STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING	(X3) DATE SURVEY COMPLETED
	15G148		10/08/2015

NAME OF PROVIDER OR SUPPLIER	STREET ADDRESS, CITY, STATE, ZIP CODE
CDC INC	107 S COUNTRYBROOK MONTICELLO, IN 47960

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W 0000 Bldg. 00	This visit was for the pre-determined full recertification and state licensure survey. This visit included the investigation of complaint #IN00178082. Complaint #IN00178082: SUBSTANTIATED, Federal and State deficiencies related to the allegations were cited at W124, W149, W154, and W159. Dates of survey: 9/30, 10/1, 10/2, 10/5, 10/6, 10/7, and 10/8/2015. Facility number: 000684 Provider number: 15G148 AIM number: 100243120 These federal deficiencies also reflect state findings in accordance with 460 IAC 9. Quality review of this report completed by #09182 on 10/26/2015.	W 0000		
W 0104 Bldg. 00	483.410(a)(1) GOVERNING BODY The governing body must exercise general policy, budget, and operating direction over the facility.			

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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	Based on observation, record review, and interview, for 4 of 4 sampled clients (clients A, B, C, and D) and 3 additional clients (clients E, F, and G), the governing body failed to exercise operating direction over the facility to complete maintenance and repairs for clients A, B, C, D, E, F, and G's group home and the governing body failed to exercise operating direction over the facility to ensure 4 of 4 sampled clients (clients A, B, C, and D) were not charged for services the facility was to provide. Findings include: 1. Observation and interview were conducted on 9/30/15 from 4:15pm until 6:00pm and on 10/1/15 from 5:55am until 7:50am, at the group home with clients A, B, C, D, E, F, and G. During both observation periods clients A, B, C, D, E, F, and G were observed to access the hallways, living room, and bathrooms. On 9/30/15 at 4:40pm, the Residential Manager (RM) showed and stated the group home walls had "needed repairs" completed, "no painting was completed," and the group home walls had "dry wall repairs on top of other dry wall repairs for over a year" without painting completed and identified the following:	W 0104	1. Maintenance department will ensure that all needed maintenance work orders are documented on the spreadsheet Maintenance form as received and completed. Maintenance will complete all listed work orders on the survey by November 30, 2015. Staff will be trained on how to improve on identifying Maintenance needs by November 13,2015. Monitoring of the completed listed work orders will be done by Supervisor weekly until completed. Habilitation Coordinator will complete a visual check of area to ensure completion on November 30, 2015. Quality Assurance Specialist will implement a monthly inspection of the group home to include follow up of any work orders. CDC administrator or designee will follow up with maintenance monthly to ensure timeliness of maintenance repairs as stated on work order forms. Addendum 1. Work Orders were reviewed and those that needed completed a plan of competition was implemented on November 8, 2015 and those plans will be completed on November 18, 2015. Also changing the last sentence to state CDC administrator or designee will follow up with maintenance monthly to ensure timeliness of maintenance repairs as originated on work order forms. 2. Client's money logs were audited on November 6, 2015. Clients will be	11/18/2015

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	-The 2 of 3 living room walls had repaired holes in the walls at head and back level above the sofa unpainted. -The hallway bathroom wall behind the toilet was "repaired over one year ago" and had not been repainted. -The hallway bath tub was stained and discolored. -The wall inside clients A and B's shared bedroom, opposite the hallway bathroom, had a 3' (feet) by 3', squared area in the dry wall that was "cut" for the repair of the hallway bathroom and had not been repainted. -The men's side hallway had nine (9) dry wall patches to 2 of 2 walls, each patched area "larger than a baseball," and needed to be painted. On 10/1/15 at 12:00noon, an interview was conducted with the Quality Assurance Director (QAD). The QAD indicated the group home was in need of repainting and repairs. The QAD indicated no further information was available for review. 2. On 10/1/15 at 12:00noon, clients A, B, C, and D's financial records were reviewed with the Residential Manager		reimbursed for service the facility was to provide by November 13, 2015. CDC Resources per diem form will be updated to include these services as covered under the Medicaid rate on November 6, 2015. CDC Resources ISO procedure for Management of Consumers Finances was reviewed on November 3, 2015; recommended changes were submitted on November 6, 2015. Staff training of updated form and procedures will be completed by November 6, 2015. Monitoring will be completed by Supervisor through weekly review of client financial records for 90 days and then go to at least biweekly. Supervisor will do a monthly audit of financial records to maintain financials according to the IAC regulations. Habilitation Coordinator will complete a monthly audit of a client's financial record implementation date of audits is November 6, 2015. Addendum: 2. Clients receipts were sent to CDC Resources'Business office on or before November 3, 2015. Business office will ensure client receives reimbursement check by November 6, 2015.	

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	(RM) and indicated the following: Client A's financial record included the following: On 9/29/15 Restaurant name $10.37. On 9/17/15 Restaurant name $7.06. On 8/30/15 Restaurant name $10.37. On 8/12/15 Restaurant name $6.00. On 8/11/15 Restaurant name $7.06. On 7/12/15 Restaurant name $14.92. On 6/13/15 Restaurant name $6.21. On 5/7/15 Restaurant name $6.30. On 4/17/15 restaurant name $5.55. Client B's financial record included the following: On 9/29/15 Restaurant name $10.37. On 8/30/15 Restaurant name $10.37. On 8/12/15 Restaurant name $6.00. On 7/12/15 Restaurant name $11.18. On 6/13/15 Restaurant name $10.38. On 4/17/15 restaurant name $3.52. Client C's financial record included the following: On 9/29/15 Restaurant name $10.37. On 9/17/15 Restaurant name $5.39. On 8/12/15 Restaurant name $6.00. On 7/12/15 Restaurant name $7.43. On 6/13/15 Restaurant name $11.24. On 4/17/15 restaurant name $6.46. Client D's financial record included the following:			

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	On 9/29/15 Restaurant name $10.37. On 9/17/15 Restaurant name $2.81. On 8/30/15 Restaurant name $10.37. On 8/12/15 Restaurant name $6.00. On 7/12/15 Restaurant name $9.51. On 4/17/15 restaurant name $3.52. On 9/30/15 at 5:00pm, the RM stated "all the clients (clients A, B, C, D, E, F, and G) went out to eat last night." The RM stated "each client paid for their own food" to eat while dining outside the group home and "the facility did not cook and/or offer an evening meal." The RM indicated clients living in the group home went out to eat together once a month and each client paid for their own meal. The RM indicated when the clients went out to eat no meal was planned and/or provided in the group home. On 10/1/15 at 12noon, the RM indicated clients A, B, C, and D had charges to their personal funds at the facility from dining out in the community. The RM indicated clients A, B, C, D, E, F, and G dined out in the community as a group. The RM stated the facility's rate was "all inclusive" and clients A, B, C, D, E, F, and G should be reimbursed for the charges of services the facility was to provide. The RM stated clients A, B, C, and D's financial records indicated different dates because clients "at times			

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	were gone" with family and/or out on other outings when the home went out to dine as a group. 9-3-1(a)			
W 0124 Bldg. 00	483.420(a)(2) PROTECTION OF CLIENTS RIGHTS The facility must ensure the rights of all clients. Therefore the facility must inform each client, parent (if the client is a minor), or legal guardian, of the client's medical condition, developmental and behavioral status, attendant risks of treatment, and of the right to refuse treatment. Based on interview and record review for 1 of 4 sampled clients (client A), the facility failed to ensure the client A's rights were promoted and protected in regard to client A's guardianship. The facility failed to document outcomes of aggressive advocacy for client A's rights and/or develop a plan to assist client A's guardian to understand his rights as an individual, and/or to seek outside assistance to ensure the client's rights were not being violated by the guardian without due process. Based on record review and interview for 1 of 3 sampled clients (client A) who received psychotropic medication used for behaviors, the facility failed to develop a plan and to ensure client A and client A's guardians were informed of	W 0124	Habilitation Coordinator will develop a Behavior Support Plan for Client A by November 6,2015. Group Home Supervisor will inform client A and his guardian of the medical risk, side effects of prescribed psychotropic medications and of the right to refuse the use of the psychotropic medications. Group Home supervisor will complete this by November 6, 2015. ISO procedure for Consumer Admission, and Provision of Group home Services procedure will be updated by November 13, 2015 to include that any group home client that uses a psychotropic medication will need to have a plan in place for teaching and training on medical risk, side effects of prescribed psychotropic medications and of the right to refuse the use of the psychotropic medications. Staff	12/09/2015

