

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 15G714	X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING _____	X3) DATE SURVEY COMPLETED 01/19/2012
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NAME OF PROVIDER OR SUPPLIER AWS	STREET ADDRESS, CITY, STATE, ZIP CODE 100 S CR 265 W NORTH VERNON, IN 47265
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W0000	<p>This visit was for an annual fundamental recertification and state licensure survey.</p> <p>Dates of Survey: January 9, 10, 11 and 19, 2012.</p> <p>Surveyor: Dotty Walton, Medical Surveyor III</p> <p>Facility Number: 003993 AIM Number: 200474890 Provider Number: 15G714</p> <p>The following deficiencies also reflect state findings in accordance with 460 IAC 9.</p> <p>Quality Review was completed on 1/26/12 by Tim Shebel, Medical Surveyor III.</p>	W0000		
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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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W0126	<p>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.</p> <p>Based on record review and interview for 2 of 2 sampled clients (#2 and #4), and 2 additional clients #1 and #3) the facility failed to ensure the clients' rights were exercised as pertaining to spending their personal money.</p> <p>Findings include:</p> <p>During a review of clients' personal money accounts (client fund financial records and activity logs) with supervisory staff #3 on 1/09/12 at 3:00 PM, clients balances and receipts were reviewed.</p> <p>Client #2's banking record review indicated a receipt dated 12/13/11 for a fishing pole and tackle box "kit" for \$36.96 plus sales tax. A receipt dated 12/22/11 indicated staff #2 had withdrawn \$75.00 from client #2's savings account at a local bank and delivered it to the agency's day program for client #2's use to spend on community based activities as part of his day service treatment program.</p> <p>Review of the client's record on 1/10/12 at 7:30 AM indicated his parents were his guardians. The record review indicated</p>	W0126	<p>The AWS Group Home QMRP will insure that AWS will discuss potential client purchases at Quarterly client meetings, and document the request for suggestions of input from client guardians for purchases. Guardians and clients will be invited to the quarterly meetings by the QMRP. For any recreational items to be purchased that involves materials that the client may need total assistance to enjoy, the AWS QMRP will contact the individual's guardian for approval by calling them and documenting their response. All clients have ISP goals related to money management. These goals are monitored by the AWS QMRP and included in a monthly report that is reviewed by the AWS Director. The AWS Residential Director will review monthly each group home client's purchases, and ensure that the appropriate process has been followed for purchases.</p>	02/18/2012			

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	<p>the client's diagnosis included, but was not limited to, spastic quadriplegia with hand contractures.</p> <p>Review of client #4's banking records indicated a receipt was found \$33.56 plus tax for a fishing pole and tackle kit and a receipt for \$75.00 cash received by day services staff #5 to be used by client #4 to pay for her community based outings (movies, museum entrance fees).</p> <p>Review of the client's record on 1/10/12 at 8:45 AM indicated her parents were her guardians. Client #4's record indicated her diagnosis included but was not limited to cerebral palsy with quadriplegia.</p> <p>Review of client #1's banking records indicated a receipt was dated 12/13/11 for \$33.96 plus tax for a fishing pole and tackle kit and a 12/22/11 receipt for \$75.00 cash received by day services staff #5 from staff #2 to be used by client #1 to pay for his community based outings (movies, museum entrance fees, snacks).</p> <p>Review of client #3's banking records indicated a receipt was dated 12/13/11 for \$22.96 plus tax for a fishing pole and tackle kit and a 12/22/11 receipt for \$75.00 cash received by day services staff #5 from staff #2 to be used by client #3 to pay for his community based outings (movies, museum entrance fees, snacks).</p>						

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	<p>Interview with facility staff #3 on 1/09/12 at 3:30 PM indicated he did not take clients #1, #2, #3, and #4 to the bank to withdraw the day services money from their savings accounts.</p> <p>Interview with supervisory staff #3 on 01/09/12 at 3:30 PM indicated clients' guardians were not asked to help clients' make decisions regarding spending their personal monies.</p> <p>Interview with staff #1 on 1/19/12 indicated client #2 was unable to hold a fishing pole due to hand contractures. The interview indicated none of the clients could hold a fishing pole without physical assistance from staff.</p> <p>Confidential interview with a guardian indicated they had not been consulted about the purchase of the fishing gear and their loved one could not hold a fishing pole. The interview indicated other purchase preferences; not fishing poles or tackle boxes.</p> <p>9-3-2(a)</p>				

