

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

PRINTED: 02/07/2014  
FORM APPROVED  
OMB NO. 0938-0391

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>145818</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING _____  B. WING _____		(X3) DATE SURVEY COMPLETED  <b>C</b> <b>10/03/2013</b>
NAME OF PROVIDER OR SUPPLIER  <b>ASTA CARE CENTER OF ROCKFORD</b>			STREET ADDRESS, CITY, STATE, ZIP CODE <b>707 WEST RIVERSIDE BOULEVARD ROCKFORD, IL 61103</b>		
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F 406	Continued From page 40 A Psychiatric Evaluation for R8 dated 9/15/13 discharge plan includes Individual Psychotherapy, Group Psychotherapy, Medication Monitoring, Partial Hospital Program, and home. (no nursing facility is identified)  On 9/24/13 E2 (Director of Nursing) said when she was questioned about R8's recent suicide attempt, they implemented suicide watch every fifteen minutes. The monitoring sheets showed that the watches were implemented on 9/19/13. (E2 not aware R8 was a suicide risk on admission)  E6 said on 9/25/13 at 2:45 PM, R8 wants to sign out AMA (Against Medical Advise) I don't know what to do. I don't agree he is a sick man.  R8 was observed walking down the road in front of the facility with a plastic bag on 9/25/13 at 3:30 PM.	F 406			
F9999	FINAL OBSERVATIONS  Licensure Violations  300.610a) 300.610c)1) 300.1210a) 300.1210b) 300.1210c) 300.1210d)3)6) 300.1220b)3)10) 300.3240a) 300.3240b) 300.3240c)	F9999			

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F9999	Continued From page 41 300.3240d) 300.3240f)  Section 300.610 Resident Care Policies  a) The facility shall have written policies and procedures governing all services provided by the facility. The written policies and procedures shall be formulated by a Resident Care Policy Committee consisting of at least the administrator, the advisory physician or the medical advisory committee, and representatives of nursing and other services in the facility. The policies shall comply with the Act and this Part. The written policies shall be followed in operating the facility and shall be reviewed at least annually by this committee, documented by written, signed and dated minutes of the meeting.  c) The written policies shall include, at a minimum the following provisions:  1) Admission, transfer and discharge of residents, including categories of residents accepted and not accepted, residents that will be transferred or discharged, transfers within the facility from one room to another, and other types of transfers;  Section 300.1210 General Requirements for Nursing and Personal Care  a) Comprehensive Resident Care Plan. A facility,	F9999			

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F9999	<p>Continued From page 42</p> <p>with the participation of the resident and the resident's guardian or representative, as applicable, must develop and implement a comprehensive care plan for each resident that includes measurable objectives and timetables to meet the resident's medical, nursing, and mental and psychosocial needs that are identified in the resident's comprehensive assessment, which allow the resident to attain or maintain the highest practicable level of independent functioning, and provide for discharge planning to the least restrictive setting based on the resident's care needs. The assessment shall be developed with the active participation of the resident and the resident's guardian or representative, as applicable. (Section 3-202.2a of the Act)</p> <p>b) The facility shall provide the necessary care and services to attain or maintain the highest practicable physical, mental, and psychological well-being of the resident, in accordance with each resident's comprehensive resident care plan. Adequate and properly supervised nursing care and personal care shall be provided to each resident to meet the total nursing and personal care needs of the resident. Restorative measures shall include, at a minimum, the following procedures:</p> <p>c) Each direct care-giving staff shall review and be knowledgeable about his or her residents' respective resident care plan.</p> <p>d) Pursuant to subsection (a), general nursing care shall include, at a minimum, the following and shall be practiced on a 24-hour,</p>	F9999			