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	risks of the psychotropic medications and the right to refuse the treatment. Findings include: 1. Client A's record was reviewed on 10/1/15 at 12:40pm and on 10/2/15 at 9:00am. Client A's 10/8/14 Individual Support Plan (ISP) indicated client A had a guardian. Client A's record did not include a BSP (Behavior Support Plan). Client A's 2/18/15 "Psychotropic med review" documented by client A's family practice physician indicated "...[Guardian name] went with [client A] to appt. (Appointment)...[Guardian] said no changes...(Physician's Statement) 2/18/15 Psychiatric review...no changes...Risperidone 0.5mg (milligrams) take one tablet (by mouth) 2 times every day" for behaviors. Client A's record did not indicate if client A and his advocate had been notified of the risks, benefits, and the right to refuse treatment prior to the use of the behavioral medications. No plan was available for review for the use of client A's Risperidone medication and no identified behaviors were documented on client A's record. An interview with the Habitation Director of Group Homes (HD) and the Quality Assurance Director (QAD) was		will be trained on updates of procedures by November 30, 2015. Group home supervisors will review medical risk, side effects of prescribed psychotropic medications and of the right to refuse the use of the psychotropic medications at least quarterly with the consumer. Habilitation Coordinator will review clients medication reviews quarterly. Habilitation Coordinator will review BSPs and psychotropic medications at least annually with the client. Adult Service Manager will monitor BSPs at least quarterly to ensure completion. HRC will monitor plans for all consumers on psychotropic medications at least quarterly. Addendum: Changing the date of the updated procedure to November 8, 2015 submitted for changes to the forms department at CDC Resources. Staff were trained on drafted changes on November 6, 2015. Also adding to the last sentence or as changes occur. Addendum 1. Habilitation Coordinator will implement an ISP goal toteach client A his rights on 12-9-2015. 2. All staff will be trained on ISP goal by 12-9-2015. 3. Group home Supervisor will meet with client A once a weekfor 30 days to review self-advocacy. 4. Supervisor or designee will discuss results of homevisits as they occur. 5. Group Home Supervisor and	

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	conducted on 10/2/15 at 8:45am. The HD and QAD both indicated client A had a guardian when he was admitted on 5/26/14. The HD indicated client A was on his Risperidone medication for behaviors when he was admitted in 5/2014. The HD indicated she had not explained the risk and benefits to client A's guardian and/or to client A because he was admitted on the medication. The HD indicated no documentation of the risks, benefits, or the right to refuse treatment was available for review. The HD indicated client A did not have behaviors in the group home and that client A's behaviors occurred when he was at home with his family/guardians. 2. Interview with client A on 9/30/15 at 5:15 PM indicated the client had been upset with his guardians over the past several months. Client A indicated he told his staff that his guardians were punishing him for something he told his guardians he would not talk about. Client A lowered his head and gazed downward and refused to comment further on the issue. Client A showed his bedroom which had his personal shelving, medals, games, TV, and other personal items throughout. When asked if anyone ever tried to remove client A's items, client A stated his family had said they were going to take his "stuff" if		parents will completeassessments of client A's abilities in decision making skills to promote growthand independence. Monitoring will be done by Group Home Supervisor weekly toensure client A's rights aren't being violated.	

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	client A did things, and client A refused to comment further on what the "things" were. Client A showed a watch on his left wrist and indicated the watch was to enable his parents to contact him whenever they wanted. Client A indicated he was able to send a signal to contact his parents from the watch. Client A indicated the watch had GPS (Global Positioning System) "my parents can track me." The facility's BDDS (Bureau of Developmental Disabilities Services) reports and investigations were reviewed on 9/30/15 at 1:45pm, and on 10/1/15 at 9:40am. The review indicated the following BDDS information and did not include an investigation: -A 7/14/15 BDDS report for an incident on 7/14/15 at 10:00am indicated client A "asked to talk to [HD]. Please note that it is unknown at what times or dates some of the following allegations occurred...." Client A stated the following: -"...that his co guardian took him back to the group home...from a home visit...yelling at him and making fun of him...stated that [client A] was grounded for 6 months...stated [Guardian] was laughing saying 'ha, ha, you're summer is ruined, your fault it is ruined,' and that he could have been able to go to fishing and			

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	to Kings Island." -"...that he has been instructed by [Guardians] to go to workshop, come home, and eat dinner, shower, and go straight to bed." -"...that he was also told by [Guardians] that they can take away all his belongings and leave him bare minimal in his room at the group home." -"...that [Guardian] stated that they will take his shelving down, and take his belongings to their home." -"...that they took his TV cord so that he can't watch his TV at the group home in his room, and his game system." -"...That [Guardian] stated that if he doesn't follow all their [Guardian] rules then they will take him out of the group home and place him in a building in the back yard...[Guardian] was showing him video monitoring on the computer at this time and told him that she would put the monitors up in the building and that he would not be able to do anything without them seeing...stated he would only be allowed to eat TV dinners because he would not be allowed to eat with them or what they cooked...stated they are going to try to hold him captive or something." -"...that [Guardians] made him purchase a new band for a GPS (tracking device) system that they made him purchase because the band is made for a child and won't fit on his wrist...He stated that he			

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	does not feel like this is right. He stated that he should not have a tracking device that he has to wear, but if he doesn't they will do something bad to him. He stated that he feels like he is a prisoner. The tracking system will allow the guardians to monitor where [client A] is, and talk to him thru a speaker on the phone at any time they choose." -"...that [Guardians] pick him up from the group home during activities days, so that he can't attend activities because he is grounded and that he feels as if this is unfair...stated that on these days he has to pack a lunch from the group home and take with him to his [Guardians] home because he is not allowed to eat their food." -"...that he has to help his dad do things like build decks and clean yard, but he doesn't mind that because he enjoys that kind of work...[client A] did not attend workshop on 6/18, 6/19, 6/25, 6/26, and 7/3/15 because he had work to do at their home...." -"...that [Guardians] will go out to eat when he is with them and he has to remain in the car and eat the lunch that he has packed as punishment. He is left unattended at this time." -"...that he feels like he (is) being threatened by his guardians, sad, hurt, and he is scared of what they will do to him."			

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	"...that he does not want his guardians to know about this conversation because he is scared of what they will do to him, and he doesn't want to live in the back yard or even somewhere worse." -"...that there was an incident in which his guardians requested him to write a letter to the group home supervisor and that he wrote it but that his [Guardian] tore it up and told him to rewrite it...it still wasn't good enough...said on the third round (attempt) he got mad and jumped up stating that he has had enough and went to leave. He stated that the [Guardian] told him that if he leaves then they would call the police and have him arrested...He was not allowed to talk to her after this incident for several days...." -"...that he knows he has not been happy and is sad about the situation." -"...that staff have asked him what is wrong with him but that he says nothing he is scared his guardians will find out...stated that he is about done with everything and he can't take it." -"...that he can make decisions on his own, but is not allowed to." -"...that he doesn't know what to do." -"...that repeated that he is very sad, scared, and hurt by the situation." -"...asked if anyone could help him." -"...Please note that [client A] had a past incident in which he thought something was wrong with his private area and			

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	asked a staff to check the area, as such staff checked area (sic). This is the incident that likely resulted in some not all of the conflicts between [client A] and his guardians...APS (Adult Protective Services) and Ombudsman were contacted by phone to discuss the incident report as written. There has been an annual meeting scheduled for June (sic) 16th at 3:30pm...APS, Ombudsman, and Guardians were notified and have accepted the meeting date and time...[Client A] was notified...reportedly appeared to liven up and enjoy his day...." Client A's record was reviewed on 10/1/15 at 12:40pm and on 10/2/15 at 9:00am. Client A's 10/8/14 Individual Support Plan (ISP) indicated client A had co-guardians. Client A's record did not include a BSP (Behavior Support Plan). -Client A's 7/15/15 "General Instructions Risk Plan" indicated Client A "has guardian in place. The guardians have given preferred instructions on the following issues/concerns...Medical: Parents/guardians should be notified of all appointments made. Guardians prefer to attend all appointments when they are available...All medication changes need to be approved by the guardian before implementation...Movies/Internet: [client			