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W0143	<p>The facility must promote participation of parents (if the client is a minor) and legal guardians in the process of providing active treatment to a client unless their participation is unobtainable or inappropriate.</p> <p>Based on record review and interview for 2 of 2 sampled clients (#2 and #4), the facility failed to ensure guardians were consulted regarding client preferences in shopping for Christmas gifts or when making purchases as part of their day program active treatment.</p> <p>Findings include:</p> <p>During a review of clients' personal money accounts (client fund financial records and activity logs) with supervisory staff #3 on 1/09/12 at 3:00 PM, clients balances and receipts were reviewed.</p> <p>Client #2's banking record review indicated receipts dated 12/13/11 for Christmas gifts and other personal items (DVDs, bath towel, toothbrush, bedding, photo frame, a fishing pole and tackle box "kit", wrapping paper, gift tags and other items) totaling for \$255.57. A receipt dated 12/22/11 indicated staff #2 had withdrawn \$75.00 from client #2's savings account at a local bank and delivered it to the agency's day program for client #2's use to spend on community based activities as part of his day service</p>	W0143	<p>The AWS Group Home QMRP will insure that AWS will discuss potential client purchases at Quarterly client meetings, and document the request for suggestions of input from client guardians for purchases. Guardians and clients will be invited to the quarterly meetings by the QMRP. For any recreational items to be purchased that involves materials that the client may need total assistance to enjoy, the AWS QMRP will contact the individual's guardian for approval by calling them and documenting their response. All clients have ISP goals related to money management. These goals are monitored by the AWS QMRP and included in a monthly report that is reviewed by the AWS Director. The AWS Residential Director will review monthly each group home client's purchases, and ensure that the appropriate process has been followed for purchases.</p>	02/18/2012			

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	<p>treatment program.</p> <p>Review of the client's record on 1/10/12 at 7:30 AM indicated his parents were his guardians. There was no evidence in the record that the guardians had consulted regarding the purchases for Christmas or the money which was used to fund the client's day program activities.</p> <p>Review of client #4's banking records indicated receipts dated 12/13/11 totaling \$204.82 for Christmas gifts and personal items (fishing pole, tackle kit, DVDs, pillows, gift wrap and tags, a poster, photo frame, sheet set and other items) and a receipt for \$75.00 cash received by day services staff #5 to be used by client #4 to pay for her community based outings (movies, museum entrance fees). Review of the client's record on 1/10/12 at 8:45 AM indicated her parents were her guardians. The record review indicated no evidence client #4's guardians had been consulted regarding her expenditures.</p> <p>Interview with supervisory staff #3 on 01/09/12 at 3:30 PM indicated clients' guardians were not asked to help clients' make decisions regarding Christmas purchases nor were they consulted regarding day service expenditures.</p> <p>Confidential interview with a guardian</p>						

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	<p>indicated they had not been consulted about the purchase of the fishing gear and their loved one could not hold a fishing pole and other items may have been more suitable (something to watch or listen to). The interview indicated the guardian was not consulted about personal spending for day service activities.</p> <p>9-3-2(a)</p>				

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W0368	<p>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 for 1 of 2 sampled clients (#4), and for 1 additional client (#1), the facility failed to ensure clients #1 and #4 received their medications as prescribed by their physicians.</p> <p>Findings include:</p> <p>Review of reportable incidents done on 1/09/12 at 4:00 PM and on 1/10/12 at 11:00 AM indicated the following medication errors:</p> <p>Client #1 did not receive the prescribed Phenobarbital (for seizures) 32.4 mg./milligrams or diazepam (for spasticity) 5 mg. on the morning of 9/01/11 because there was none in the group home. L Client #1 did not receive Phenobarbital for seizures 32.4 mg. on 4/1/11 because none was available at the facility.</p> <p>On 11/14/11 client #4 was seen at the local hospital's emergency room and diagnosed with pneumonia. The client was prescribed Levaquin (antibiotic) and Robitussin (cough syrup) and she was sent back to the facility. Staff #2 faxed the prescriptions to the consulting pharmacy on 11/14/11. On 11/17/11 direct contact staff (names unknown) reported to the RN</p>	W0368	The AWS Nurse will verify that all medications are received in a timely manner from the pharmacy. All staff are instructed to notify the AWS Nurse when a new medication is received. If the new medication has not been received by 6pm on the day it has been prescribed, the AWS Nurse will notify the pharmacy and arrange for immediate delivery. The AWS Nurse will ensure that all new medications are received and administered by confirming with AWS staff that they have been received in the home by at least 6pm of the day they are prescribed. The AWS Nurse will monitor medication administration records to ensure all new medications are received and administered. The AWS Nurse will report issues related to new medications not being received from the pharmacy to the AWS Director and the pharmacy customer service representative.	02/18/2012			

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	<p>(Registered Nurse) that the medications levaquin and Robitussin had never arrived at the facility for client #4.</p> <p>Interview with staff #2 and #3 on 1/10/11 at 11:00 AM indicated the agency was having some difficulty obtaining medications in a timely manner from the pharmacy provider. The interview also indicated direct contact staff should have contacted a supervisor regarding client #4's medications so the medications could have been obtained locally when they were not delivered by the morning of 11/15/11.</p> <p>9-3-6(a)</p>				