

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

PRINTED: 01/15/2019
FORM APPROVED
OMB NO. 0938-039

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 15G442		X2) MULTIPLE CONSTRUCTION A. BUILDING -- B. WING		X3) DATE SURVEY COMPLETED 12/20/2018	
NAME OF PROVIDER OR SUPPLIER RES CARE COMMUNITY ALTERNATIVES SE IN				STREET ADDRESS, CITY, STATE, ZIP COD 402 EWING LN JEFFERSONVILLE, IN 47130			
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E 0000 Bldg. --	<p>An Emergency Preparedness Survey was conducted by the Indiana State Department of Health in accordance with 42 CFR 483.475.</p> <p>Survey Date: 12/20/18</p> <p>Facility Number: 000956 Provider Number: 15G442 AIM Number: 100244760</p> <p>At this Emergency Preparedness survey, Res Care Community Alternatives SE IN was found not in compliance with Emergency Preparedness Requirements for Medicare and Medicaid Participating Providers and Suppliers, 42 CFR 483.475</p> <p>The facility has 8 certified beds. At the time of the survey, the census was 8.</p> <p>Quality Review completed on 01/02/19 - DA</p> <p>The requirement at 42 CFR, Subpart 483.73 is NOT MET as evidenced by:</p>			E 0000			
E 0004 Bldg. --	<p>Based on record review and interview, the facility failed to develop and maintain an emergency preparedness plan that was reviewed and updated at least annually in accordance with 42 CFR 483.475(a). This deficient practice could affect all occupants.</p> <p>Findings include:</p>			E 0004	<p>1.The emergency preparedness program will be reviewed annually by the safety committee and a committee member will sign off on the review form located in the emergency preparedness manual.</p> <p>2.The Safety Committee, program manager, area supervisor and associate executive director</p>		01/19/2019

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 other safeguards provide sufficient protection to the patients. (see instructions.) Except for nursing homes, the findings stated above are disclosable 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 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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E 0007 Bldg. --	<p>Based on record review with the Program Manager on 12/20/18 at 11:02 a.m., the emergency preparedness documentation indicated the last time the plan was reviewed on 07/21/17. Based on interview at the time of record review, the Program Manager confirmed the plan was updated over a year ago.</p>				will ensure the documentation of annual review of the program is in place in the manual.		
	<p>Based on record review and interview, the facility failed to ensure the emergency preparedness plan addressed the special needs of its client population, including, but not limited to, persons at-risk; the type of services the ICF/IID facility has the ability to provide in an emergency; and continuity of operations, including delegations of authority and succession plans in accordance with 42 CFR 483.475(a)(3). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:03 a.m., the emergency preparedness plan failed to address the special needs of its client population, including, but not limited to, persons at-risk; the type of services the ICF/IID facility has the ability to provide in an emergency; and continuity of operations. Based on interview at the time of record review then again during the exit conference, the Program Manager confirmed the lack of documentation.</p>			E 0007	<p>1.The administrator will ensure the emergency plan policies and procedures addresses the special needs of its client population, including, but not limited to, persons at risk, the type of services the ICF/IID facility has the ability to provide in an emergency, and continuity of operations, including delegations of authority and succession plans in accordance with 42 CFR 483.475(a)(3).</p> <p>2.The area supervisor and program manager will train all staff on the policies and procedures and the program overview will be placed in the Emergency Disaster Preparedness Manual for reference as needed.</p>		01/19/2019
E 0009 Bldg. --	<p>Based on record review and interview, the facility failed to ensure the emergency preparedness plan</p>			E 0009	<p>1.The emergency plan policies and procedures will be updated to</p>		01/19/2019

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E 0013 Bldg. --	<p>included a process for cooperation and collaboration with local, tribal, regional, State, or Federal emergency preparedness officials' efforts to maintain an integrated response during a disaster or emergency situation, including documentation of the ICF/IID facility's efforts to contact such officials and, when applicable, of its participation in collaborative and cooperative planning efforts in accordance with 42 CFR 483.475(a)(4). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:05 a.m., no documentation was available to show the group home included a process for cooperation and collaboration with local, tribal, regional, State, or Federal emergency preparedness officials' efforts to maintain an integrated response during a disaster or emergency situation. Based on interview at the time of record review, the Program Manager confirmed no contact has been made and no more documentation was available for review.</p>		E 0013	<p>include a continuity of operations plan which addresses notification of the Indiana State Department of Health during a disaster or emergency.</p> <p>2.The area supervisor and program manager will train all staff on the updated policies and procedures and the program overview will be placed in the Emergency Disaster Preparedness Manual for reference as needed.</p>		01/19/2019	
	<p>Based on record review and interview, the facility failed to develop and implement emergency preparedness policies and procedures. The policies and procedures must be reviewed and updated at least annually in accordance with 42 CFR 483.475(b). This deficient practice could affect all occupants.</p> <p>Findings include:</p>			<p>1.The emergency plan policies and procedures will be updated and reviewed annually.</p> <p>2.The area supervisor and program manager will train all staff on the updated policies and procedures and the program overview will be placed in the Emergency Disaster Preparedness Manual for</p>			