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	A] should be encouraged to watch movies with ratings of G, PG, PG-13, if there is no nudity involved. [Client A] should be encouraged to call his parents to discuss watching any other rated movies. [Client A] should have visual supervision when using the Internet. He should be encouraged to only view and/or engage in G, PG, PG-13 ratings...Relationship/sexual: [Client A] should be encouraged not to engage in a relationship of sexual nature or develop a girlfriend relationship. If he shows this type of interest in a particular person staff should encourage him to call his [Co-Guardians] before making any of those decisions. Remind [client A] of his personal faith...[Client A] is prohibited from getting married without guardian consent...[Client A] should be encouraged and offered to get his haircut at least once every three weeks. In the past he has preferred to get his haircut with a #2 guard...If staff write an internal incident report regarding [client A], staff should report this to the guardians as soon as possible." -Client A's 7/15/15 "GizmoPal (GPS Monitoring device) Plan" indicated client A's "Guardians have requested that [client A] purchase and use the GizmoPal watch...The GizmoPal allows [client A] to call his parents/guardians and allows			

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	them to contact [client A] via speaker on the watch. The GizmoPal allows [client A's] parents to maintain [client A's] location via GPS...." -Client A's 6/30/15 "Risk Plan for Personal Privacy" indicated "...This is per guardian...if [client A] complains of any pain, issues and/or concerns in areas listed as (a drawing depicting the private areas of the groin, pelvic, and/or buttocks)...If client A complains of non emergency pain in any of these areas staff are to call the guardian and report the complaint to the guardian...Staff should verbally discuss with [client A] that they are calling his guardians to inform them and get further instructions. Staff should not check areas even at [client A's] request for non emergency issues...." -Client A's ISP (Individual Support Plan) indicated client A's diagnoses included, but were not limited to, Moderate Mental Retardation and Autism. Client A's ISP indicated client A was 20 years of age. Client A's record did not indicate documentation of client A being assessed as needing restrictions from Internet access, his personal finances, participating in community outings, being able to have communication or social relationships with females or methods of expressing his personal sexuality.			

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	An interview with the Habitation Director of Group Homes (HD) and the Quality Assurance Director (QAD) was conducted on 10/2/15 at 8:45am. The HD and QAD both indicated client A had co- guardians and was admitted on 5/26/14. The HD indicated client A was very concerned regarding his co-guardians finding out that he had spoken to someone outside the family regarding his guardians. The HD and QAD both stated there was a meeting held with the Ombudsman, APS, Co-Guardians, and the agency staff "around July 16, 2015." The HD and QAD both indicated client A wore a wrist GPS to use as a speaker to communicate with his family. Both indicated the GPS monitoring system was not the group home's system, but rather the guardian's system. Both staff indicated client A had his personal belongings at the group home. Both staff indicated APS and the Ombudsman explained client A's rights to client A's Co-Guardians on 7/16/15 during the meeting. Both staff indicated no guidelines were developed which included how to teach client A his rights with the support of his Co-Guardians. The HD indicated client A did not have behaviors at the group home and did not need a behavior support plan. When asked if client A's guardian was			

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	promoting client A's growth and independence, the HD stated, "No, I don't really think so." This federal tag relates to complaint #IN00178082. 9-3-2(a)			
W 0149 Bldg. 00	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 4 of 4 sampled clients (clients A, B, C, and D) and for 3 additional clients (clients E, F, and G), the facility neglected to implement the agency's policy and procedure to thoroughly investigation incidents and allegations of abuse, neglect, and/or mistreatment, to ensure staff were available on duty to supervise clients, and implement effective corrective actions to protect clients A, B, C, D, E, F, and G from abuse, neglect, and/or mistreatment. Findings include: 1. The facility's BDDS (Bureau of Developmental Disabilities Services) reports and investigations were reviewed	W 0149	1. Update the policy for investigations, Develop a tracking form for all incidents that require investigations to ensure investigations are completed Policy and tracking form will be completed by November 30,2015. Habilitation Coordinator or Supervisor will ensure that a follow up is completed with the investigator with in the 5 day time frame. Habilitation Coordinator or designee will monitor tracking form for completed investigations one time weekly. Habilitation Coordinators and/or Supervisors will review all internal and BDDS reports to ensure investigations are initiated upon knowledge daily as incidents are received. Program Manager will ensure that all investigations are completed at least monthly. Addendum: changing the form was completed	12/09/2015

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	on 9/30/15 at 1:45pm, and on 10/1/15 at 9:40am. The review indicated the following BDDS information and did not include investigations for the 6/18/15 or the 7/14/15 incidents: -A 7/14/15 BDDS report for an incident on 7/14/15 at 10:00am indicated client A "asked to talk to [HD]. Please note that it is unknown at what times or dates some of the following allegations occurred...." Client A stated the following: -"...that his co guardian took him back to the group home...from a home visit...yelling at him and making fun of him...stated that [client A] was grounded for 6 months...stated [Co-Guardian] was laughing saying 'ha, ha, you're summer is ruined, your fault it is ruined,' and that he could have been able to go to fishing and to Kings Island." -"...that he has been instructed by [Co-Guardians] to go to workshop, come home, and eat dinner, shower, and go straight to bed." -"...that he was also told by [Co-Guardians] that they can take away all his belongings and leave him bare minimal (sic) in his room at the group home." -"...that [Co-Guardian] stated that they will take his shelving down, and take his belongings to their home." -"...that they took his TV cord so that he		and implemented on November 8, 2015. 2. A lice training was developed and staff were trained on this on July 30, 2015 Training will be annually for all staff as of November 1, 2015. Monitoring to ensure staff are trained annually will be done by both the Agency Trainer and HR Department monthly. All training will be documented monthly as completed by HR department. ISO review of training's will be completed quarterly as scheduled by an ISO trained staff member. 3. Staff was retrained on abuse and neglect. Staff reviewed the policy and guideline for 24-7 awake staff.The supervisor will ensure that the group home continues to receive at least every two hour phone calls during sleep hours while on shift in which staff are expected to respond. Supervisor will ensure at least weekly midnight observations occur as a preventive measure for the next 90 days, than at least bi-weekly. Habilitation Coordinator will complete a monthly quality inspection during sleep hours. Adult Service Manager will complete at least a quarterly quality inspection during sleeping hours at the group home. 4. Since this incident the following was completed: Staff ratio was increased to ensure proper supervision of consumers.Consumer has a risk plan on elopement developed and staff was trained and risk plan	

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	can't watch his TV at the group home in his room, and his game system." -"...That [Co-Guardians] stated that if he doesn't follow all their [Guardian] rules then they will take him out of the group home and place him in a building in the back yard...[Co-Guardian] was showing him video monitoring on the computer at this time and told him that she would put the monitors up in the building and that he would not be able to do anything without them seeing...stated he would only be allowed to eat TV dinners because he would not be allowed to eat with them or what they cooked...stated they are going to try to hold him captive or something." -"...that [Co-Guardians] made him purchase a new band for a GPS (tracking device) system that they made him purchase because the band is made for a child and won't fit on his wrist...He stated that he does not feel like this is right. He stated that he should not have a tracking device that he has to wear, but if he doesn't they will do something bad to him. He stated that he feels like he is a prisoner. The tracking system will allow the guardians to monitor where [client A] is, and talk to him thru a speaker on the phone at any time they choose." -"...that [Co-Guardians] pick him up from the group home during activities days, so that he can't attend activities because he		was implemented on 12-30-2014. CDC Resources Relocation Procedure was updated and trained on by 12-30-2014. Monitoring of appropriate supervision of consumers was done twice weekly by Supervisor for 30 days, then weekly for 60 days and continued monthly thereafter. Please note that we were previously tagged for this incident and this is a copy of the corrections from that tag. Addendum 1. Habilitation Coordinator will implement an ISP goal toteach client A his rights on 12-9-2015. 2. All staff will be trained on ISP goal by 12-9-2015. 3. Group home Supervisor will meet with client A once a weekfor 30 days to review self-advocacy. 4. Supervisor or designee will discuss results of homevisits as they occur. 5. Group Home Supervisor and parents will completeassessments of client A's abilities in decision making skills to promote growthand independence. Monitoring will be done by Group Home Supervisor weekly toensure client A's rights aren't being violated.	

