

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

PRINTED: 08/07/2009
FORM APPROVED
OMB NO. 0938-0391

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 14G168	(X2) MULTIPLE CONSTRUCTION A. BUILDING _____ B. WING _____		(X3) DATE SURVEY COMPLETED C 01/08/2009
NAME OF PROVIDER OR SUPPLIER BELLEFONTAINE PLACE			STREET ADDRESS, CITY, STATE, ZIP CODE 98 DEBRA LANE, P.O. BOX 225 WATERLOO, IL 62298		
(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)	(X5) COMPLETION DATE	
W 149 W9999	Continued From page 9 On 12/30/08, at 4:15 p.m., E1 (Administrator) presented a revised "Drivers Inspection Report" stating that this form had been revised after the 12/3/08 accident. This form has an added check for "All safety belts secured". This form, however, does not provide a method to ensure that seat belts are working properly prior to transport and that seatbelt tension is sufficient to protect individuals. FINAL OBSERVATIONS LICENSURE VIOLATIONS 350.620a) 350.3240a) Section 350.620 Resident Care Policies a) The facility shall have written policies and procedures governing all services provided by the facility which shall be formulated with the involvement of the administrator. The policies shall be available to the staff, residents and the public. These written policies shall be followed in operating the facility and shall be reviewed at least annually. Section 350.3240 Abuse and Neglect a) An owner, licensee, administrator, employee or agent of a facility shall not abuse or neglect a resident. (Section 2-107 of the Act) These REGULATIONS were not met as evidenced by: Based on interview and record review, the facility failed to implement their system to prevent	W 149 W9999			

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W9999	<p>Continued From page 10</p> <p>neglect for 1 of 1 individuals who expired due to injuries received while being transported in an agency vehicle with the potential to affect 15 of 15 individuals of the facility (R's 2-16).</p> <p>The facility failed to:</p> <ol style="list-style-type: none"> 1. Implement their own policies and procedures for neglect when the facility failed to provide a level of supervision to ensure the physical safety of R1. Facility staff failed to ensure that R1's seatbelt was secured at all times while in transport and that the tension of the seatbelt was sufficient to protect R1. When the agency van braked to avoid a collision, R1 received fatal injuries. R1 expired on 12/4/08. 2. Ensure a procedure for staff regarding the securing of seatbelts and sufficient seatbelt tension prior to transporting individuals of the facility. <p>Findings include:</p> <p>A review of the resident roster dated 12/1/08 documents that at the time of R1's death there were 16 individuals in the facility: one functioning in the profound range of mental retardation, three functioning in the severe range of mental retardation, and twelve functioning in the moderate range of mental retardation.</p> <p>In review of a resident roster dated 12/1/08, R1 functioned in the moderate range of mental retardation. R1's 11/4/08 physician's orders document that R1 was a 79 year old female with medical diagnoses of: Hiatal Hernia, Reflux, Hypertension, Ataxia, Incontinence, Osteoarthritis, Post Bilateral Knee Replacement,</p>	W9999			

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W9999	<p>Continued From page 11 and Osteopenia.</p> <p>R1's 8/19/08 Individual Service Plan (ISP) documents R1's full scale intelligence quotient at 51 (Stanford- Binet/5th edition - 12/13/06). Per her Scales of Independent Behavior dated 8/18/08, R1's overall adaptive functioning was at 6 years/6 months. The communication section of R1's ISP documents that a 9/24/02 speech and language evaluation was completed. R1's speech was intelligible and a structured speech program was not recommended. R1's ISP further documents that R1 depended on a walker for mobility and required glasses during all waking hours. The dietary section of her ISP documents that R1 was overweight, weight ranging from 177-187 (ideal body weight 99-128). The cognitive section of her ISP documents that R1 had the ability to read and write.</p> <p>10/15/08 Behavior Management/Resident Rights Committee notes document that R1's sister had health care power of attorney for R1.</p> <p>A 12/3/08 fax from R1's residential facility to the Department states that on 12/3/08, R1 was admitted to the hospital after a witnessed fall. A follow-up note dated 12/5/08 states that on 12/3/08, at approximately 10:30 a.m., R1 was in route to a scheduled appointment. E3 (Direct Service Person - DSP), "took evasive action to avoid an accident with another vehicle. (R1) fell forward from her seat, hitting her knees on the floor and then hitting her chest on the center console." 911 was called and R1 was transported to the hospital. R1 expired on 12/4/08 at 11:05 a.m.</p> <p>An ambulance report dated 12/3/08, 10:22 a.m.</p>	W9999			