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E 0015 Bldg. --	<p>Based on record review with the Program Manager on 12/20/18 at 11:05 a.m., the policies and procedures of the facility's emergency preparedness plan indicated the plan was last updated on 07/21/17. Based on interview at the time of record review then again at the exit conference, the Program Manager confirmed the plan has not been updated in over a year.</p> <p>Based on record review and interview, the facility failed to ensure emergency preparedness policies and procedures include at a minimum, (1) The provision of subsistence needs for staff and clients, whether they evacuate or shelter in place, include, but are not limited to the following: (i) Food, water, medical, and pharmaceutical supplies. (ii) Alternate sources of energy to maintain - (A) Temperatures to protect resident health and safety and for the safe and sanitary storage of provisions; (B) Emergency lighting; (C) Fire detection, extinguishing, and alarm systems; and (D) Sewage and waste disposal in accordance with 42 CFR 483.475(b)(1). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on observation with the Program Manager on 12/20/18 at 11:23 a.m., the facility was unable to provide documentation for the policies and procedures for the provision of subsistence needs for staff and residents, whether they evacuate or shelter in place for sewage and waste disposal. Based on interview at the time of record review, the Program Manager confirmed no documentation was available to review for the provision of the aforementioned subsistence</p>		E 0015	<p>reference as needed.</p> <p>1.The administrator will ensure the emergency plan policies and procedures addresses the provision of subsistence needs for staff and clients, whether they evacuate or shelter in place, including but not limited to the following: (i) Food, water, medical, and pharmaceutical supplies. (ii) Alternate sources of energy to maintain – (A) Temperatures to protect resident health and safety and for the safe and sanitary storage of provisions; (B) Emergency lighting; (C) Fire detection, extinguishing, and alarm systems; and (D) Sewage and waste disposal in accordance with 42 CFR 483.475(b)(1).</p> <p>2.The area supervisor and program manager will train all staff on the policies and procedures and the program overview will be placed in the Emergency Disaster Preparedness Manual for reference as needed.</p>		01/19/2019	

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E 0018 Bldg. --	<p>needs.</p> <p>Based on record review and interview, the facility failed to ensure emergency preparedness policies and procedures include a system to track the location of on-duty staff and sheltered clients in the ICF/IID facility's care during and after an emergency. If on-duty staff and sheltered clients are relocated during the emergency, the ICF/IID facility must document the specific name and location of the receiving facility or other location in accordance with 42 CFR 483.475(b)(2). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:25 a.m., no policies and procedures which include a system to track the location of on-duty staff and sheltered clients in the ICF/IID facility's care during and after an emergency was available to review. Based on interview at the time of record review, the Program Manager confirmed no such documentation was available to review.</p>			E 0018	<p>1.The administrator will ensure the emergency plan policies and procedures addresses the tracking of staff and clients, whether they evacuate or shelter in place. Including the consideration of care and treatment needs of evacuees, staff responsibilities; transportation; identification of evacuation locations; and primary and means of communication with external assistance.</p> <p>2.The area supervisor and program manager will train all staff on the policies and procedures and the program overview will be placed in the Emergency Disaster Preparedness Manual for reference as needed.</p>		01/19/2019
E 0020 Bldg. --	<p>Based on record review and interview, the facility failed to ensure emergency preparedness policies and procedures include information for safe evacuation from the ICF/IID facility, which includes consideration of care and treatment needs of evacuees; staff responsibilities; transportation; identification of evacuation location(s); and primary and alternate means of</p>			E 0020	<p>1.The emergency plan policies and procedures will be updated to include a continuity of operations plan which addresses safe evacuation of from the ICF/IID facility and includes consideration of care and treatment needs of evacuees; staff responsibilities;</p>		01/19/2019