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	is grounded and that he feels as if this is unfair...stated that on these days he has to pack a lunch from the group home and take with him to his [Guardians] home because he is not allowed to eat their food." -"...that he has to help his dad do things like build decks and clean yard, but he doesn't mind that because he enjoys that kind of work...[client A] did not attend workshop on 6/18, 6/19, 6/25, 6/26, and 7/3/15 because he had work to do at their home...." -"...that [Co-Guardians] will go out to eat when he is with them and he has to remain in the car and eat the lunch that he has packed as punishment. He is left unattended at this time." -"...that he feels like he (is) being threatened by his guardians, sad, hurt, and he is scared of what they will do to him." "...that he does not want his guardians to know about this conversation because he is scared of what they will do to him, and he doesn't want to live in the back yard or even somewhere worse." -"...that there was an incident in which his guardians requested him to write a letter to the group home supervisor and that he wrote it but that his [Co-Guardian] tore it up and told him to rewrite it...it still wasn't good enough...said on the third round (attempt)			

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	he got mad and jumped up stating that he has had enough and went to leave. He stated that the [Co-Guardian] told him that if he leaves then they would call the police and have him arrested...He was not allowed to talk to her after this incident for several days...." -"...that he knows he has not been happy and is sad about the situation." -"...that staff have asked him what is wrong with him but that he says nothing he is scared his guardians will find out...stated that he is about done with everything and he can't take it." -"...that he can make decisions on his own, but is not allowed to." -"...that he doesn't know what to do." -"...that repeated that he is very sad, scared, and hurt by the situation." -"...asked if anyone could help him." -"...Please note that [client A] had a past incident in which he thought something was wrong with his private area and asked a staff to check the area, as such staff checked area (sic). This is the incident that likely resulted in some not all of the conflicts between [client A] and his guardians...APS (Adult Protective Services) and Ombudsman were contacted by phone to discuss the incident report as written. There has been an annual meeting scheduled for June (sic) 16th at 3:30pm...APS, Ombudsman, and Guardians were			

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	notified and have accepted the meeting date and time...[Client A] was notified...reportedly appeared to liven up and enjoy his day...." -A 6/19/15 BDDS report for an incident on 6/18/15 at 6:26pm indicated client A while at the workshop "came to staff and stated he was hurting around his inner thigh near his penis and that it hurt to urinate." The report indicated staff at the workshop checked the area and "noticed a baseball size red chaffed area" and contacted the agency nurse. The supervisor made an appointment with client A's attending physician and client A went home for the day. The group home supervisor checked the area when client A arrived home and "in addition to the chaffed area [client A] had a dime sized area on the penis where the skin was coming off." The supervisor contacted the guardian "at 4:30pm to let them know that [client A] was being took (sic) to his doctor. At 5:30pm, the guardian with a harsh tone allegedly told the supervisor that she had no right to check the area or seek medical attention for [client A]. The guardian stated that the guardians or a nurse are the only ones that are allowed to check his private areas and that (they) needed to be notified of request for an appointment before one was made." The report indicated the			

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	guardian sent a text message which indicated the co-guardians, client A, and the nurse were the only people who should look at client A's privates and "... [client A] was very well versed on this as well and choose to not follow the rules...I have told [client A] until further notice he is not to go anywhere but work and then home. Period. He is not allowed to participate in any Special Olympics until further notice by his father and I and he is not allowed to participate in anything outside of the group home and not allowed to go anywhere with staff, anywhere. Period or until we say so. So that said, we, you, I, and [Co-guardian] need to have a conversation tomorrow. We are thinking about filing a complaint because we are honestly tired of having meetings and the staff not carrying out the care plans once they are written and supposedly in serviced about what was talked about...The Guardian called the staff...[Client A] is to take a shower immediately after dinner and go straight to bed. He is not to go anywhere not to Special Olympics, dances, or Action Club. He is only allowed to leave the house to go to workshop...not allowed to watch TV, or play games. The guardians said they may come to get [client A's] TV...." The report did not include corrective measures to teach the guardians regarding client A's rights and			

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	supports toward growth and independence. Interview with client A on 9/30/15 at 5:15 PM indicated the client had been upset with his guardians over the past several months. Client A indicated he told his staff that his guardians were punishing him for something that he told his guardians he would not talk about. Client A lowered his head and gazed downward and refused to comment further on the issue. Client A showed his bedroom which had his personal shelving, medals, games, TV, and other personal items throughout. When asked if anyone ever tried to remove client A's items, client A stated his family had said they were going to take his "stuff" if client A did things, and client A refused to comment further on what the "things" were. Client A showed a watch on his left wrist and indicated the watch was to enable his parents to contact him whenever they wanted. Client A indicated he was able to send a signal to contact his parents from the watch. Client A indicated the watch had GPS so "my parents can tract me." Client A's record was reviewed on 10/1/15 at 12:40pm and on 10/2/15 at 9:00am. Client A's 10/8/14 Individual Support Plan (ISP) indicated client A had			

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	Co-guardians. Client A's record did not include a BSP (Behavior Support Plan). -Client A's 7/15/15 "General Instructions Risk Plan" indicated Client A "has guardian in place. The guardians have given preferred instructions on the following issues/concerns...Medical: Parents/guardians should be notified of all appointments made. Guardians prefer to attend all appointments when they are available...All medication changes need to be approved by the guardian before implementation...Movies/Internet: [client A] should be encouraged to watch movies with ratings of G, PG, PG-13, if there is no nudity involved. [Client A] should be encouraged to call his parents to discuss watching any other rated movies. [Client A] should have visual supervision when using the Internet. He should be encouraged to only view and/or engage in G, PG, PG-13 ratings...Relationship/sexual: [Client A] should be encouraged not to engage in a relationship of sexual nature or develop a girlfriend relationship. If he shows this type of interest in a particular person staff should encourage him to call his [Co-Guardians] before making any of those decisions. Remind [client A] of his personal faith...[Client A] is prohibited from getting married without guardian consent...[Client A] should be			

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	encouraged and offered to get his haircut at least once every three weeks. In the past he has preferred to get his haircut with a #2 guard (hair clippers setting device)...If staff write an internal incident report regarding [client A], staff should report this to the guardians as soon as possible." -Client A's 7/15/15 "GizmoPal (GPS Monitoring device) Plan" indicated client A's "Guardians have requested that [client A] purchase and use the GizmoPal watch...The GizmoPal allows [client A] to call his parents/guardians and allows them to contact [client A] via speaker on the watch. The GizmoPal allows [client A's] parents to maintain [client A's] location via GPS...." -Client A's 6/30/15 "Risk Plan for Personal Privacy" indicated "...This is per guardian...if [client A] complains of any pain, issues and/or concerns in areas listed as (a drawing depicting the private areas of the groin, pelvic, and/or buttocks)...If client A complains of non emergency pain in any of these areas staff are to call the guardian and report the complaint to the guardian...Staff should verbally discuss with [client A] that they are calling his guardians to inform them and get further instructions. Staff should not check areas even at [client A's]			

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	request for non emergency issues...." -Client A's ISP indicated client A's diagnoses included, but were not limited to, Moderate Mental Retardation and Autism. Client A's ISP indicated client A was 20 years of age. Client A's record did not indicate documentation of client A being assessed as needing restrictions from Internet access, his personal finances, participating in community outings, being able to have communication or social relationships with females or methods of expressing his personal sexuality. An interview with the Habitation Director of Group Homes (HD) and the Quality Assurance Director (QAD) was conducted on 10/2/15 at 8:45am. The HD and QAD both indicated client A had co- guardians and was admitted on 5/26/14. The HD indicated client A was very concerned regarding his co-guardians finding out that he had spoken to someone outside the family regarding his guardians. The HD and QAD both stated there was a meeting held with the Ombudsman, APS, Co-Guardians, and the agency staff "around July 16, 2015." The HD and QAD both indicated client A wore a wrist GPS to use as a speaker to communicate with his family. Both indicated the GPS			

