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EFFINGHAM TERRACE	1101 SOUTH THIRD STREET EFFINGHAM, IL 62401

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W 485	Continued From page 19 speech therapist/physician notified by 4/23/12, to secure orders and secure appointments for evaluations. Baseline programming was implemented for an additional 4 individuals, with staff training as to change in supervision and support. > All steps will be monitored by the QMRP, Administrator and Executive Director. While the Immediate Jeopardy was removed on 4/25/12, the facility remains out of compliance as the facility has not had the opportunity to fully implement and evaluate the effectiveness of their plan.	W 485		
W9999	FINAL OBSERVATIONS Licensure Violations: 350.620a) 350.1060e) 350.1210 350.1230b)7) 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.	W9999		

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W9999	Continued From page 20 Section 350.1060 Training and Habilitation Services e) An appropriate, effective and individualized program that manages residents' behaviors shall be developed and implemented for residents with aggressive or self-abusive behavior. Adequate, properly trained and supervised staff shall be available to administer these programs. Section 350.1210 Health Services The facility shall provide all services necessary to maintain each resident in good physical health. Section 350.1230 Nursing Services 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: 7) Modification of the resident care plan, in terms of the resident's daily needs, as needed. 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:	W9999		

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Based on record review and interview, the facility failed to implement their policy to prevent neglect, when the facility failed to: 1) assess R1 for safe eating skills prior to further diet upgrades to mechanical soft and regular texture, after a full mouth extraction, and his readmit to the facility on a pureed diet; 2) provide and implement safeguards at meal times, when R1 refused his physician prescribed modified texture diets and when R1 refused assistance in cutting up his own regular textured foods; 3) ensure that current supervision levels, safe eating programs and texturally modified diets/altered liquids were re-evaluated; and 4) review the need for revision regarding the facility's policies and procedures relative to assessment of safe eating/modified diets, for 1 individual (R1) whose 3/25/12 choking resulted in death, for an additional 3 individuals who receive mechanically altered diets/altered liquids (R's 2, 4 & 5), and for an additional 3 individuals who are on formal safe eating programs (R's 2, 3 & 6).

Findings include:

1. In review of R1's 1/12/12 Individual Service Plan (ISP), R1 was 48 years of age (4/27/65 date of birth). R1 functioned in the moderate range of mental retardation, with an intelligence quotient of 50 (WAIS-III of 12/13/07). His 1/6/12 Scales of Independent Behavior - Revised (SIB-R), document an overall functioning level at 6 years of age. R1 had a state guardian.

Diagnoses, per the 1/12/12 ISP, include Gastroesophageal Reflux Disease (GERD), and Anxiety. R1 received Ranitidine for his GERD and Xanax for his Anxiety.

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W9999	Continued From page 22 This ISP states that R1 was able to swallow soft foods, drink from a glass and eat with utensils. A 3/25/12 facility document entitled "Safety Committee," states that R1 was on a regular diet, with no compromise for texture, and that R1 was edentulous, having had surgery to remove his teeth two years ago. (The 3/28/12 facility "Investigation Final Report," documents that on 3/3/10, R1 had surgical removal of his teeth, with Post Surgery Aspiration Pneumonia on 3/4/10, when R1 aspirated on blood after the surgery). In review of a 4/6/10 speech therapy evaluation (after 3/3/10 full mouth extraction), conducted at a local nursing home, R1 was hospitalized from 3/26/10-4/1/10, then released to the nursing home. This evaluation states states that R1 had a swallowing disorder involving the oral and pharyngeal phase. Under the "Definite risk of" section, the following areas are checked - Aspiration, Aspiration Pneumonia, Choking, Frequently coughing up food during swallowing, Wet or gurgly voice quality after swallowing liquids. Under the "Presence of oral motor disorders - Oral food retention is checked with an additional hand written note - "unable to chew solids." Under the "Postural difficulties" "poor om (oral motor) movements" is handwritten and the recent extraction of all teeth and sore gums is noted with post-surgical reaction affecting ability to adequately use oropharyngeal structures in swallowing. Under "Existence of other conditions," reduced or inadequate labial closure is documented. The goal of the treatment was for R1 to tolerate safe oral clearance of a pureed diet, advancing to mechanical soft if gum	W9999		

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soreness improved.