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E 0022 Bldg. --	<p>communication with external sources of assistance in accordance with 42 CFR 483.475(b) (3). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:32 a.m., no policies and procedures which include information for safe evacuation from the ICF/IID facility, which includes consideration of care and treatment needs of evacuees; staff responsibilities; transportation; identification of evacuation location(s); and primary and alternate means of communication with external sources of assistance was available for review. Based on interview at the time of record review then again during the exit conference, the Program Manager confirmed no evacuation policy was available for review.</p>				<p>transportation; identification of evacuation location(s); and primary and alternate means of communication with external sources of assistance.</p> <p>2.The area supervisor and program manager will train all staff on the updated policies and procedures and the program overview will be placed in the Emergency Disaster Preparedness Manual for reference as needed.</p>		
	<p>Based on record review and interview, the facility failed to ensure emergency preparedness policies and procedures include a means to shelter in place for clients, staff, and volunteers who remain in the ICF/IID facility in accordance with 42 CFR 483.475(b)(4). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review and interview on 12/20/18 at 11:32 a.m., the Program Manager confirmed no policies and procedures which include information about a means to shelter in place for clients, staff, and volunteers who remain in the ICF/IID facility</p>			E 0022	<p>1.The administrator will ensure the emergency plan policies and procedures addresses a means to shelter in place for staff, volunteers and clients who remain in the facility. Including but not limited to the following: (i) Food, water, medical, and pharmaceutical supplies. (ii) Alternate sources of energy to maintain – (A) Temperatures to protect resident health and safety and for the safe and sanitary storage of provisions; (B) Emergency lighting; (C) Fire</p>		01/19/2019

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E 0023 Bldg. --	<p>was available for review.</p> <p>Based on record review and interview, the facility failed to ensure emergency preparedness policies and procedures include a system of medical documentation that preserves client information, protects confidentiality of client information, and secures and maintains the availability of records in accordance with 42 CFR 483.475(b)(4). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:33 a.m., no policies and procedures which include a system of medical documentation that preserves client information, protects confidentiality of client information, and secures and maintains the availability of records was available to review. Based on interview at the time of record review, the Program Manager confirmed no such documentation was available for review.</p>			E 0023	<p>detection, extinguishing, and alarm systems; and (D) Sewage and waste disposal in accordance with 42 CFR 483.475(b)(1).</p> <p>2.The area supervisor and program manager will train all staff on the policies and procedures and the program overview will be placed in the Emergency Disaster Preparedness Manual for reference as needed.</p> <p>1.The emergency plan policies and procedures will be updated to include a continuity of operations plan which addresses a system of medical documentation of from the ICF/IID facility and includes consideration of maintaining protection of confidentiality of patient information and secures and maintains availability of records.</p> <p>2.The area supervisor and program manager will train all staff on the updated policies and procedures and the program overview will be placed in the Emergency Disaster Preparedness Manual for reference as needed.</p>		01/19/2019
E 0024 Bldg. --							

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E 0025 Bldg. --	<p>Based on record review and interview, the facility failed to ensure emergency preparedness policies and procedures include the use of volunteers in an emergency or other emergency staffing strategies, including the process and role for integration of State or Federally designated health care professionals to address surge needs during an emergency in accordance with 42 CFR 483.475(b)(6). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:33 a.m., no policies and procedures which include the use of volunteers in an emergency or other emergency staffing strategies was available for review. Based on interview at the time of record review, the Program Manager confirmed no such documentation was available for review.</p>			E 0024	<p>1. The emergency plan policies and procedures will be updated to include volunteers in an emergency or other emergency staffing strategies including the integration of State and Federal designated healthcare professionals to address surge needs during an emergency.</p> <p>2. The area supervisor and program manager will train all staff on the updated policies and procedures and the program overview will be placed in the Emergency Disaster Preparedness Manual for reference as needed.</p>		01/19/2019
	<p>Based on record review and interview, the facility failed to ensure emergency preparedness policies and procedures include the development of arrangements with other ICF/IID facilities and other providers to receive residents in the event of limitations or cessation of operations to maintain the continuity of services to ICF/IID clients in accordance with 42 CFR 483.475(b)(7). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:33 a.m., no policies and procedures which include the development of</p>			E 0025	<p>1. The emergency plan policies and procedures will be updated to include a continuity of operations plan which addresses arrangements with other ICF/IID facilities and/or other providers to receive residents in the event of limitations or cessation of operations to maintain the continuity of services.</p> <p>2. The area supervisor and program manager will train all staff on the updated policies and procedures and the program overview will be placed in the</p>		01/19/2019

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E 0026 Bldg. --	<p>arrangements with other ICF/IID facilities and other providers to receive residents in the event of limitations or cessation of operations to maintain the continuity of services to ICF/IID clients was available for review. Based on interview at the time of record review, the Program Manager confirmed no such documentation was available for review.</p> <p>Based on record review and interview, the facility failed to ensure emergency preparedness policies and procedures include the role of the ICF/IID facility under a waiver declared by the Secretary, in accordance with section 1135 of the Act, in the provision of care and treatment at an alternate care site identified by emergency management officials in accordance with 42 CFR 483.475(b)(8). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:39 a.m., no policies and procedures which include the role of the ICF/IID facility under a waiver declared by the Secretary, in accordance with section 1135 of the Act was available for review. Based on interview at the time of record review, the Program Manager confirmed no such documentation was available for review.</p>			E 0026	<p>Emergency Disaster Preparedness Manual for reference as needed.</p> <p>1.The administrator will ensure the table of contents for the emergency disaster preparedness manual is updated to include the location of the policy on the Roles of the facility Under a Waiver declared by Secretary is in the emergency preparedness manual.</p> <p>2.The area supervisor and program manager will train all staff on the table of contents, the policy and procedure, where to locate the policy, and the policy will be placed in the Emergency Disaster Preparedness Manual for reference as needed.</p>		01/19/2019
E 0029 Bldg. --	<p>Based on record review and interview, the facility failed to develop and maintain an emergency preparedness communication plan that complies</p>			E 0029	<p>1.The emergency plan policies and procedures will develop and maintain an emergency</p>		01/19/2019