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	monitoring system was not the group home's system, but rather the guardian's system. Both staff indicated client A had his personal belongings at the group home. Both staff indicated APS and the Ombudsman explained client A's rights to client A's Co-Guardians on 7/16/15 during the meeting. Both staff indicated no guidelines were developed which included how to teach client A his rights with the support of his Co-Guardians. The HD indicated client A did not have behaviors at the group home and did not need a behavior support plan. The HD and QAD both indicated the facility followed the BDDS reporting guidelines for investigations. The HD indicated the previous agency investigator had documented the meeting with client A's guardians, APS, the Ombudsman, and the facility. The HD indicated she was unsure if a formal investigation was documented. The HD indicated the investigation and documents were not able to be located and were not available for review. 2. The facility's BDDS (Bureau of Developmental Disabilities Services) reports and investigations were reviewed on 9/30/15 at 1:45pm, and on 10/1/15 at 9:40am. The review indicated the following BDDS information for clients A, B, C, D, E, F, and G regarding head			

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	15G148		10/08/2015

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	lice exposure. -A 7/28/15 BDDS report for an incident on 7/27/15 at 4:00pm indicated GHS (Group Home Staff) #6 contacted the RM (Residential Manager) on 7/25/15 "around 11:00pm" to report GHS #6 "had head lice. [The RM] instructed her to treat her hair at this time. [The RM] checked the consumers (clients A, B, C, D, E, F, and G) for any signs of head lice on 7/26/15 and reportedly did not find any." The report indicated the RM told GHS #6 to go to the Health Department on 7/27/15 to be checked by the Health Department Nurse. The report indicated the agency nurse checked clients A, B, C, D, E, F, and G and the remaining staff for head lice on 7/27/15 and found none. On 7/27/15 at 4:00pm, GHS #6 presented the RM with a 7/27/15 "To Whom it may Concern: The following individual (GHS #6) were (sic) checked for head lice today and was found to be not free of lice and nits (the empty white eggshells which are left when the lice hatch), nits circled, and...needs additional treatment and check. The [RM] asked the agency nurse to check [GHS #6] but did not give or discuss with the agency nurse the note provided by the Health Department. Per [RM] the agency nurse stated that [GHS #6] still had nits in her hair but no lice. The agency nurse gave instructions to			

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	[GHS #6] on how to remove the remaining nits from her hair. The [RM] allowed [GHS #6] to remain at the group home and work beginning at 4:00pm. A community person called the administrator on 7/27/15 to report that there was a staff on shift that had lice... [GHS #6] was sent home around 8:15pm on 7/27/15." An interview with the Habitation Director of Group Homes (HD) and the Quality Assurance Director (QAD) was conducted on 10/2/15 at 8:45am. The HD and QAD both indicated GHS #6 had head lice and was allowed to work on 7/27/15 which exposed clients A, B, C, D, E, F, and G to the potential of getting head lice. The HD indicated GHS #6 should not have been allowed to work on 7/27/15. The HD indicated the RM had indicated the group home was short of staff and the RM was trying to ensure enough staff was on duty to supervise clients. The HD indicated the corrective measure was to suspend and re train the RM after not following the agency's policy and procedure to protect the clients from the potential health hazard of head lice. The HD indicated the RM and GHS #6 neglected to protect clients A, B, C, D, E, F, and F from the potential exposure to head lice.			

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	3. The facility's BDDS (Bureau of Developmental Disabilities Services) reports and investigations were reviewed on 9/30/15 at 1:45pm, and on 10/1/15 at 9:40am. The review indicated the following BDDS information for clients A, B, C, D, E, F, and G -A 1/17/15 BDDS report for an incident on 1/17/15 at 6:00am indicated "staff #1 came into shift (work at the group home), Staff #1 reported staff #2 was asleep on the couch. Staff #1 checked on [clients A, B, C, D, E, F, and G]. All consumers were asleep at the time of the check." The report indicated staff was suspended pending an investigation. -A 1/19/15 investigation indicated "Based on all of the information reviewed for the investigation...The incident is substantiated for neglect. Staff admitted and provided a written statement stating he fell asleep on shift." The staff was retrained and reinstated. 4. A 10/31/14 investigation for an incident on 10/31/14 at 7:15am, indicated clients A, B, C, D, E, F, and G were evacuated to stay at a local hotel after an incident making the group home inhabitable. The investigation indicated there were two staff for seven clients at the hotel. Client F was in the bathroom			

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	"for a while so staff asked him to try again later if it's not coming out. [Client F] said OK and started getting up. Staff left [client F's] room to attend to another consumer. [The second staff] was attending to medication administration. When staff [staff #1] came back to [client F's] room and [client F] was not there. Findings: Substantiated...Neglect is substantiated as the consumer was not provided adequate supervision to meet level of care. The consumer in this incident did not appear to be eloping but had just wandered away from his room location without supervision...." The investigation indicated client F was located by staff on the third floor of the hotel walking the hallways. An interview with the Habitation Director of Group Homes (HD) and the Quality Assurance Director (QAD) was conducted on 10/2/15 at 8:45am. The HD and QAD both indicated the facility followed the BDDS policy and procedure which prohibited abuse, neglect, and/or mistreatment. The HD indicated the incidents regarding staff sleeping on duty was substantiated neglect and that should be awake twenty-four hours a day to supervise clients A, B, C, D, E, F, and G. The HD indicated client F's incident was substantiated staff neglect and staff should be available on duty to supervise			

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	client F when he was not supervised and left his hotel room without staff supervision. The HD indicated no corrective measures were documented and she was unsure if corrective measures were implemented. On 9/30/15 at 2:15pm, the 2011 facility's policy on "Abuse and Neglect" was reviewed and indicated "Each person receiving services and supports from CDC Resources, Inc. will receive humane care and protection from harm. Services shall be provided in safe, secure, and supportive environments...Abuse, neglect, exploitation, and mistreatment and violation of any rights of an individual are prohibited including...6. Actions that deny or result in denying an individual any of the following without a physician's order is (sic) prohibited: a.) Failure to provide appropriate supervision, care or training, according to the ISP (Individual Support Plan). b.) Failure to provide a safe, clean, and sanitary environment...." The policy indicated abuse, neglect, and/or mistreatment was prohibited by the agency. The policy and procedure indicated each investigation would be thoroughly investigated. This federal tag relates to complaint #IN00178082.			

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	9-3-2(a)			
W 0154 Bldg. 00	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 2 of 4 allegations reviewed for client mistreatment (client A), the facility failed to thoroughly investigate client A's allegations of mistreatment. Findings include: The facility's BDDS (Bureau of Developmental Disabilities Services) reports and investigations were reviewed on 9/30/15 at 1:45pm, and on 10/1/15 at 9:40am. The review indicated the following BDDS information and did not include an investigations for the 6/18/15 and/or the 7/14/15 allegation of mistreatment: -A 7/14/15 BDDS report for an incident on 7/14/15 at 10:00am indicated client A "asked to talk to [HD]. Please note that it is unknown at what times or dates some of the following allegations occurred...." Client A stated the following: -"...that his co guardian took him back to the group home...from a home	W 0154	Update the policy for investigations, Develop a tracking form for all incidents that require investigations to ensure investigations are completed.Policy and form will be completed by November 08, 2015. Habilitation Coordinator or Supervisor will ensure that a follow up is completed with the investigator with in the 5 day time frame. Habilitation Coordinator or designee will monitor tracking form for completed investigations one time weekly. Habilitation coordinators and/or Supervisors will review all internal and BDDS reports to ensure investigations are initiated upon knowledge daily as incidents are received. Program Manager will ensure that all investigations are completed at least monthly.	11/08/2015