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F9999	Continued From page 43 seven-day-a-week basis:  3) Objective observations of changes in a resident's condition, including mental and emotional changes, as a means for analyzing and determining care required and the need for further medical evaluation and treatment shall be made by nursing staff and recorded in the resident's medical record.  6) All necessary precautions shall be taken to assure that the residents' environment remains as free of accident hazards as possible. All nursing personnel shall evaluate residents to see that each resident receives adequate supervision and assistance to prevent accidents.  Section 300.1220 Supervision of Nursing Services  b) The DON shall supervise and oversee the nursing services of the facility, including:  3) Developing an up-to-date resident care plan for each resident based on the resident's comprehensive assessment, individual needs and goals to be accomplished, physician's orders, and personal care and nursing needs. Personnel, representing other services such as nursing, activities, dietary, and such other modalities as are ordered by the physician, shall be involved in the preparation of the resident care plan. The plan shall be in writing and shall be reviewed and modified in keeping with the care needed as	F9999			

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F9999	<p>Continued From page 44 indicated by the resident's condition. The plan shall be reviewed at least every three months.</p> <p>10) Participating in the screening of prospective residents and their placement in terms of services they need and nursing competencies available.</p> <p>Section 300.3240 Abuse and Neglect</p> <p>a) An owner, licensee, administrator, employee or agent of a facility shall not abuse or neglect a resident. (A, B) (Section 2-107 of the Act)</p> <p>b) A facility employee or agent who becomes aware of abuse or neglect of a resident shall immediately report the matter to the facility administrator. (Section 3-610 of the Act)</p> <p>c) A facility administrator who becomes aware of abuse or neglect of a resident shall immediately report the matter by telephone and in writing to the resident's representative. (Section 3-610 of the Act)</p> <p>d) A facility administrator, employee, or agent who becomes aware of abuse or neglect of a resident shall also report the matter to the Department. (Section 3-610 of the Act)</p> <p>f) Resident as perpetrator of abuse. When an investigation of a report of suspected abuse of a resident indicates, based upon credible evidence, that another resident of the long-term care facility is the perpetrator of the abuse, that resident's</p>	F9999			

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F9999	<p>Continued From page 45</p> <p>condition shall be immediately evaluated to determine the most suitable therapy and placement for the resident, considering the safety of that resident as well as the safety of other residents and employees of the facility. (Section 3-612 of the Act)</p> <p>These Requirements are not met as evidenced by:</p> <p>Based on observation, record review, and interview, the facility failed to protect residents (R5, R4, R16) from verbal and physical abuse by a resident with a known history of physical and verbal aggression. The facility failed to have behavioral interventions in place to protect other residents. The facility neglected to follow their policies related to Admission, Violence Prevention, and the Management of Aggressive and Combative Behaviors. This failure resulted in 3 residents (R5, R4, R16) being physically abused by R1.</p> <p>This applies to 4 of 17 residents reviewed for abuse. (R1, R5, R4, R16) in the sample of 17.</p> <p>The findings include:</p> <p>1. R1's Face Sheet shows that R1 was admitted to the facility on 8/16/13. R1's September, 2013 Physician's Order Sheet documents that R1's diagnoses include Unspecified Schizophrenia. R1's Minimum Data Set (MDS) assessment of</p>	F9999			

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F9999	<p>Continued From page 46</p> <p>8/25/13 shows that R1 has a Serious Mental Illness and other related conditions. R1 has moderate cognitive impairment. The same assessment shows that R1 has had no behavioral symptoms.</p> <p>R1 requires only supervision in most of his Activities of Daily Living. R1 is 6 feet tall and weighs 156 pounds.</p> <p>R1's Abuse Risk Indicator Assessment dated 8/23/13 documents a score of 2 (0-2 = low) for possible abuse. R1 is scored as 1 (0-2 = low) for risk for possible aggressive behaviors.</p> <p>A hospital Social Work Consult dated 6/20/13 documents that R1 has a history of aggressive behavior and psychosis. R1's aggressive behavior was physical and verbal. The report shows that R1 hit his room mate three times. The same report showed that R1 had a history of physical aggression and refusing his medication prior to this event. R1's diagnoses included Aggressive Behavior, Agitation, Irritability, Disorganized thoughts, and Non-compliance with Medications. It is documented that Z4 reported R1 was threatening to kill other residents. (previous facility) R1 has had approximately 15 Psychiatric Hospitalizations, and multiple facility placements in which R1 threatened or physically assaulted other residents.</p> <p>The hospital History and Physical for 6/22/13 documents that R1 has past diagnosis that include Bipolar disorder and Schizophrenia. R1 had 30 years of living for the most part in institutions or group homes. The previous facility said that R1 can not return, he has no where to go. He is a potential danger to himself and others and will be admitted involuntary to the Psychiatric</p>	F9999			