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E 0033 Bldg. --	<p>with Federal, State, and local laws was reviewed and updated at least annually in accordance with 42 CFR 483.475(c). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:40 a.m., the emergency preparedness communication plan was updated on 07/21/17. Based on interview at time of record review, the Program Manager confirmed the communication plan was updated over a year ago.</p>				<p>preparedness plan that complies with Federal, State and local laws that must be reviewed annually.</p> <p>2. The area supervisor and program manager will train all staff on the updated policies and procedures and the program overview will be placed in the Emergency Disaster Preparedness Manual for reference as needed.</p>		
	<p>Based on record review and interview, the facility failed to ensure the emergency preparedness communication plan includes (4) A method for sharing information and medical documentation for clients under the ICF/IID facility's care, as necessary, with other health care providers to maintain the continuity of care; (5) A means, in the event of an evacuation, to release client information as permitted under 45 CFR 164.510(b)(1)(ii); (6) A means of providing information about the general condition and location of clients under the facility's care as permitted under 45 CFR 164.510(b)(4) in accordance with 42 CFR 483.475(c)(4). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:33 a.m., no documentation was available for a communication plan which includes (4) A method for sharing information and medical documentation for clients</p>			E 0033	<p>1. The emergency plan policies and procedures will develop and maintain an emergency preparedness plan that complies with Federal, State and local laws that must be reviewed annually to include a method for sharing information and medical documentation for patients under the facility's care; a means of releasing patient information as permitted under 45 CFR 164.510(b)(1)(ii); a means of providing information general information and location of patients as permitted under 45 CFR 164.510(b)(1)(ii).</p> <p>2. The area supervisor and program manager will train all staff on the communication plan and the plan will be present in the Emergency Disaster Preparedness Manual for</p>		01/19/2019

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NAME OF PROVIDER OR SUPPLIER RES CARE COMMUNITY ALTERNATIVES SE IN				STREET ADDRESS, CITY, STATE, ZIP CODE 402 EWING LN JEFFERSONVILLE, IN 47130			
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E 0034 Bldg. --	<p>under the ICF/IID facility's care, as necessary, with other health care providers to maintain the continuity of care; (5) A means, in the event of an evacuation, to release client information as permitted under 45 CFR 164.510(b)(1)(ii); (6) A means of providing information about the general condition and location of clients under the facility's care. Based on interview at the time of record review, the Program Manager confirmed no documentation was available for review.</p> <p>Based on record review and interview, the facility failed to ensure the emergency preparedness communication plan includes a means of providing information about the ICF/IID facility's occupancy, needs, and its ability to provide assistance, to the authority having jurisdiction or the Incident Command Center, or designee in accordance with 42 CFR 483.475(c)(7). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:45 a.m., the facility was unable to provide documentation for a communication plan including a means of providing information about the ICF/IID facility's occupancy, needs, and its ability to provide assistance, to the authority having jurisdiction or the Incident Command Center, or designee. Based on interview at the time of record review, the Program Manager confirmed no documentation was available for review.</p>		E 0034	<p>reference as needed.</p> <p>1.The administrator will ensure the emergency plan policies and procedures will be updated to include a method to share occupancy needs and ability to provide assistance to the Authority Having Jurisdiction.</p> <p>2.The area supervisor and program manager will ensure the policies and procedures update including a method to share occupancy needs and ability to provide assistance to the Authority Having Jurisdiction is present in the Emergency Disaster Preparedness Manual for reference as needed.</p>		01/19/2019	
E 0035							