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	visit...yelling at him and making fun of him...stated that [client A] was grounded for 6 months...stated [Co-Guardian] was laughing saying 'ha, ha, you're summer is ruined, your fault it is ruined,' and that he could have been able to go to fishing and to Kings Island." -"...that he has been instructed by [Co-Guardians] to go to workshop, come home, and eat dinner, shower, and go straight to bed." -"...that he was also told by [Co-Guardians] that they can take away all his belongings and leave him bare minimal in his room at the group home." -"...that [Co-Guardian] stated that they will take his shelving down, and take his belongings to their home." -"...that they took his TV cord so that he can't watch his TV at the group home in his room, and his game system." -"...That [Co-Guardians] stated that if he doesn't follow all their [Guardian] rules then they will take him out of the group home and place him in a building in the back yard...[Co-Guardian] was showing him video monitoring on the computer at this time and told him that she would put the monitors up in the building and that he would not be able to do anything without them seeing...stated he would only be allowed to eat TV dinners because he would not be allowed to eat with them or what they cooked...stated			

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	they are going to try to hold him captive or something." -"...that [Co-Guardians] made him purchase a new band for a GPS (tracking device) system that they made him purchase because the band is made for a child and won't fit on his wrist...He stated that he does not feel like this is right. He stated that he should not have a tracking device that he has to wear, but if he doesn't they will do something bad to him. He stated that he feels like he is a prisoner. The tracking system will allow the guardian's to monitor where [client A] is, and talk to him thru a speaker on the phone at any time they choose." -"...that [Co-Guardians] pick him up from the group home during activities days, so that he can't attend activities because he is grounded and that he feels as if this is unfair...stated that on these days he has to pack a lunch from the group home and take with him to his [Guardians] home because he is not allowed to eat their food." -"...that he has to help his dad do things like build decks and clean yard, but he doesn't mind that because he enjoys that kind of work...[client A] did not attend workshop on 6/18, 6/19, 6/25, 6/26, and 7/3/15 because he had work to do at their home...." -"...that [Co-Guardians] will go out to eat when he is with them and he has to			

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	remain in the car and eat the lunch that he has packed as punishment. He is left unattended at this time." -"...that he feels like he (is) being threatened by his guardians, sad, hurt, and he is scared of what they will do to him." "...that he does not want his guardians to know about this conversation because he is scared of what they will do to him, and he doesn't want to live in the back yard or even somewhere worse." -"...that there was an incident in which his guardians requested him to write a letter to the group home supervisor and that he wrote it but that his [Co-Guardian] tore it up and told him to rewrite it...it still wasn't good enough...said on the third round (attempt) he got mad and jumped up stating that he has had enough and went to leave. He stated that the [Co-Guardian] told him that if he leaves then they would call the police and have him arrested...He was not allowed to talk to her after this incident for several days...." -"...that he knows he has not been happy and is sad about the situation." -"...that staff have asked him what is wrong with him but that he says nothing he is scared his guardians will find out...stated that he is about done with everything and he can't take it." -"...that he can make decisions on his			

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	own, but is not allowed to." -"...that he doesn't know what to do." -"...that repeated that he is very sad, scared, and hurt by the situation." -"...asked if anyone could help him." -"...Please note that [client A] had a past incident in which he thought something was wrong with his private area and asked a staff to check the area, as such staff checked area (sic). This is the incident that likely resulted in some not all of the conflicts between [client A] and his guardians...APS (Adult Protective Services) and Ombudsman were contacted by phone to discuss the incident report as written. There has been an annual meeting scheduled for June (sic) 16th at 3:30pm...APS, Ombudsman, and Guardians were notified and have accepted the meeting date and time...[Client A] was notified...reportedly appeared to liven up and enjoy his day...." -A 6/19/15 BDDS report for an incident on 6/18/15 at 6:26pm indicated client A while at the workshop "came to staff and stated he was hurting around his inner thigh near his penis and that it hurt to urinate." The report indicated staff at the workshop checked the area and "noticed a baseball size red chaffed area" and contacted the agency nurse. The supervisor made an appointment with			

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	client A's attending physician and client A went home for the day. The group home supervisor checked the area when client A arrived home and "in addition to the chaffed area [client A] had a dime sized area on the penis where the skin was coming off." The supervisor contacted the guardian at 4:30pm to let them know that [client A] was being took to his doctor. At 5:30pm, the guardian with a harsh tone allegedly told the supervisor that she had no right to check the area or seek medical attention for [client A]. The guardian stated that the guardians or a nurse are the only ones that are allowed to check his private areas and that needed to be notified of request for an appointment before one was made." The report indicated the guardian sent a text message which indicated the co-guardians, client A, and the nurse were the only people who should look at client A's privates and "...[client A] was very well versed on this as well and choose to not follow the rules...I have told [client A] until further notice he is not to go anywhere but work and then home. Period. He is not allowed to participate in any special Olympics until further notice by his father and I and he is not allowed to participate in anything outside of the group home and not allowed to go anywhere with staff, anywhere. Period or until we say so. So			

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	that said, we, you, I, and [Co-guardian] need to have a conversation tomorrow. We are thinking about filing a complaint because we are honestly tired of having meetings and the staff not carrying out the care plans once they are written and supposedly in serviced about what was talked about...The Guardian called the staff...[Client A] is to take a shower immediately after dinner and go straight to bed. He is not to go anywhere not to Special Olympics, dances, or Action Club. He is only allowed to leave the house to go to workshop...not allowed to watch TV, or play games. The guardians said they may come to get [client A's] TV...." The report did not include corrective measures to teach the guardians regarding client A's rights and supports toward his growth and independence. Interview with client A on 9/30/15 at 5:15 PM indicated the client had been upset with his guardians over the past several months. Client A indicated he told his staff that his guardians were punishing him for something he told his guardians he would not talk about. Client A lowered his head and gazed downward and refused to comment further on the issue. Client A showed his bedroom which had his personal shelving, medals, games, TV, and other			

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	personal items throughout. When asked if anyone ever tried to remove client A's items, client A stated his family had said they were going to take his "stuff" if client A did things, and client A refused to comment further on what the "things" were. Client A showed a watch on his left wrist and indicated the watch was to enable his parents to contact him whenever they wanted. Client A indicated he was able to send a signal to contact his parents from the watch. Client A indicated the watch had GPS (Global Positioning System) so "my parents can track me." Client A's record was reviewed on 10/1/15 at 12:40pm and on 10/2/15 at 9:00am. Client A's 10/8/14 Individual Support Plan (ISP) indicated client A had co-guardians. Client A's record did not include a BSP (Behavior Support Plan). -Client A's 7/15/15 "General Instructions Risk Plan" indicated Client A "has guardian in place. The guardians have given preferred instructions on the following issues/concerns...Medical: Parents/guardians should be notified of all appointments made. Guardians prefer to attend all appointments when they are available...All medication changes need to be approved by the guardian before implementation...Movies/Internet: [client			

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	A] should be encouraged to watch movies with ratings of G, PG, PG-13, if there is no nudity involved. [Client A] should be encouraged to call his parents to discuss watching any other rated movies. [Client A] should have visual supervision when using the Internet. He should be encouraged to only view and/or engage in G, PG, PG-13 ratings...Relationship/sexual: [Client A] should be encouraged not to engage in a relationship of sexual nature or develop a girlfriend relationship. If he shows this type of interest in a particular person staff should encourage him to call his [Co-Guardians] before making any of those decisions. Remind [client A] of his personal faith...[Client A] is prohibited from getting married without guardian consent...[Client A] should be encouraged and offered to get his haircut at least once every three weeks. In the past he has preferred to get his haircut with a #2 guard (hair clippers setting device)...If staff write an internal incident report regarding [client A], staff should report this to the guardians as soon as possible." -Client A's 7/15/15 "GizmoPal (GPS Monitoring device) Plan" indicated client A's "Guardians have requested that [client A] purchase and use the GizmoPal watch...The GizmoPal allows [client A]			