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F9999	<p>Continued From page 47</p> <p>ward. He will need long term hospitalization or a residential facility.</p> <p>R1's (nursing notes) showed that from 8/16/2013 until 9/24/13, R1 refused medication 13 days.</p> <p>R1's Nursing Notes document numerous verbal and physical aggressive behaviors beginning one day after his admission to the facility. (8/17/13)</p> <p>On 8/17/13 R1 cursed and screamed at a male resident in the shower room. R1 got into a second altercation with a different resident when that resident got to close to R1 and touched his leg. R1 said " Look Bitch, I will kick your Ass. What the F..k are you doing touching me. Keep your f..cking hands to yourself. I'm going to kick your f..cking ass bitch." Other residents were yelling, "Don't you touch that man, don't hit him, nurse, nurse help him."</p> <p>8/23/13 R1 continues to have behaviors of cursing and being verbally aggressive to other residents.</p> <p>8/25/13 R1 struck another resident in the head. because he was sitting in his chair.</p> <p>8/26/13 Verbal altercation with another resident. R1 very agitated after the resident (R17) pulled up her clothes exposing her body to R1.</p> <p>8/27/13 R1 constantly cursing, difficult to redirect when "mad."</p> <p>8/30/13 Cursed at staff because there was no chocolate milk.</p> <p>9/4/13 R1 was yelling and cursing staff unable to understand what he was saying.</p> <p>9/5/13 Yelling and cursing at another resident. (two occurrences)</p> <p>9/11/13 R1 is verbally abusive to staff and</p>	F9999			



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F9999	<p>Continued From page 48</p> <p>constantly angry and swearing.</p> <p>9/13/13 R1 verbally abusive to another resident at lunch.</p> <p>9/12/13 R1 very hostile, wants to go to the hospital. R1 says he will call 911. R1 was transferred to the hospital, and returned the same day.</p> <p>9/16/13 If anyone made eye contact with R1 he would start yelling and cursing as if to start a fight.</p> <p>9/16/13 3:00 PM, R1 had an altercation with another resident called her a Bitch and said to get out of his chair. R1 sat down next to her and kept yelling and the other resident slapped R1 in the face. R1 then struck that resident in the back of the head. R1 has been walking around all day cursing at everyone he sees.</p> <p>9/17/13 while on the first floor R1 hit another resident. R1 struck the resident on the face and head. (12:45 AM)</p> <p>9/17/13 Nursing Note shows "Per E1 (Administrator) resident (R1) is to return to the second floor to his room. He spent the night downstairs the nurse from downstairs said that R1 was very agitated downstairs"</p> <p>9/18/13 R1 began yelling "F.ck You" to the staff.</p> <p>9/18/13 7:00 AM, R1 yelling and screaming "F..ck this, F..ck that." R1 started toward another resident swinging, very hard to redirect.</p> <p>9/20/13 5:45 AM CNA entered R1's room to get room mate ready for dialysis. R1 got up out of bed and said to the CNA "What are you doing in here bitch?"</p> <p>2:00 PM R1 walking throughout the facility swearing at staff and other residents.</p> <p>2:30 PM R1 sat at dining room table and called the other resident at the table a "Bitch", R1 was threatening the other resident. When staff told R1 to stop he said "F..ck You."</p>	F9999			