Per the speech therapy notes from 4/6/10-5/4/10, R1 received swallowing treatment, therapeutic exercises and safety education 5 days a week for 4 weeks. The 5/4/10 discharge notes document that R1 was to return to his group home on a pureed diet and thin liquids. Education was provided to the residential facility that R1, "can tolerate some mech (mechanical) soft foods if prepared correctly."

Per R1's "Physician Certification" record, R1 was readmitted to the facility on 6/9/10, and there is a 6/15/10 physician's order for "Mechanical soft diet as tolerated."

In a 4/18/12, 9:30 a.m., interview with E1 (Administrator), E1 confirmed that R1 received orders for a regular consistency diet on 4/20/11.

In review of a 3/18/12 facility document entitled "Investigation Final Report," it states that on 3/25/12, at 5:55 p.m., R1 was consuming his evening meal, which consisted of pork cutlets, potatoes, peas, apricots and ice cream. E2 (direct service person - DSP) heard R1 cough and asked R1 if he was okay. When R1 did not respond, E2 provided back blows, with no results. E2 called for assistance. E2 and E3 (DSP/cook) removed R1 from his chair and provided abdominal thrusts. 911 was called and Cardio Pulmonary Resuscitation (CPR) was provided until the paramedics arrived and took over the scene. R1 was taken to a local hospital, then airlifted to another hospital in Springfield.

4/2/12 hospital records document admit diagnosis

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as Cardiopulmonary arrest secondary to asphyxia. R1 was kept under Hypothermia protocol for 24 hours, remained on a ventilator throughout his hospital stay, developed seizures, with poor prognosis. The state guardian decided to withdraw care at this time. R1 received Morphine and Ativan post extubation and was pronounced dead on 3/30/12 at 1736.

Discharge diagnosis (4/2/12 hospital record) is documented as Cardiopulmonary arrest secondary to asphyxia secondary to choking, Mental Retardation, Depression, Gastroesophageal reflux disease.

In review of the 3/25/12 paramedic report, three pieces of "peach" (apricot, as per the 3/25/12 facility report) were removed. The two small pieces were described as 1/2 inch chunks. The other section was described as 1/2 inch by 3 inches.

In a 4/18/12, 1:20 p.m., interview with Z1 (Paramedic), Z1 confirmed that she had written this report, and described the last piece of fruit dislodged as "large" and approximately 1/2 inch by 3 inches. Z1 further stated that the large piece fully occluded R1's airway.

In review of a 3/25/12 facility document entitled "Safety Committee," it states that after R1's surgery to remove his teeth, R1 was initially offered a pureed diet. "He did not accept the diet well. He requested the regular diet. He requested that he cut his food into small pieces himself which he has done successfully."

In a 4/18/12, 9:30 a.m. interview with E1, E1

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confirmed that R1 refused his pureed and mechanically soft diets, stating that he was not a baby, and that R1 insisted on cutting his own food and could do so. E1 further confirmed that after R1's readmit to the facility (6/9/10 from a nursing home), R1 was readmitted on a pureed diet, and was edentulous. E1 stated that R1 had not had a swallow evaluation since his return, and since his upgrade in diets (pureed to mechanically soft on 6/19/10 {per physician's order}, and to regular on 4/20/11 {same above interview}).

In a 4/18/12, 2:20 p.m. phone interview with E4 (Dietary Consultant), E4 stated that some individuals who are edentulous can handle regular textured foods and some cannot. E4 stated that it is based on the individual. There is also a broad spectrum in the definition of mechanical soft diets. When there is a change in dentition, a speech therapist swallow/feeding evaluation is where she would start and would be "better safe than sorry."

2. R1's formal programs (ISP of 1/12/12) are documented as follows: behavior (refusals to eat and take medications, excessive sleeping and crying), communication, money self-medication, self-care for toothbrushing, occupational and physical therapy exercises, self-care for bathing and self-care for incontinence.

Secondary priorities (ISP of 1/12/12/) are identified as: room care, laundry care, exercise, making healthy nutritional choices, nail care and clothes shopping, all of which are addressed through staff assistance, reminders and monitoring.