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Bldg. --	<p>Based on record review and interview, the facility failed to ensure the emergency preparedness communication plan includes a method for sharing information from the emergency plan that the facility has determined is appropriate with clients and their families or representatives in accordance with 42 CFR 483.475(c)(8). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:45 a.m., the facility was unable to provide documentation for a communication plan which includes a method for sharing information from the emergency plan that the facility has determined is appropriate with clients and their families or representatives. Based on interview at the time of record review, the Program Manager confirmed no documentation was available for review.</p>			E 0035	<p>1.The administrator will develop and maintain an emergency preparedness plan that complies with Federal, State and local laws that must be reviewed annually to include a method for sharing information the facility has determined appropriate, with clients and their family or representatives.</p> <p>2.The area supervisor and program manager will ensure the policies and procedures update including a method to share occupancy needs and ability to provide assistance to the Authority Having Jurisdiction is present in the Emergency Disaster Preparedness Manual for reference as needed.</p>		01/19/2019
E 0036 Bldg. --	<p>Based on record review and interview, the facility failed to develop and maintain an emergency preparedness training and testing program that was reviewed and updated at least annually in accordance with 42 CFR 483.475(d). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:50 a.m., no emergency preparedness training and testing plan was available for review. Based on interview at the time of record review, the Program Manager</p>			E 0036	<p>1.The administrator will ensure the emergency plan policies and procedures annual emergency training and testing program in accordance with CFR 483.475(d) is implemented in all locations and evidence of the annual training and testing is present in the EPP manual.</p> <p>2.The area supervisor and program manager will train all staff on the annual training and testing and the training and testing documentation will be present in</p>		01/19/2019

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E 0037 Bldg. --	<p>confirmed no such documentation was available for review.</p> <p>Based on record review and interview, the facility failed to ensure the emergency preparedness training and testing program includes a training program. The ICF/IID facility must do all of the following: (i) Initial training in emergency preparedness policies and procedures to all new and existing staff, individuals providing services under arrangement, and volunteers, consistent with their expected roles; (ii) Provide emergency preparedness training at least annually; (iii) Maintain documentation of the training; (iv) Demonstrate staff knowledge of emergency procedures in accordance with 42 CFR 483.475(d) (1). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:50 a.m., no emergency preparedness training and testing program was available for review. Based on interview at the time of record review, the Program Manager confirmed no documentation was available for the emergency preparedness training and testing program.</p>			E 0037	<p>the Emergency Disaster Preparedness Manual for reference as needed.</p> <p>1.The administrator will ensure the emergency plan policies and procedures initial training in emergency preparedness policies and procedures to all new and existing staff, annual emergency training, documentation of the training and staff demonstration of knowledge of the emergency procedures is completed in accordance with CFR 483.475(d) (1) and present in the EPP manual.</p> <p>2.The area supervisor and program manager will provide initial training to all existing staff and new staff and the training and testing documentation will be present in the Emergency Disaster Preparedness Manual for reference as needed.</p>		01/19/2019
E 0039 Bldg. --	<p>Based on record review and interview, the facility failed to conduct exercises to test the emergency plan at least annually, including unannounced</p>			E 0039	<p>1.The administrator will ensure the emergency plan policies and procedures includes the</p>		01/19/2019

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K 0000	<p>staff drills using the emergency procedures. The ICF/IID facility must do all of the following: (i) participate in a full-scale exercise that is community-based or when a community-based exercise is not accessible, an individual, facility-based. If the ICF/IID facility experiences an actual natural or man-made emergency that requires activation of the emergency plan, the ICF/IIC facility is exempt from engaging in a community-based or individual, facility-based full-scale exercise for 1 year following the onset of the actual event; (ii) conduct an additional exercise that may include, but is not limited to the following: (A) a second full-scale exercise that is community-based or individual, facility-based. (B) a tabletop exercise that includes a group discussion led by a facilitator, using a narrated, clinically-relevant emergency scenario, and a set of problem statements, directed messages, or prepared questions designed to challenge an emergency plan; (iii) analyze the ICF/IID facility's response to and maintain documentation of all drills, tabletop exercises, and emergency events, and revise the ICF/IID facility's emergency plan, as needed in accordance with 42 CFR 483.475(d) (2). This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 11:55 a.m., no documentation was available for a second community-based or tabletop exercise drill. Based on interview at the time of record review, the Program Manager confirmed that only one exercise was available for review.</p>				<p>participation in a full-scale community based exercise and a table top exercise in accordance with CFR 483.475(d)(2) and present in the EPP manual.</p> <p>2.The area supervisor and program manager will conduct the table top exercise and ensure documentation of the table top exercise and the community based exercise are present in the Emergency Disaster Preparedness Manual for reference as needed.</p>		

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Bldg. 01	<p>A Life Safety Code Recertification Survey was conducted by the Indiana State Department of Health in accordance with 42 CFR 483.470(j).</p> <p>Survey Date: 12/20/18</p> <p>Facility Number: 000956 Provider Number: 15G442 AIM Number: 100244760</p> <p>At this Life Safety Code survey, Res Care Community Alternatives SE IN was found not in compliance with Requirements for Participation in Medicaid, 42 CFR Subpart 483.470(j), Life Safety from Fire and the 2012 edition of the National Fire Protection Association (NFPA) 101, Life Safety Code (LSC), Chapter 33, Existing Residential Board and Care Occupancies.</p> <p>This one story facility was fully sprinkled with the exception of the staff office, the storage room, the air handler room, the east bathroom and the hot water heater room. The facility has a fire alarm system with smoke detection in the corridors, common living areas and hard wired smoke detectors in all client sleeping rooms. The facility has a capacity of 8 and had a census of 8 at the time of this survey.</p> <p>Calculation of the Evacuation Difficulty Score (E-Score) using NFPA 101A, Alternative Approaches to Life Safety, Chapter 6, rated the facility Prompt with an E-Score of 0.6.</p> <p>Quality Review completed on 01/02/19 - DA</p>			K 0000			
K S345 Bldg. 01	<p>NFPA 101 Fire Alarm System - Testing and Maintenance</p>						

