

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: 14G123 | (X2) MULTIPLE CONSTRUCTION A. BUILDING _____ B. WING _____ | | (X3) DATE SURVEY COMPLETED C 02/24/2009 |
|---|--|---|---|----------------------|---|
| NAME OF PROVIDER OR SUPPLIER HART HOUSE | | | STREET ADDRESS, CITY, STATE, ZIP CODE 905 NORTHEAST PERRY STREET PEORIA, IL 61603 | | |
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| W 331 W9999 | Continued From page 28 have to ask (E3)." This request was again made during the daily status meeting report for 2/20/09. There is no evidence that the facility has a policy to address the need for nursing to assess individuals with medical needs. FINAL OBSERVATIONS LICENSURE VIOLATIONS 350.620a) 350.1210 350.1210b) 350.1230b)3)6)7) 350.1230d)2)3) 350.1230e) 350.1610b) 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 350.1210 Health Services The facility shall provide all services necessary to maintain each resident in good physical health. These services include, but are not limited to, the following: b) Nursing services to provide immediate supervision of the health needs of each resident | W 331 W9999 | | | |

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| W9999 | <p>Continued From page 29 by a registered professional nurse or a licensed practical nurse, or the equivalent.</p> <p>Section 350.1230 Nursing Services</p> <p>b) Residents shall be provided with nursing services, in accordance with their needs, which shall include, but are not limited to, the following: The DON shall participate in:</p> <p>3) Periodic reevaluation of the type, extent, and quality of services and programming.</p> <p>6) Development of a written plan for each resident to provide for nursing services as part of the total habilitation program.</p> <p>7) Modification of the resident care plan, in terms of the resident's daily needs, as needed.</p> <p>d) Direct care personnel shall be trained in, but are not limited to, the following:</p> <p>2) Basic skills required to meet the health needs and problems of the residents.</p> <p>3) First aid in the presence of accident or illness.</p> <p>e) Sufficient, appropriately qualified nursing staff shall be available, which may include licensed practical nurses and other supporting personnel, to carry out the various nursing service activities.</p> <p>Section 350.1610 Resident Record Requirements</p> <p>b) The facility shall keep an active medical record for each resident. This resident record shall be kept current, complete, legible and available at all times to those personnel authorized by the facility's policies, and to the Department's representatives.</p> <p>Section 350.3240 Abuse and Neglect</p> | W9999 | | | |

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| W9999 | <p>Continued From page 30</p> <p>a) An owner, licensee, administrator, employee or agent of a facility shall not abuse or neglect a resident. (Section 2-107 of the Act)</p> <p>These Regulations were not met as evidenced by:</p> <p>Based on record review and interview the facility has failed to prevent neglect for one of one individual in the sample (R1) who expired on 1/26/09 at the facility when the facility failed to:</p> <ol style="list-style-type: none"> 1. Provide nursing services in accordance with the needs of one of one client in the sample (R1) when they failed to provide ongoing nursing assessment, monitoring and follow-up of R1's cardiac condition. 2. Implement the facility policy 350.1210, and 350.3750 Medical Care Policies, which states, "All employees of the facility receive emergency first aid training." 3. Follow policy 350.3750 "Consultation services and Nursing services" which states, "A responsible staff person shall be on duty at all times who is immediately accessible, and to whom residents can report injuries, symptoms of illness, and emergencies." 4. Ensure that at least one staff person on duty is trained in first aid and/or CPR. <p>Findings Include:</p> <p>R1 was a 28 year old individual with a diagnosis of mild retardation, depression, allergic rhinitis and GERD per review of physician order sheet, dated 1/1/09. During review of ISP (Individual</p> | W9999 | | | |

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| W9999 | <p>Continued From page 31</p> <p>Service Plan) dated 3/13/08, R1 was admitted to Hart House on 8/30/06. R1 was ambulatory, independent in activities of daily living, communicative and social with peers. R1 was found by staff on 1/26/09, at 5:55 AM unresponsive with no pulse or respiration.</p> <p>Upon review of the electrocardiogram (EKG) report dated 2/12/08, R1 had a borderline abnormal result. On 2/15/08 per ancillary medical services note, R1 was referred to a cardiologist for irregular heart rate and abnormal EKG.</p> <p>On 3/17/08 R1 was referred to a local emergency room for chest pain, per review of the "Take-Home Instructions for the Patient," the clinical impression listed on the discharge orders is noted as "chest wall pain." R1 was prescribed pain medication and sent home with instructions to see her physician in 2 or 3 days for follow-up care.</p> <p>On review of the Ancillary Medical Services note dated 3/19/08, R1 saw her personal physician, the documented reason for referral was "Chest Pain." Under general comments is physical examination within normal limits, chest x-ray next week, follow up pneumonia.</p> <p>On 3/25/08, a stress echo cardiogram was completed on R1. The conclusion from this test states "abnormal baseline echocardiogram as above. Exercise capacity is poor. The patient achieved a level of 2 METs only with a lot of help from the staff supervising the test."</p> <p>A nursing note was written on 3/29/08 stating that R1 saw a cardiologist on 3/14/08 for follow up,</p> | W9999 | | | |