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W9999	Continued From page 26 In a review of R1's 1/12/12 ISP, formal programs and secondary priorities, there is no provision for and implementation of safeguards at meal times for R1 regarding his insistence of a regular diet, and his insistence in cutting up his own regular textured food. E1 was interviewed on 4/18/12, at 3:35 p.m. Regarding provision of safeguards at mealtimes for R1, E1 stated such provisions were "probably not" contained in the ISP. The facility did not provide any evidence of such provisions prior to the exit of this survey. 3. - In review of R2's 3/12 physician's orders, R2 functions in the moderate range of mental retardation, with an additional diagnosis of GERD, is on a regular diet, and requires nectar thickened liquids. In review of R2's 6/10/11 ISP, R2 has a formal eating and drinking program. The program states that after a swallow evaluation, R2 was prescribed thickened liquids. R2 also has a tendency to take too big of bites does not chew her food properly. Per the program, R2 will receive verbal prompts to slow down, take smaller bites and will be monitored at all times when eating or drinking. - In review of R3's 3/12 physician's orders, R3 functions in the moderate range of mental retardation, with additional diagnosis of GERD, and is on a regular diet.	W9999		

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Her 9/9/11 SIB-R documents an overall age level of 4 years and 2 months.

Her 10/6/11 ISP documents a formal eating program is required, as R3 has issues with taking too big of bites and eating too fast. This program is to be implemented at all meals. When R3 is observed to be eating too fast, staff will ask R3 to slow down, take smaller bites and chew all of her food before taking another bite.

- In review of R6's 3/12 physician's orders, R6 functions in the moderate range of mental retardation and receives a regular diet.

R6 has a 12/1/11 formal eating program which addresses taking too big of bites and eating too fast. R6 is to be monitored at all meals and is to be verbally prompted to slow down, take smaller bites and chew all of his food before taking another bite.

- R4's 3/12 physician's orders document that R4 functions in the moderate range of mental retardation and requires a regular diet, with mechanical soft texture.

- R5's 3/12 physician's orders document that R5 functions in the severe range of mental retardation and requires a regular diet, with mechanical soft texture.

In review of a 3/26/12 facility report to the Department, R1's choking death was reported to have occurred on 3/25/12. Per this document, it also states, "A Safety Committee was held to determine strategies for prevention of choking."

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W9999	Continued From page 28 In a 4/17/12, 12:00 p.m. interview with E1, E1 was asked what strategies were implemented for the prevention of choking. E1 stated that the facility held an in-service for staff and that she would retrieve the documentation. E1 then presented documentation that direct care staff received re-training in First Aid and CPR on 4/2/12. The following facility documents were reviewed: 4/2/12 inservice, personal charts for R's 2, 3, 4, 5 & 6, 3/25/12 Safety Committee meeting, and the facility's 3/28/12 final investigation report. In review of the above documents there is no evidence that the facility re-evaluated current supervision levels, programs and diets of individuals on altered diets - (mechanically soft - R's 4 & 5), and (nectar thickened liquids - R2); and for individuals with objectives for safe eating programs (R's 2, 3 & 6). 4. Surveyor requested a copy of the facility's dietary policy/policies. The 11/1 policy is entitled "Food Service - Menus, Diet Modifications, Therapeutic Diets, and Standardized Recipes." The purpose of the policy is, "To provide a variety of meals that are well balanced, palatable, satisfying, meet the recommended daily allowances and health needs of each individual." In review of this policy there is no evidence of any criteria as to when individuals should be evaluated for safety in eating as related to the possible need for alterations in solid or liquid textures.	W9999		

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W9999	Continued From page 29 In review of the 3/25/12 Safety Committee meeting recommendations, and the "Committee Analysis" section of the facility's 3/28/12 final report, there is no evidence of any review of current dietary policies. In a 4/18/12, 3:35 p.m., interview with E1, E1 confirmed that the facility does not have policies or procedures as to when or what factors would precipitate the need for an evaluation of safe eating skills, and the possible need for alterations in solid or liquid textures. The facility's 7/3 "investigative Committee" policy was reviewed. Per this policy, neglect is defined as, "Failure to provide goods and services necessary to avoid physical harm, mental anguish, or mental illness." (A)	W9999		