurally correct manner." (Please see attached document)</p> <p>For all allegations of Abuse, Neglect, Exploitation,Mistreatment, Protection of an Individuals' Rights, and Injuries of an Unknown Origin, the investigation will start within 24 hours of the alleged incident.When there is an allegation of Abuse, Neglect, Exploitation, Mistreatment,Protection of an Individuals' Rights, and Injuries of an Unknown Origin, thestaff person(s) involved will be removed immediately from the schedule pendingthe outcome of the investigation. The staff person(s) involved is responsiblefor completing an internal incident report and notifying all necessaryperson(s), such as: House</p> | | | | |

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| | #IN00154487. 9-3-2(a) | | <p>Manager, QIDP and Residential Nurse (if medical attention is required). The QIDP must be notified as soon as the incident is under control and there is no further danger to either client(s) involved. The QIDP is responsible for making all necessary incident reports to the Bureau of Developmental Disabilities (BDDS) within the guidelines (24 hours of the incident). TradeWinds Quality Assurance/Crisis Team meets monthly to review all internal/external incident reports in regards to all consumers. The Quality Assurance/Crisis Team also monitors the trends for each incident.</p> <p>Investigation forms has been developed and implemented. One of the investigation forms is designed to have the individual, who is interviewed write down his/her story of the incident that occurred and sign his/her name. The revised/updated investigation form is designed to be extensive and very detailed. (Please see attached investigation forms)</p> <p>On 10/29/2014, staffs were re-trained on the Abuse, Neglect, Exploitation, Mistreatment, Protection of an Individuals' Rights, and Injuries of an Unknown Origin Policy, Active Treatment Schedules, Getting consumers involved in meal preparations and CPI restraints being implemented in</p> | | |

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| | | | <p>theconsumer's BSPs. (Please see attached documents)</p> <p>On 10/31/2014, the QIDP was re-trained on InternalInvestigations involving residential staff; Investigations must start within 24hours of the incident, conducting thorough investigations, which include:interviewing all parties (consumers, staff, nursing staff and or managers).(Please see attached document)</p> <p>After reviewing the notes from the investigation from theBDDS report dated 08/08/2014 involving Client A, the notes from one staffmember stated that when she opened the bedroom door of Client A, Client A stated, "I don't want any breakfast, I don't want any breakfast. Staff stated,Client A continued to state, "I don't want any breakfast repeatedly until staffleft Client A's bedroom. The other staff member, stated she woke up 2 consumersand one of the consumers were Client A. Staff stated she woke Client A up on 3different occasions (5:00am, 5:20am & 5:30am) for breakfast, but Client Arefused to get up and eat breakfast; Client A did not sit at the breakfasttable with his peers while breakfast was served. After getting fully dressedand Client A taking meds, Client A then got onto the van to attend theworkshop. Client A never asked for any breakfast while getting on the van orwhile riding on</p> | | |

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| | | | <p>the van to the workshop. After the investigation, it was determined that Client A refused breakfast from staff #1 on three occasions and repeatedly informed staff #2 that Client A didn't want any breakfast. It has been recommended by the QIDP that if a consumer refuses to eat breakfast, they should in fact offer fruits, fruit bars; pop tarts or etc...to encourage the consumer to eat something for breakfast and to document the refusals and the number of times, the consumer was prompted by staff to eat breakfast.</p> <p>The group home manager is responsible for monitoring and ensuring that the staffs are following the rights of the consumers. In addition, the QIDP will observe during weekly unannounced visits that staff is following the rights of the consumers. It is the policy of TradeWinds Service to ensure that all consumers have a safe environment free of aggression, exploitation, abuse, neglect and mistreatment. It is also the policy of TradeWinds to ensure the health, welfare and rights of the individuals we serve.</p> | |