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K S346	<p>Fire Alarm System - Testing and Maintenance 2012 EXISTING (Prompt) A fire alarm system is tested and maintained in accordance with an approved program complying with the requirements of NFPA 70, National Electric Code, and NFPA 72, National Fire Alarm and Signaling Code. Records of system acceptance, maintenance and testing are readily available. 9.7.5, 9.7.7, 9.7.8, and NFPA 25 Based on record review and interview, the facility failed to ensure 1 of 1 fire alarm systems was maintained in accordance with 9.6.1.3. LSC 9.6.1.3 requires a fire alarm system to be installed, tested, and maintained in accordance with NFPA 70, National Electrical Code and NFPA 72, National Fire Alarm Code. NFPA 72, 7-3.2 requires testing shall be performed in accordance with the Table 14.4.5 Testing Frequencies. NFPA 72, 14.4.5.3.1 states sensitivity shall be checked within 1 year after installation. NPFA 72, 14.4.5.3.2 states sensitivity shall be checked every alternate year thereafter unless otherwise permitted by compliance with 14.4.5.3.3. This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 between 10:29 a.m. and 10:59 a.m., no documentation for a smoke detector sensitivity test was available for review. Based on interview at the time of record review, the Program Manager acknowledged the aforementioned condition and confirmed no other documentation was available for review.</p> <p>NFPA 101 Fire Alarm System - Out of Service</p>			K S345	<p>1.The administrator will ensure annual functional testing for initiating devices such as smoke detectors, release devices, and fire alarm boxes is performed by Koorsen Fire and Security on the fire alarm system and that reports of the tests/inspections are available in the facility for review.</p> <p>2.The administrator will ensure sensitivity testing of the fire alarm system is completed by Koorsen Fire and Security every alternate year after install and that reports of the tests/inspections are available in the facility for review. Koorsen Fire and Security will also forward inspection reports to the QA Manager for monitoring of completion.</p> <p>3.The executive director and the QA manager will meet with Koorsen Fire and Security to ensure they are completing all system testing as required by LSC 9.6.1.3 and NFPA 14.4.5.3.2.</p>		01/19/2019

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Bldg. 01	<p>Fire Alarm System - Out of Service 2012 EXISTING (Prompt)</p> <p>Where a required fire alarm system is out of service for more than four hours in a 24-hour period, the authority having jurisdiction shall be notified, and the building shall be evacuated or an approved fire watch shall be provided for all parties left unprotected by the shutdown until the fire alarm system has been returned to service.</p> <p>33.2.3.4.1, 9.6.1.3, 9.6.1.5, 9.6.1.6</p> <p>Based on record review and interview, the facility failed to provide a complete 1 of 1 written policy for the protection of residents indicating procedures to be followed in the event the fire alarm system has to be placed out of service for four hours or more in a twenty four hour period in accordance with LSC, Section 9.6.1.6. This deficient practice affects all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 10:59 a.m., the facility provided fire watch documentation but it was incomplete. The plan failed to include contacting the insurance company and contacting the Indiana State Department of Health via the Web Portal. Based on an interview record review, the Program Manager acknowledged the lack of documentation.</p>			K S346	<p>1.The administrator will ensure the Fire Watch Policy for the fire alarm system includes the web link for contacting the Incident Reporting system located on the Indiana State Department of Health Gateway.</p> <p>2. The Program Manager will ensure the correct Fire Watch Policy is in the home.</p>		01/19/2019
K S351 Bldg. 01	<p>NFPA 101 Sprinkler System - Installation Sprinkler System - Installation</p> <p>Where an automatic sprinkler system is installed, for either total or partial building coverage, the system shall be in accordance with Section 9.7 and shall initiate the fire alarm system in</p>						