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W9999	<p>Continued From page 12</p> <p>was reviewed. Per this report, "driver stated she had to make a sudden stop while pulling out of a parking lot when (R1's) seatbelt gave way and plunged her into the front of the van hitting her head. (R1) stated she was restrained, but felt very loose...complains of a headache....bruising noted to (R) {right} eye."</p> <p>Per review of hospital notes dated 12/3/08 and 12/4/08, the following is documented:</p> <p>R1 was admitted for, "Severe trauma to the chest and neck with internal thoracic hemorrhage and airway tamponade, respiratory failure secondary to this...The patient had to be intubated...in a motor vehicle accident in which she hit the dashboard with her face, neck and chest...as the workup was progressing, she started to get severe stridor and respiratory distress...intubated to protect her airway. At first, it was thought that this stridor was caused from swelling and trauma directly to the airway...it was found that the patient has severe internal bleeding, which is causing tamponade to her airways in the right side of the neck as well as atelectasis and tamponade to the right lung."</p> <p>"Again, this (respiratory failure) is secondary to the bleeding in the chest and the neck from the trauma. Given the severity of this injury I discussed with the family...likely we will wean the patient off the vent (ventilator) and do comfort measures only."</p> <p>A 12/3/08 CT scan of R1's maxillofacial area documents the following:</p> <p>"There is extensive soft tissue swelling over the right forehead, right periorbital, right lateral</p>	W9999			

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W9999	<p>Continued From page 13</p> <p>temporal region, right cheek...The floor of the mouth and anterior cervical spine and prevertebral soft tissue planes are grossly abnormal...primary consideration would be hemorrhage...With a history of motor vehicle accident, hemorrhage most likely."</p> <p>A 12/3/08 CT scan of R1's angio/chest area documents the following:</p> <p>"The epicenter of the hemorrhage is to the right of midline with hemorrhage displacing the trachea anteriorly. There is a right pleural effusion with right upper lobe atelectasis with left lower lobe atelectasis as well."</p> <p>A 12/3/08 CT scan of R1's brain documents the following:</p> <p>"There is soft tissue swelling/soft tissue thickening in the area of the arytenoids with a subcutaneous hematoma right cheek measuring 12x8 mm. The soft tissue swelling extends right preseptal up over the right forehead."</p> <p>A 12/3/08 CT of R1's cervical spine documents the following:</p> <p>"Large amount of blood in the neck extending almost from the level of the base of the skull all the way into the chest...primary consideration that this is an arterial bleed...which vessel uncertain."</p> <p>There is a note from Z1 (physician), stating that due to the severity of the injury and R1's Do Not Resuscitate order, that R1 be weaned from the ventilator and provided comfort measures only. The family agreed.</p>	W9999			

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W9999	<p>Continued From page 14</p> <p>A 12/3/08 "Controlled Substance Infusion Flowsheet" documents that on 12/3/08 R1 was administered Morphine Sulfate beginning at 19:40 (9:40 p.m.). R1 expired on 12/4/08 at 11:25 a.m.</p> <p>On 12/30/08, E1 (Administrator) presented surveyor with the facility's investigation. E1 (Administrator) confirmed (12/30/08 at 12:15 p.m.) that E1 was present for the facility's interview with R2 on 12/5/08. E3 was interviewed by E4 (Administrator) and E5 (Trainer) on 12/11/08.</p> <p>A 12/3/08 facility GP-15 entitled "Progress Notes" was reviewed. This note is handwritten and signed by E3 (DSP). This note documents that at 9:35 a.m., R1, R2, and R3 boarded the facility van. R2 was sitting behind the driver. R1 was beside R2. R3 was sitting in the front seat." After hearing seat belts click we left...A utility truck in front of me braked & (and) turned w/o (without) signal. I braked to avoid collision. (R1) came out of her seat to her knees. And came forward hitting head on console."</p> <p>A 12/5/08 facility GP-15 entitled "Progress Notes" was reviewed. This note documents that E1 (Administrator) interviewed R2, who was sitting next to R1 in the van. (In review of a resident roster dated 12/1/08, R2 functions in the severe range of mental retardation, requires behavior medication and has a guardian. Her 9/18/08 ISP documents an intelligence quotient of 40 on the Stanford-Binet LM. Her 9/3/08 Scales of Independent Behavior document an overall age equivalent of 6 years).</p>	W9999			