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| W9999 | <p>Continued From page 32</p> <p>document states that R1 was stable and scheduled for echocardiogram. This note goes on to state that R1 was seen in the emergency room for chest pain on 3/17/08, and that the results were negative.</p> <p>A chest x-ray was done on 4/4/08, on R1. The findings documented on the medical imaging/x-ray consultation report dated 4/4/08, were heart size and pulmonary vessels normal in appearance.</p> <p>R1 visited the cardiologist on 4/18/08, documented under "concerns or observations noted" on the Ancillary Medical Services form dated 4/18/08, is "Monitor vital signs with temperature at least daily and call MD if abnormal, Needs discussion of code status with family."</p> <p>On the Nursing Assessment/Consultation form dated 4/30/08 documentation states that R1 does not feel well, is pale and is being followed for continued pneumonia. Under instructions it states "notify phy (physician) of lack of improvement." There is no mention of vital signs being completed as ordered, at least daily, with abnormal findings being reported to physician.</p> <p>The medical imaging/x-ray consultation report dated 5/16/08, states, "The heart and pulmonary vessels are normal in size. There does appear to be a narrowed thoracic cage. No definite infiltrate is seen."</p> <p>On the Nursing Progress note dated 5/23/08 it states "still complaining of SOB (shortness of breath), no cyanosis noted, mild wheezing, no fever, no nasal drainage."</p> | W9999 | | | |

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| W9999 | <p>Continued From page 33</p> <p>On 6/27/08 a nursing progress note was written stating "complains of SOB (shortness of breath) at times, no visible distress today, lungs remain the same no fever no drainage, cough at times."</p> <p>A Nursing Assessment/Consultation Form dated 7/31/08 states "complaining of heart racing," upon assessment states it occurs upon exertion, asked to ambulate to kitchen, room and back. "Pulse up from 80 to 100, slightly short of breath," oxygen level on room air 88 to 89%, denies chest pain, no cyanosis. On this form is the question "Do any of the observations require immediate contact of physician?" No, is checked. Further down the page is the statement, "contact doctor on Monday, report findings." July 31, 2008 was on a Thursday. Under instructions is the statement "limit exertion until seen when client complains." There is no evidence the physician was notified of R1's oxygen saturation level being 88-89% or any follow-up to nursing assessment completed on 7/31/08.</p> <p>The next medical entry is 8/25/08 on Ancillary Medical Services note. Under reason for this referral it states, shortness of breath, chest pain, cyanosis(?) and palpitations. The Physician ordered an event monitor for R1 on this date.</p> <p>On 8/27/08 a Nursing Progress note was written that relates, "client alert, BP (blood Pressure), 80/60. Lungs coarse rales bilaterally, 8/29 eye exam, 8/12 foot doctor, 8/25 seen Dr. for SOB (shortness of breath) and palpitation." There is no mention of event monitor being placed on R1.</p> <p>The results of a pharmacologic nuclear stress test dated 9/2/08, states under impression,</p> | W9999 | | | |

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| W9999 | <p>Continued From page 34</p> <p>"Normal myocardial perfusion study with no evidence of ischemia or infarct. Hyperdynamic left ventricular systolic function."</p> <p>A Nursing Progress Note dated 9/25/08, states "client alert. 9/10 had depo. (medroxyprogesterone) and breast exam PE (physical exam) WNL (within normal limits) BP (blood pressure) 86/62, HR (heart rate) irreg (irregular) and slow denies SOB (shortness of breath) and chest pain. Lungs remain the same coarse rale sounds all fields." There is no further nursing follow-up to R1's lung congestion.</p> <p>On 10/06/08, a report from the event monitor was dictated. This report related that the monitor was in place from 8/25/08 to 9/23/08, for evaluation of symptoms of chest pain and palpitations. The conclusion relates, "This 30 day event recorder demonstrates that the patient's symptoms of rapid heart beat, palpitations, and flutter are related to frequent and isolated ventricular ectopic beats."</p> <p>A nursing assessment/consultation dated 10/27/08, relates stress test, normal. Under review of laboratory work, medical consults etc., it states cardiac event recorder dictation received. Under the question of any observations requiring immediate contact of the physician it is checked, no. Under the area that asks for instructions it relates "monitor."</p> <p>A chest x-ray was performed on R1 on 11/14/08, after she was taken to the emergency room of a local hospital for evaluation due to being involved in a physical altercation at workshop. The report dated 11/14/08 states under impression, "findings suggestive of mild prominence of opacification of</p> | W9999 | | | |