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F9999	<p>Continued From page 49</p> <p>R1's Care Plan dated through 12/3/13 documents that R1 has a behavior problem. Resident swears and strikes out at other residents. The goal is that R1 will have no evidence of behavior problems. The approaches include: administer his medications as ordered. Intervene as necessary to protect the rights and safety of others. Approach and speak in a calm manner. Divert attention, remove from the situation.</p> <p>On 9/24/13 at 9:30 AM, E6 (Psycho/Social) said that R1 initiates aggression toward others. He (R1) thinks people are talking about him. He hit R16, he said she was in his chair. R1 was arguing with R4 (second floor) so they sent him (R1) to first floor and put him in the room with R5 and R1 hit him. E6 said that they just try.</p> <p>On 9/24/13 at 2:00 PM, E3 (Registered Nurse) said on the day that R4 egged on R1, they brought R1 to the first floor and put him in in the room with R5. R1 can be helpful, but "when he flips, he flips."</p> <p>On 9/24/13 at 5:45 PM, R1 was observed pacing rapidly back and forth in the dining room during the dinner meal. R1 was talking to himself, and going up to residents and standing by them.( very close) R1 pulled the phone out of the hand of another resident (R4) while she was talking to someone. E10 Certified Nursing Assistant was assigned to do 1:1 with R1. E10 could only follow R1 around, he did not respond to her verbal redirection.</p> <p>2. R5's diagnoses include Psychosis, Depression, Dementia, and Anxiety, according to his 9/2013 Physician Order Sheet (POS). R5's</p>	F9999			

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F9999	<p>Continued From page 50</p> <p>Minimum Data Set of 6/21/2013 documents the resident is cognitively intact. The resident startles easy and has intermittent periods of lethargy. The MDS notes R5 requires supervision with transfers, ambulation, dressing, hygiene and bathing. He ambulates using a walker. R5's careplan of 4/2/2013 shows the resident has impaired individual coping related to Depression and Paranoia.</p> <p>On 9/17/2013, Nursing Notes document at 12:45 AM, R5 was in his bed. R1, who had been placed in his room, began yelling at R5 and started to repeatedly strike R5 on his face and head. Nursing notes state R1 was very vulgar and combative.</p> <p>On 9/24/2013 at 11:30 AM, R5 said, "I was trying to sleep. They moved [R1] from the 2nd floor to my room. I wasn't paying any attention, I thought it was strange they moved him in the middle of the night. He [R1] came over on my side of the curtain screaming, hollering, and hammered me on the head. I had no idea why he was so mad. I hadn't even spoken to him. I don't know know why he would be violent against me. I hollered for help, he was hammering on me. I couldn't do anything, I couldn't move, I just hollered and the aide came in to help me. They put him in my room because he was fighting upstairs. He is extremely violent. I still have a headache. He [R1] pounded my head with his fists. They knew he was violent before they brought him down [to my room]. I don't want those violent people in my room in the middle of the night. He has trouble with more than one person."</p> <p>3. R4 was admitted to the facility on 8/7/2013, according to her Face Sheet. A 10/26/2013</p>	F9999			

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F9999	<p>Continued From page 51</p> <p>Subpart S Screening Form documents R4's diagnoses includes Bipolar Disorder II. She has a history of substance abuse disorders. An Abuse and Aggressive Behavior Screening of 8/9/2013 showed R4 is at medium risk for possible abuse and is at high risk for aggressive behavior.</p> <p>On 9/24/2013 at 9:30 AM, E6 (Psychosocial Director) said on 9/17/2013, R4 and R1 were arguing and fighting. R1 slapped R4 in the head during the argument.</p> <p>4. R16's September, 2013 Physician's Orders show that R16's diagnoses include Depressive Disorder and Anxiety. R16's Face Sheet documents R16 was admitted on 7/29/13.</p> <p>R16's MDS Assessment of 8/7/13 documents that R16 has moderate cognitive impairment. R16 has behavior that includes verbal abuse directed at others. R16 requires extensive assistance of 2 or more persons for transfer. R16 does not ambulate and uses a wheel chair for mobility.</p> <p>A Psychiatric Progress Note of 8/13/13 documents that R16 has Schizophrenia. The same report shows that R16 has been aggressive toward staff.</p> <p>R16's Behavior Care Plan dated through 11/20/13 shows that R16 has potential to be physically aggressive by scratching and hitting others. R16 has poor impulse control and a history of harm to others. The goal is that R16 will have less than two episodes of aggressive behavior per day through the next review.</p> <p>R16's care plan for Verbal Abuse dated through 11/20/13 documents the goal for R16 is she will verbalize understanding of need to control</p>	F9999			

