

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 15G221		X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING _____		X3) DATE SURVEY COMPLETED 10/06/2011	
NAME OF PROVIDER OR SUPPLIER ADEC INC				STREET ADDRESS, CITY, STATE, ZIP CODE 59796 PARK SIDE ELKHART, IN46517			
(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			
W0000	<p>This visit was for investigation of complaint #IN00096929.</p> <p>Complaint #IN00096929: Substantiated, federal/state deficiency related to the allegation is cited at W149.</p> <p>Dates of Survey: October 5 and 6, 2011.</p> <p>Facility Number: 000745 Provider Number: 15G221 AIMS Number: 100234850</p> <p>Surveyor: Claudia Ramirez, RN, Public Nurse Surveyor III/QMRP</p> <p>This deficiency also reflects state findings in accordance with 460 IAC 9. Quality Review completed 10/17/11 by Ruth Shackelford, Medical Surveyor III.</p>	W0000					
W0149	<p>The facility must develop and implement written policies and procedures that prohibit mistreatment, neglect or abuse of the client.</p> <p>Based on record review and interview, the facility failed to implement agency policy to ensure proper use of client funds and prevent financial exploitation for 1 of 1 occurrence of financial exploitation for client A.</p> <p>Findings include:</p>	W0149	<p>On 9/21/11 all department staff were trained on the agency policy for abuse, neglect and exploitation. Staff were informed of the reporting system, and local law enforcement phone numbers were posted in all homes. In order to prevent future occurances, we will continue to complete monthly audits of clients funds matching</p>	10/19/2011			

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>On 10/05/11 at 2:30 PM, the facility's BDDS (Bureau of Developmental Disabilities Services) reports were reviewed. The following incident involved client A's funds:</p> <p>A BDDS report for an incident dated 09/15/11 indicated, "When auditing the cash cards for [client A], it was determined that there is some money not accounted for. Staff involved has been suspended and a full investigation will take place. A report has been filed with the proper law enforcement agency."</p> <p>A BDDS follow-up report dated 09/22/11 indicated, "The investigation has completed and it was found that \$48.45 of [client A's] money was used by staff to purchase a card, purchase a stamp, and mail a package. The money was reimbursed to [client A] and deposited into her savings on 9/20/11.</p> <p>The investigation started when an audit found that a receipt marked 'sent gift to g'pa' was found to have been altered. The top of the receipt was cut off leaving just the total of the shipping costs. The post office was able to produce the complete receipt. The complete receipt showed that the package was sent to South Korea. [Client A's] grandfather lives in [city, IN].</p> <p>Interviews were conducted with the staff working at the time the package was sent. There were three working at that time, the house manager and two others. The house manager is the only one that had access to the cash bags. She signed out the money. The other two staff were assigned to transporting clients home from day programming. Interviews with these two revealed that they do not make stops while transporting clients home from day</p>		<p>expenses with receipts. This was the method utilized to catch the violator of agency procedures in the findings of the 10/6/11 complaint investigation. Failure to comply will result in disciplinary action Persons Responsible: QDDP</p>				

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	<p>programming.</p> <p>The house manager denied mailing the package and could not say who she assigned to mail it. Further investigation revealed the house manager, [name], does have a family connected to South Korea. While she denied any involvement, her denials were not found to be credible when she denied things known to be facts.</p> <p>Client cash bags and bank accounts were reviewed going back four months and no other suspicious activity was found.</p> <p>The investigation found that [house manager] used \$48.45 of [client A's] money to mail personal items. The allegation of exploitation is substantiated.</p> <p>[House manager's] employment has been terminated. Money taken from [client A] has been returned."</p> <p>Client A's records were reviewed on 10/05/11 at 3:30 PM. Client A's ISP (Individual Support Plan) dated 04/26/11 indicated client A was not able to independently handle her money and required assistance.</p> <p>The facility's records were reviewed on 10/05/11 at 3:30 PM. A review of the facility's, "Human Rights of Clients," dated 08/29/07, indicated, "It is the policy of [agency name] to: Not tolerate abuse, neglect or exploitation of clients by staff members, clients or persons in the community."</p> <p>On 10/05/11 at 4:30 PM an interview was conducted with the Director. The Director indicated client A was not able to manage her own money and it was the agency's responsibility to</p>				

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

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FORM APPROVED

OMB NO. 0938-0391

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	<p>assure her funds were safe, accounted for and used for her benefit. She indicated the house manager violated the policy when she used client A's funds for her own personal purposes.</p> <p>This federal tag relates to complaint #IN00096929.</p> <p>9-3-2(a)</p>				