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	<p>accordance with Section 9.6, as modified below. The adequacy of the water supply shall be documented.</p> <p>In Prompt Evacuation facilities, an automatic sprinkler system in accordance with NFPA 13D, Standard for the Installation of Sprinkler Systems in One and two Family Dwellings and Manufactured Homes, shall be permitted.</p> <p>Automatic sprinklers shall not be required in closets not exceeding 24 square feet and in bathrooms not exceeding 55 square feet, provided that such spaces are finished with lath and plaster or materials providing a 15-minute thermal barrier.</p> <p>In Prompt Evacuation Capability facilities where an automatic sprinkler system is in accordance with NFPA 13, Standard for the Installation of Sprinkler Systems, automatic sprinklers shall not be required in closets not exceeding 24 square feet and in bathrooms not exceeding 55 square feet, provided that such spaces are finished with lath and plaster or material providing a 15-minute thermal barrier.</p> <p>In Prompt Evacuation Capability facilities in buildings four or fewer stories above grade plane, systems in accordance with NFPA 13R, Standard for the Installation of Sprinkler Systems in Residential Occupancies up to and including Four Stories in Height, shall be permitted.</p> <p>Initiation of the fire alarm system shall not be required for existing installations in accordance with 33.2.3.5.6.</p> <p>Where an automatic sprinkler is installed, attics used for living purposes,</p>						

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K S353 Bldg. 01	<p>storage, or fuel-fired equipment are sprinkler protected by July 5, 2019. Attics not used for living purposes, storage, or fuel-fired equipment meet one of the following:</p> <ol style="list-style-type: none"> 1. Protected by heat detection system to activate the fire alarm system according to 9.6. 2. Protected by automatic sprinkler system according to 9.7. 3. Constructed of noncombustible or limited-combustible construction; or 4. Constructed of fire-retardant-treated wood according to NFPA 703. <p>33.2.3.5.3, 33.2.3.5.3.1, 33.2.3.5.3.3, 33.2.3.5.3.4, 33.2.3.5.3.6, 33.2.3.5.7</p> <p>Based on observation and interview, the facility failed to provide sprinkler protection for 1 of 1 office. This deficient practice could affect staff only.</p> <p>Findings include:</p> <p>Based on observation with the Program Manager on 12/20/18 at 12:01 p.m., the office lacks a sprinkler head or sprinkler coverage. Based on interview at the time of observation, the Program Manager confirmed no sprinkler protection was provided for the office.</p> <p>NFPA 101 Sprinkler System - Maintenance and Testing Sprinkler System - Maintenance and Testing 2012 EXISTING (Prompt) NFPA 13 and 13R Systems All sprinkler systems installed in accordance with NFPA 13, Standard for the Installation of Sprinkler Systems, and NFPA 13R, Standard for the Installation of Sprinkler Systems in Residential Occupancies Up To and Including Four Stories in Height, are inspected, tested</p>			K S351	<p>1.The administrator will ensure sprinkler head or sprinkler coverage is provided for the office.</p> <p>2.The program manager will ensure installation of sprinkler head installation for the office by Koorsen Fire and Safety.</p>		01/19/2019

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	<p>and maintained in accordance with NFPA 25, Standard for Inspection, Testing and Maintenance of Water Based Fire Protection System.</p> <p>NFPA 13D Systems</p> <p>Sprinkler systems installed in accordance with NFPA 13D, Standard for the Installation of Sprinkler Systems in One- and Two-Family Dwellings and Manufactured Homes, are inspected, tested and maintained in accordance with the following requirements of NFPA 25:</p> <ol style="list-style-type: none"> 1. Control valves inspected monthly (NFPA 25, section 13.3.2). 2. Gauges inspected monthly (NFPA 25, section 13.2.71). 3. Alarm devices inspected quarterly (NFPA 25, section 5.2.6). 4. Alarm devices tested semiannually (NFPA 25, section 5.3.3). 5. Valve supervisory switches tested semiannually (NFPA 25, section 13.3.3.5). 6. Visible sprinklers inspected annually ((NFPA 25, section 5.2.1). 7. Visible pipe inspected annually (NFPA 25, section 5.2.2). 8. Visible pipe hangers inspected annually (NFPA 25, section 5.2.3). 9. Buildings inspected annually prior to freezing weather for adequate heat for water filled piping (NFPA 25, section 5.2.5). 10. A representative sample of fast response sprinklers are tested at 20 years (NFPA 25, section 5.3.1.1.1.2). 11. A representative sample of dry pendant sprinklers are tested at 10 years (NFPA 25, section 5.3.1.1.15). 12. Antifreeze solutions are tested annually (NFPA 25, section 5.3.4). 13. Control valves are operated through 						