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W9999	<p>Continued From page 15</p> <p>E1 asked R2 if R1 was buckled into her seatbelt. R2 answered, "Yes, I helped her." This note is signed by E1 and dated 12/5/08. R2 printed her first name on this document also.</p> <p>Another interview by E4 and E5 with R2 is dated 12/11/08. When asked if R2 buckled R1's seat belt, R2 replied, "Yeah." When asked if R2 always buckles R1's seat belt, R2 replied "Yeah." When asked if R1 can buckle her own seatbelt, R2 replied, "No." When asked if R2 can take her seatbelt off by herself, R2 replied, "I help her."</p> <p>However, in a 12/30/08 interview with E1 at 2:40 p.m., E1 (Administrator) stated that she had transported R1 many times since her employment and that R1 could operate her own seatbelt. E1 further stated that R1 always wants peers and staff to complete tasks for her. This was also documented in R1's 8/9/08 ISP.</p> <p>A 12/11/08 interview with E3 (DSP) was conducted by E1 (Administrator). Per this interview E3 confirmed that she did not fill out a pre-trip inspection form. When asked if everyone's seat belts were on, E3 stated that she heard all seat belts click before leaving the residential facility. After dropping R3 off at his day training site, E3 stated, "I looked back before we left (day training site) and they were still across their waists." E3 was asked why she did not fill out a pre-trip inspection form. E3 stated, "I'm not very good about filling out pre-trip inspections. I had checked it because I had pulled it out from in front of the garage for them, but I didn't fill out the report...Whoever sits by (R1) always helps her with her seat belt...someone always helps her, either a peer or staff. E3 stated that she requested help from a</p>	W9999			

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W9999	<p>Continued From page 16</p> <p>man and a woman coming from the side of a store. E3 explained that (R1) had, "come out of her seatbelt."</p> <p>There is no evidence that E3 visually and physically ensured that all seatbelts were secured for R1, R2, and R3 before leaving the facility; and no evidence that E3 ensured that the tension of the seatbelts was sufficient to protect R1, R2, and R3.</p> <p>Additionally, there is no evidence that after dropping R3 off at his day training site, E3 physically ensured that R1's and R2's seatbelts were actually secured and that the tension of the seatbelts was sufficient to protect R1 and R2 prior to leaving the day training site and continuing to their destination.</p> <p>The facility's policy entitled, "Vehicle Policy and Procedure" was reviewed. Per this policy a pre-trip inspection shall be completed prior to all trips. The Driver's Inspection Report (GA-105) is to be completed by the staff operating the facility vehicle.</p> <p>On 12/30/08 at 11:40 a.m., E2 (QMRP) was interviewed. E2 stated that a pre-trip inspection form is to be completed every time the van is utilized. E2 presented a document entitled, "Drivers Inspection Report" - GA-105.</p> <p>In review of this form the following inspections are listed for completion: general condition, leaks, windshield and windows, windshield wiper, horn, fire extinguisher, cleanliness, lights - stop, tail, turn signals headlights, water, fuel, oil, brakes; exhaust: - system, loose muffler, tailpipe; excessive noise, reflectors - emergency; vehicle</p>	W9999			

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W9999	<p>Continued From page 17 registration and proof of insurance card.</p> <p>This form does not provide a method to ensure that seat belts are working properly and that residents are properly secured by seatbelts prior to transport and that seatbelt tension is sufficient to protect individuals.</p> <p>The facility policy entitles, "Investigative Committee" was reviewed. Under this policy, neglect is defined as, "Failure to provide goods and services necessary to avoid physical harm, mental anguish, or mental illness."</p> <p>On 12/30/08, at 4:15 p.m., E1 (Administrator) presented a revised "Drivers Inspection Report" stating that this form had been revised after the 12/3/08 accident. This form has an added check for "All safety belts secured." This form, however, does not provide a method to ensure that seat belts are working properly prior to transport and that seatbelt tension is sufficient to protect individuals.</p> <p>(A)</p>	W9999			