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	to call his parents/guardians and allows them to contact [client A] via speaker on the watch. The GizmoPal allows [client A's] parents to maintain [client A's] location via GPS...." -Client A's 6/30/15 "Risk Plan for Personal Privacy" indicated "...This is per guardian...if [client A] complains of any pain, issues and/or concerns in areas listed as (a drawing depicting the private areas of the groin, pelvic, and/or buttocks)...If client A complains of non emergency pain in any of these areas staff are to call the guardian and report the complaint to the guardian...Staff should verbally discuss with [client A] that they are calling his guardians to inform them and get further instructions. Staff should not check areas even at [client A's] request for non emergency issues...." -Client A's ISP indicated client A's diagnoses included, but were not limited to, Moderate Mental Retardation and Autism. Client A's ISP indicated client A was 20 years of age. Client A's record did not indicate documentation of client A being assessed as needing restrictions from Internet access, his personal finances, participating in community outings, being able to have communication or social relationships with females or methods of expressing			

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	15G148		10/08/2015

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	his personal sexuality. An interview with the Habitation Director of Group Homes (HD) and the Quality Assurance Director (QAD) was conducted on 10/2/15 at 8:45am. The HD and QAD both indicated client A had co-guardians and was admitted on 5/26/14. The HD indicated client A was very concerned regarding his co-guardians finding out that he had spoken to someone outside the family regarding his guardians. The HD and QAD both stated there was a meeting held with the Ombudsman, APS, Co-Guardians, and the agency staff "around July 16, 2015." The HD and QAD both indicated client A wore a wrist GPS to use as a speaker to communicate with his family. Both indicated the GPS monitoring system was not the group home's system, but rather the guardian's system. Both staff indicated client A had his personal belongings at the group home. Both staff indicated APS and the Ombudsman explained client A's rights to client A's Co-Guardians on 7/16/15 during the meeting. The HD and QAD both indicated the facility followed the BDDS reporting guidelines for investigations. The HD indicated the previous agency investigator had documented the meeting with client A's guardians, APS, the Ombudsman, and the			

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	facility. The HD indicated the investigation and documents were not able to be located and were not available for review. This federal tag relates to complaint #IN00178082. 9-3-2(a)			
W 0159 Bldg. 00	483.430(a) QUALIFIED MENTAL RETARDATION PROFESSIONAL Each client's active treatment program must be integrated, coordinated and monitored by a qualified mental retardation professional. Based on record review and interview, for 1 of 4 sampled clients (client A), the QIDP (Qualified Intellectual Disabilities Professional) failed to develop, integrate, coordinate, and monitor client A's assessments and guardian advocacy, and failed to develop an active treatment program to teach client A regarding his rights, personal growth, and independence. Findings include: Interview with client A on 9/30/15 at 5:15 PM indicated the client had been upset with his guardians over the past several months. Client A indicated he	W 0159	Habilitation Coordinator will develop a Behavior Support Plan for Client A by November 6,2015. Group Home Supervisor will inform client A and his guardian of the medical risk, side effects of prescribed psychotropic medications and of the right to refuse the use of the psychotropic medications. Group Home supervisor will complete this by November 6, 2015. ISO procedure for Consumer Admission, and Provision of Group Home Services procedure will be updated by November 13,2015 to include that any group home client that uses a psychotropic medication will need to have a plan in place for teaching and training on medical risk, side effects of prescribed	12/09/2015

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	told his staff that his guardians were punishing him for something that he told his guardians he would not talk about. Client A lowered his head and gazed downward and refused to comment further on the issue. Client A showed his bedroom which had his personal shelving, medals, games, TV, and other personal items throughout. When asked if anyone ever tried to remove client A's items, client A stated his family had said they were going to take his "stuff" if client A did things, and client A refused to comment further on what the "things" were. Client A showed a watch on his left wrist and indicated the watch was to enable his parents to contact him whenever they wanted. Client A indicated he was able to send a signal to contact his parents from the watch. Client A indicated the watch had GPS (Global Positioning System) so "my parents can track me." The facility's BDDS (Bureau of Developmental Disabilities Services) reports and investigations were reviewed on 9/30/15 at 1:45pm, and on 10/1/15 at 9:40am. The review indicated the following BDDS information and did not include an investigation: -A 7/14/15 BDDS report for an incident on 7/14/15 at 10:00am indicated client A		psychotropic medications and of the right to refuse the use of the psychotropic medications. Staff will be trained on updates of procedures by November 30, 2015. Group home supervisors will review medical risk, side effects of prescribed psychotropic medications and of the right to refuse the use of the psychotropic medications at least quarterly with the consumer. Habilitation Coordinator will review clients medication reviews quarterly. Habilitation Coordinator will review BSPs and psychotropic medications at least annually with the client. Adult Service Manager will monitor BSPs at least quarterly to ensure completion. HRC will monitor plans for all consumers on psychotropic medications at least quarterly. Addendum: **QIDP reviewed client's active treatment program on November 6, 2015. Client A's was informed of medical risk, sideeffects and the right to refused the use of psychotropic medication on November 6, 2015. Assessments of clients' needs was completed on November 8, 2015 and plans updated. Behavior Support Plan was developed for Client A on November 6,2015. ISO procedure was submitted for update on November 8, 2015. Staff will be trained on**	

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	"asked to talk to [HD]. Please note that it is unknown at what times or dates some of the following allegations occurred...." Client A stated the following: -"...that his co guardian took him back to the group home...from a home visit...yelling at him and making fun of him...stated that [client A] was grounded for 6 months...stated [Co-Guardian] was laughing saying 'ha, ha, you're summer is ruined, your fault it is ruined,' and that he could have been able to go to fishing and to Kings Island." -"...that he has been instructed by [Co-Guardians] to go to workshop, come home, and eat dinner, shower, and go straight to bed." -"...that he was also told by [Co-Guardians] that they can take away all his belongings and leave him bare minimal in his room at the group home." -"...that [Co-Guardian] stated that they will take his shelving down, and take his belongings to their home." -"...that they took his TV cord so that he can't watch his TV at the group home in his room, and his game system." -"...That [Co-Guardians] stated that if he doesn't follow all their [Guardian] rules then they will take him out of the group home and place him in a building in the back yard...[Co-Guardian] was showing him video monitoring on the computer at this time and told him that she would put		**procedure upon receiving. QIDP will complete a quality inspection once a week to observe at home of clients.** Addendum 1. Habilitation Coordinator will implement an ISP goal toteach client A his rights on 12-9-2015. 2. All staff will be trained on ISP goal by 12-9-2015. 3. Group home Supervisor will meet with client A once a weekfor 30 days to review self-advocacy. 4. Supervisor or designee will discuss results of homevisits as they occur. 5. Group Home Supervisor and parents will completeassessments of client A's abilities in decision making skills to promote growthand independence. Monitoring will be done by Group Home Supervisor weekly toensure client A's rights aren't being violated.	

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	the monitors up in the building and that he would not be able to do anything without them seeing...stated he would only be allowed to eat TV dinners because he would not be allowed to eat with them or what they cooked...stated they are going to try to hold him captive or something." -"...that [Co-Guardians] made him purchase a new band for a GPS (tracking device) system that they made him purchase because the band is made for a child and won't fit on his wrist...He stated that he does not feel like this is right. He stated that he should not have a tracking device that he has to wear, but if he doesn't they will do something bad to him. He stated that he feels like he is a prisoner. The tracking system will allow the guardians to monitor where [client A] is, and talk to him thru a speaker on the phone at any time they choose." -"...that [Co-Guardians] pick him up from the group home during activities days, so that he can't attend activities because he is grounded and that he feels as if this is unfair...stated that on these days he has to pack a lunch from the group home and take with him to his [Guardian's] home because he is not allowed to eat their food." -"...that he has to help his dad do things like build decks and clean yard, but he doesn't mind that because he enjoys that			

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	kind of work...[client A] did not attend workshop on 6/18, 6/19, 6/25, 6/26, and 7/3/15 because he had work to do at their home...." -"...that [Co-Guardians] will go out to eat when he is with them and he has to remain in the car and eat the lunch that he has packed as punishment. He is left unattended at this time." -"...that he feels like he (is) being threatened by his guardians, sad, hurt, and he is scared of what they will do to him." "...that he does not want his guardians to know about this conversation because he is scared of what they will do to him, and he doesn't want to live in the back yard or even somewhere worse." -"...that there was an incident in which his guardians requested him to write a letter to the group home supervisor and that he wrote it but that his [Co-Guardian] tore it up and told him to rewrite it...it still wasn't good enough...said on the third round (attempt) he got mad and jumped up stating that he has had enough and went to leave. He stated that the [Co-Guardian] told him that if he leaves then they would call the police and have him arrested...He was not allowed to talk to her after this incident for several days...." -"...that he knows he has not been happy and is sad about the situation."			