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	<p>their full range and returned to normal annually (NFPA 25, section 13.3.3.1).</p> <p>14. Operating stems of OS&Y valves are lubricated annually (NFPA 25, section 13.3.4).</p> <p>15. Dry pipe systems extending into unheated portions of the building are inspected, tested and maintained (NFPA 25, section 13.4.4).</p> <p>A. Date sprinkler system last checked and necessary maintenance provided.</p> <p>_____</p> <p>B. Show who provided the service.</p> <p>_____</p> <p>C. Note the source of the water supply for the automatic sprinkler system.</p> <p>_____</p> <p>(Provide in REMARKS information on coverage for any non-required or partial automatic sprinkler system.)</p> <p>33.2.3.5.3, 33.2.3.5.8, 9.7.5, 9.7.7, 9.7.8, and NFPA 25</p> <p>1. Based on record review and interview, the facility failed to maintain 1 of 1 sprinkler system in accordance with 33.2.3.5.8. LSC 33.2.3.5.8.1-15 indicates inspection and testing frequencies as referenced in NFPA 25, Standard for the Inspection, Testing, and Maintenance of Water-Based Fire Protection Systems. This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 between 10:29 a.m. and 10:59 a.m., there was no quarterly testing documentation for the second quarter of 2018 and the fourth quarter of 2017. Additionally, no documentation was available for the monthly gauges and control valve inspections. Based on</p>			K S353	<p>1.The administrator will ensure monthly sprinkler gauge inspections and monthly control valve inspections are conducted by the ResCare maintenance coordinator and is clearly documented on the control valve and gauge inspection tags. Proof of the inspections will be available in the facility for review.</p> <p>2. The program manager will ensure all inspections reports from Koorsen Fire and Safety are conducted and present in the facility. The maintenance coordinator will ensure tags are placed on the system control valve and gauge and will initial the tags</p>		01/19/2019

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

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FORM APPROVED
OMB NO. 0938-039

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 15G442		X2) MULTIPLE CONSTRUCTION A. BUILDING 01 B. WING		X3) DATE SURVEY COMPLETED 12/20/2018	
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	<p>interview at the time of observation, the Program Manager acknowledged the lack of documentation.</p> <p>2. Based on observation and interview, the facility failed to ensure 1 of 1 sprinkler systems were provided with spare sprinklers, a spare sprinkler cabinet and a sprinkler wrench on the premises. NFPA 13R, Standard for the Installation of Sprinkler Systems in Low Rise Residential Occupancies, 2010 Edition, Section 11.1 states at least three spare sprinklers of each type, temperature rating, and orifice size used in the system shall be installed on the premises. NFPA Section 11.3 states sprinkler systems shall be inspected, tested and maintained in accordance with NFPA 25. NFPA 25, Standard for the Inspection, Testing, and Maintenance of Water-Based Fire Protection Systems, 2011 Edition, Section 5.4.1.4 states a supply of spare sprinklers (never fewer than six) shall be maintained on the premises so that any sprinklers that have been operated or damaged in any way can be promptly replaced. The sprinklers shall correspond to the types and temperature ratings of the sprinklers on the property. The sprinklers shall be kept in a cabinet located where the temperature in which they are subjected will at no time exceed 100 degrees Fahrenheit. A special sprinkler wrench shall be provided and kept in the cabinet to be used in the removal and installation of sprinklers. This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on observation with the Program Manager on 12/20/18 between 10:29 a.m. and 10:59 a.m., only four sprinkler head spares were in the sprinkler cabinet. Additionally, no sprinkler</p>				<p>at each inspection for the review of the authority having jurisdiction upon request. The program manager will complete periodic checks to ensure the inspections are being completed as required.</p>		

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K S354 Bldg. 01	<p>wrench was available in the sprinkler cabinet. Based on interview at the time of the observation, the Program Manager acknowledged the number of spare sprinklers heads and the lack of a sprinkler wrench.</p> <p>NFPA 101 Sprinkler System - Out of Service Sprinkler System - Out of Service 2012 EXISTING (Prompt) Where a required automatic sprinkler system is out of service for more than 10 hours in a 24-hour period, the authority having jurisdiction shall be notified, and the building shall be evacuated or an approved fire watch system be provided for all parties left unprotected by the shutdown until the sprinkler system has been returned to service.</p> <p>33.2.3.5.3, 9.7.6.1, 15.5.2 (NFPA 25) Based on record review and interview, the facility failed to provide a 1 of 1 written policy containing procedures to be followed in the event the automatic sprinkler system has to be placed out-of-service for 10 hours or more in a 24-hour period in accordance with LSC, Section 9.7.5. LSC 9.7.5 requires sprinkler impairment procedures comply with NFPA 25, 2011 Edition, the Standard for the Inspection, Testing and Maintenance of Water-Based Fire Protection Systems. NFPA 25, 15.5.2 requires nine procedures that the impairment coordinator shall follow. This deficient practice could affect all occupants.</p> <p>Findings include:</p> <p>Based on record review with the Program Manager on 12/20/18 at 10:59 a.m., the facility provided fire watch documentation but it was incomplete. The plan failed to include contacting</p>			K S354	<p>1.The area supervisor and program manager will ensure the Fire Watch Policy is in the emergency preparedness manual in the home for review as needed.</p> <p>2.The area supervisor will train all staff on the Fire Watch Policy and ensure all staff know the location of the policy for reference when needed.</p>		01/19/2019

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	the insurance company and contacting the Indiana State Department of Health via the Web Portal. Based on an interview record review, the Program Manager acknowledged the lack of documentation.						