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| W9999 | <p>Continued From page 35</p> <p>the lower lobes bilaterally somewhat increased compared to the previous exam. If symptoms persist, consider high-resolution CT."</p> <p>R1 had a follow-up visit with her cardiologist on 11/17/08. A record of this visit is found on the ancillary medical services note written on the same date. Under concerns or observations it is documented, that R1 is experiencing hypoxemia with oxygen levels of 89% to 90% on room air. In this report is the intention to admit R1 to the hospital. The physician relates R1 has "significant cardiorespiratory issues." This physician goes on to state, "The patient does require O2 (oxygen), and I do not feel she can be safely returned to her original facility. As per discussion with Z1, there is no monitoring there and the patient's acute worsening of symptoms does require inpatient admission." R1 refused admission to the hospital in which the cardiologist was allowed to practice, and demanded to be admitted to another hospital. Included in this same report is the statement that the cardiologist made the arrangements and discussed the case with the other physician before R1 was admitted to another hospital.</p> <p>On 11/17/08 a history and physical was recorded for R1 after she was admitted to the other hospital. R1 was discharged to home the next day with a recommendation to have a methylcholine challenge to verify the diagnosis of reactive airway disease. R1 was also to see Z1 in one week for follow-up.</p> <p>A nursing progress note is written on 11/29/08 which states, "client alert. BP 88/64 P(pulse) 60, lungs remain the same with coarse rales and crackles throughout all fields. Denies SOB,</p> | W9999 | | | |

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| W9999 | <p>Continued From page 36</p> <p>admits tired often." There is no evidence of oxygen saturation levels being monitored.</p> <p>On 12/2/08 a chest x-ray was done on R1. Under finding this report states, mild enlargement cardiac silhouette." The impression is documented as "perihilar predominantly interstitial and alveolar opacities are demonstrated, increased. Radiographic follow-up in four to six-weeks recommended to confirm resolution of these findings."</p> <p>Nursing progress note dated 12/17/08 relates that R1 complained of shortness of breath on exertion. There is no evidence of oxygen saturation levels or vital signs being assessed by the nurse. This is the final documentation by the nurse until after R1 expired on 1/26/09.</p> <p>Another chest x-ray was completed on 1/7/09 with no changes found.</p> <p>R1 was seen by Z3, Psychiatrist on 1/13/09, for the first time. This visit is documented on an ancillary medical services sheet. During this visit R1 complained of "feeling tired always," and also reported that she was hearing voices. Z3 ordered one of her medications to be discontinued and ordered an antipsychotic and an antidepressant.</p> <p>On 1/26/09 at 5:50AM the Peoria Fire Department received a call for help according to the patient care report. The ambulance was dispatched to the home and arrived on scene at 5:52AM. At 5:53 AM they made contact with R1. The report states, "Arrived to find a 28 yof (year old female) in full arrest laying on the floor. Pt had lividity and stiffness in her head and neck</p> | W9999 | | | |

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| W9999 | <p>Continued From page 37</p> <p>and along her back. Pt had not been seen alive since 2100 (9:00PM) the night before." R1 was pronounced dead at 6:03AM.</p> <p>E4, DSP (direct service person) was interviewed on 2/5/09 at 3:05 PM. This surveyor asked him to tell the story of the night R1 died. E4 related that he did "checks around 3:00 AM." When surveyor asked what checks are, did he go into the rooms and visually assess each individual, he related that he did not. He said, "I walked around, there was no noise." He said that about 5:00AM he woke them up, and began passing out medications about 5:15 or 5:20AM. He said that another staff person came in around 5:50AM and he told her that R1 was still sleeping and asked her to go get her up because he was still passing medications. He related that the other staff member went to R1's room and returned and told him that R1 was not breathing. He said he went to the room to check her, he said "she was real cold, nothing was moving, not her chest or nothing. We didn't do CPR (cardiopulmonary resuscitation) because the paramedics got here right away. I asked E4 if he had received CPR training he related "when I was in high school and stuff."</p> <p>During an interview with E2 Direct Service Personnel, she related that she had reported for work at about 6:00AM and had been asked by her co-worker to get R1 up. "I went to her room and called her, she didn't pop-up. She was ashen and cold and the side that she was laying on was kind of red and purple. I came out and said call 911. He called and then he said they said we should start CPR. I pulled her off the bed but by the time we were going to start CPR the ambulance was here. Its been hard."</p> | W9999 | | | |