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	-"...that staff have asked him what is wrong with him but that he says nothing he is scared his guardians will find out...stated that he is about done with everything and he can't take it." -"...that he can make decisions on his own, but is not allowed to." -"...that he doesn't know what to do." -"...that repeated that he is very sad, scared, and hurt by the situation." -"...asked if anyone could help him." -"...Please note that [client A] had a past incident in which he thought something was wrong with his private area and asked a staff to check the area, as such staff checked area (sic). This is the incident that likely resulted in some not all of the conflicts between [client A] and his guardians...APS (Adult Protective Services) and Ombudsman were contacted by phone to discuss the incident report as written. There has been an annual meeting scheduled for June (sic) 16th at 3:30pm...APS, Ombudsman, and Guardians were notified and have accepted the meeting date and time...[Client A] was notified...reportedly appeared to liven up and enjoy his day...." Client A's record was reviewed on 10/1/15 at 12:40pm and on 10/2/15 at 9:00am. Client A's 10/8/14 Individual Support Plan (ISP) indicated client A had			

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	co-guardians. Client A's record did not include a BSP (Behavior Support Plan). -Client A's 7/15/15 "General Instructions Risk Plan" indicated Client A "has guardian in place. The guardians have given preferred instructions on the following issues/concerns...Medical: Parents/guardians should be notified of all appointments made. Guardians prefer to attend all appointments when they are available...All medication changes need to be approved by the guardian before implementation...Movies/Internet: [client A] should be encouraged to watch movies with ratings of G, PG, PG-13, if there is no nudity involved. [Client A] should be encouraged to call his parents to discuss watching any other rated movies. [Client A] should have visual supervision when using the Internet. He should be encouraged to only view and/or engage in G, PG, PG-13 ratings...Relationship/sexual: [Client A] should be encouraged not to engage in a relationship of sexual nature or develop a girlfriend relationship. If he shows this type of interest in a particular person staff should encourage him to call his [Co-Guardians] before making any of those decisions. Remind [client A] of his personal faith...[Client A] is prohibited from getting married without guardian consent...[Client A] should be			

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	encouraged and offered to get his haircut at least once every three weeks. In the past he has preferred to get his haircut with a #2 guard (a clipper setting to cut hair)...If staff write an internal incident report regarding [client A], staff should report this to the guardians as soon as possible." -Client A's 7/15/15 "GizmoPal (GPS Monitoring device) Plan" indicated client A's "Guardians have requested that [client A] purchase and use the GizmoPal watch...The GizmoPal allows [client A] to call his parents/guardians and allows them to contact [client A] via speaker on the watch. The GizmoPal allows [client A's] parents to maintain [client A's] location via GPS...." -Client A's 6/30/15 "Risk Plan for Personal Privacy" indicated "...This is per guardian...if [client A] complains of any pain, issues and/or concerns in areas listed as (a drawing depicting the private areas of the groin, pelvic, and/or buttocks)...If client A complains of non emergency pain in any of these areas staff are to call the guardian and report the complaint to the guardian...Staff should verbally discuss with [client A] that they are calling his guardians to inform them and get further instructions. Staff should not check areas even at [client A's]			

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	request for non emergency issues...." -Client A's ISP indicated client A's diagnoses included, but were not limited to, Moderate Mental Retardation and Autism. Client A's ISP indicated client A was 20 years of age. Client A's record did not indicate documentation of client A being assessed as needing restrictions from Internet access, his personal finances, participating in community outings, being able to have communication or social relationships with females or methods of expressing his personal sexuality. An interview with the Habitation Director of Group Homes (HD) and the Quality Assurance Director (QAD) was conducted on 10/2/15 at 8:45am. The HD and QAD both indicated client A had co-guardians and was admitted on 5/26/14. The HD indicated client A was very concerned regarding his co-guardians finding out that he had spoken to someone outside the family regarding his guardians. The HD indicated the QIDP was the assigned staff who was responsible to coordinate and integrate client A's active treatment programs. The HD indicated the QIDP failed to coordinate and to integrate client A's active treatment programs to ensure client A and his guardians understood			

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	client A's rights. The HD indicated the QIDP failed to develop a training program which supported client A's personal growth and independence. The HD and QAD both stated there was a meeting held with the Ombudsman, APS, Co-Guardians, and the agency staff "around July 16, 2015." The HD and QAD both indicated client A wore a wrist GPS to use as a speaker to communicate with his family. Both indicated the GPS monitoring system was not the group home's system, but rather the guardian's system. Both staff indicated client A had his personal belongings at the group home. Both staff indicated APS and the Ombudsman explained client A's rights to client A's Co-Guardians on 7/16/15 during the meeting. Both staff indicated no guidelines were developed which included how to teach client A his rights with the support of his Co-Guardians. The HD indicated client A did not have behaviors at the group home and did not need a behavior support plan. When asked if client A's guardian was promoting client A's growth and independence, the HD stated, "No, I don't really think so." This federal tag relates to complaint #IN00178082. 9-3-3(a)			

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W 0369 Bldg. 00	483.460(k)(2) DRUG ADMINISTRATION The system for drug administration must assure that all drugs, including those that are self-administered, are administered without error. Based on observation, record review, and interview, for 1 of 5 medications administered (for client C) during the morning medication administration, the facility failed to administer medication without error for client C. Findings include: On 10/1/15 at 6:15am, GHS (Group Home Staff) #2 selected client C's "Omeprazole 40mg (milligrams) (Prilosec), give 1 capsule by mouth 1 time per day 1/2 hour prior to meal" for heartburn. At 6:17am, GHS #2 dispensed the tablet into a medication cup and client C took the medication. At 6:38am, client C consumed his first bite of food at the dining room table. On 10/2/15 at 9:05am, client C's 9/2015 and 10/2015 MARs (Medication Administration Records) and 7/22/15 "Physician's Order" both indicated "Omeprazole 40mg (milligrams) (Prilosec), give 1 capsule by mouth 1 time per day 1/2 hour prior to meal" for	W 0369	Staff will be retrained on physician orders and the ISO Physician orders and Medication Orders Procedure by November 6, 2015 to ensure compliance. Staff will review meds with clients at time of administration. Staff will review with the consumers the physician orders as stated and ensure that the consumer has an informed choice of guidelines for medications as prescribed. Client's physicians will be notified of any refusal of consumer to follow physician orders per CDC policy. Monitor that staff are in compliance will be by Group Home Supervisor doing a Supervised Medication Pass weekly for 30 days then at least bi-weekly. The Habilitation Coordinator will complete a Supervised Medication Pass at least one time monthly. The agency nurse will monitor all medication errors including refusals and follow up with the primary physician on an ongoing basis.	11/06/2015

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	heartburn. On 10/2/15 at 8:45am, an interview with the HD (Habilitation Director of Group Homes) and the QAD (Quality Assurance Director) was conducted. The HD and QAD indicated staff should ensure client C's physician's orders were followed for administering medications before the meal. The QAD indicated the facility followed the Core A/Core B training for medication administration training for staff and the facility's policy and procedure for medication administration. The QAD indicated staff did not follow physician's orders. On 10/2/15 at 10:00am, a review was conducted of the facility's 7/6/15 "Physician's Orders & (and) Medication Administration" policy and procedures indicated each client's physicians orders should be followed. On 10/2/15 at 10:00am, a record review of the facility's undated "Living in the Community" Core A/Core B training for medication administration indicated in "Core Lesson 3: Principles of Administering Medication" medications should be administered according to physician's orders. 9-3-6(a)			

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