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| W9999 | <p>Continued From page 38</p> <p>During review of the Accident/Incident Report Form dated 1/26/09 written by E4 at 6:10AM it states, "While serving breakfast, I ask (sp) (staff member E2) to go wake up (R1). (E2) came back to me and told me (R1) was not responding. We both went back there to wake her up. She was not responding to me or (E2), so therefore I called 911. Upon contacting 911 the operator told me to put (R1) on the floor and do CPR. Before we could do CPR, the ambulance (sp) was here."</p> <p>An interview was conducted with E1, Administrator on 2/5/09 at 11:02AM regarding the death of R1. E1 was asked if E4, Direct service personnel had received CPR (cardio pulmonary resuscitation) training? E1 stated "he hasn't had CPR, he was supposed to have it in training but he called off. She (referring to E2) is certified though." When this surveyor asked if the other staff member that E1 referred to had been on duty with E4 all night, E1 related "no."</p> <p>E1 provided a memo dated 12/16/08 that had been sent to E4 regarding DSP classes. The dates for training were January 6, 7, 13, 14, 20 and 21. The memo states "Please be early, as you can be asked to leave the class if you arrive late. These classes and your DSP certification are required for your employment. We have dismissed staff that have not attended these sessions."</p> <p>E1 provided sign-in sheets for each day of the training. E4 had signed in on each of these sheets with the exception of the sign in sheet dated 1/20/09. The name of the module on that date was CPR and first aid.</p> | W9999 | | | |

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| W9999 | Continued From page 39 Z4, Registered Nurse, was interviewed at 1:30PM on 2/11/09 while attempting to reach Z2, Cardiologist. Z4 related that the cardiologist office had not seen R1 since her hospitalization on 11/17/08. Z4 stated, "we haven't seen her since we sent her to (local hospital). Who has been seeing her?" At 3:25PM, on 2/13/09, Z1, Physician, was interviewed regarding the death of R1. Z1 was asked in his opinion, what type of precautions/monitoring, should have been occurring due to the physical health concerns that R1 had been experiencing. Z1 stated vital signs on a regular basis, cardiologist visits. Z1 then stated, "Oh wait she's at a group home, they don't do a lot of that there." Z1 did not comment on R1 not having follow-up with a Cardiologist. Z1 did state that R1 had been hospitalized at a local hospital and thought that she was being seen there. Z3, Psychiatrist, was interviewed on 2/11/09 at 2:30PM regarding his initial visit with R1 on 1/13/09. He was asked if he was aware of R1's cardiac and pulmonary problems prior to prescribing antidepressant and antipsychotic medications. Z1 related that he was not aware of the medical issues but that at the time of this visit R1 appeared to be doing well medically. Z1 further related that his expectation would have been that "the usual" monitoring would have been done. When asked to clarify the "usual," Z3 stated, "checks on everyone periodically like every 15 minutes at night and vital signs every couple of days." Z3 related that he looks at MARs (medication administration records) and charts to try and find medical information but that | W9999 | | | |

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

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| STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION | | (X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 14G123 | (X2) MULTIPLE CONSTRUCTION A. BUILDING _____ B. WING _____ | | (X3) DATE SURVEY COMPLETED C 02/24/2009 |
|---|--|---|---|----------------------|---|
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| W9999 | <p>Continued From page 40</p> <p>a nurse does not provide information for him.</p> <p>E1, Administrator was interviewed on 2/9/09 at 11:20AM and was asked what information is shared with the Physicians before they prescribe medications for the individuals. E1 related that the doctors see the MAR's and the referral sheets. Surveyor related that in R1's case the cardiac and pulmonary issues were not on either of those medical forms, so how would the physician know about them? E1 stated "I guess he wouldn't."</p> <p>Upon review of the "Patient Information Leaflet" provided by the pharmacy dispensing the antidepressant medication prescribed by Z3, it states under precautions, "Before using this medication, tell your doctor or pharmacist your medical history, especially of:.....(e.g. , irregular heartbeat),"</p> <p>During review of antipsychotic medication prescribed by Z3 on "Drugs.com" it states, "Before taking (antipsychotic), tell your doctor if you are allergic to any drugs or if you have:.....heart rhythm problems:".</p> <p>During an interview with E5, Registered Nurse on 2/18/09 at 10:35AM, when asked if she would have notified the psychiatrist about R1's cardiac and pulmonary issues prior to administering the medication he had ordered, E5 stated, "I don't carry a drug book around, I don't know that I would have."</p> <p style="text-align: right;">(A)</p> | W9999 | | | |