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STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>145818</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING _____  B. WING _____		(X3) DATE SURVEY COMPLETED  <b>C</b> <b>10/03/2013</b>
NAME OF PROVIDER OR SUPPLIER  <b>ASTA CARE CENTER OF ROCKFORD</b>			STREET ADDRESS, CITY, STATE, ZIP CODE <b>707 WEST RIVERSIDE BOULEVARD ROCKFORD, IL 61103</b>		
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F9999	<p>Continued From page 52</p> <p>verbally abusive behavior through the next review.</p> <p>The approaches include when R16 becomes agitated intervene before agitation escalates.</p> <p>The Incident Report dated 9/16/13 shows that R1 was involved in a verbal and physical altercation with R16. R1 kept yelling at R16 and she "made contact" with R1 and he "made contact back." R16 reported that R1 hit her in the head.</p> <p>According to the Abuse Prevention Program Policy: Physical Abuse is defined as hitting, slapping, pinching, kicking, and controlling behavior through corporal punishment. Verbal Abuse is defined as the use of oral, written or gestured language that willfully includes disparaging and derogatory terms to residents or families, or within their hearing distance, regardless of their age, ability to comprehend, or disability. The same policy shows that residents who allegedly mistreat another resident will removed from contact with that resident during the course of the investigation. The accused resident's condition shall be immediately evaluated to determine the most suitable therapy, care approaches, and placement, considering his or her safety, as well as, the safety of other residents and employees of the facility.</p> <p>Through interview and record review the surveyor confirmed that the facility took the following steps:</p> <p>1. R1 was removed from the facility on 9/24/13 at</p>	F9999			

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F9999	Continued From page 53 9:30 PM.  2. All mentally ill residents will be reviewed for potential of physical aggressive/explosive behaviors and the care plans will be revised. Completion date of 9/30/13.  3. Actions to be taken when dealing with a physical aggressive and/or explosive behavior resident: Inservicing completion on 9/30/13.  a. Stay Calm. b. Move the resident into a private room away from other residents. c. Use a team approach by getting staff to help. d. Have a one to one with the residents. e. Call the psychiatrist and have the patient seen with in 24 hours. f. Call the Administrator, Director of Nursing, Doctor and family. g. Call the police if you feel your safety is in danger.  4. All staff will be inserviced prior to working the floor on proper policy and procedures in handling residents that display physical aggressive and/ or explosive behavior. Inservicing of staff will be completed by 9/30/13.  (A)  300.615e) 300.615f)	F9999			

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F9999	<p>Continued From page 54</p> <p>300.615 Determination of Need Screening and Request for Resident Criminal History Record Information</p> <p>e) In addition to the screening required by Section 2-201.5 (a) of the Act and this Section, a facility shall, within 24 hours after admission of a resident, request a criminal history background check pursuant to the Uniform Conviction Information Act for all persons 18 years or older seeking admission to the facility unless a background check was initiated by a hospital pursuant to the Hospital Licensing Act. Background checks shall be based on the resident's name, date of birth, and other identifiers as required by the Department of State Police. (Section 2-201.5(b) of the Act)</p> <p>f) The facility shall check for the individual's name on the Illinois Sex Offender Registration web it at <a href="http://www.isp.il.us">www.isp.il.us</a> and the Illinois Department of Corrections sex registrant search page at <a href="http://www.idoc.state.il.us">www.idoc.state.il.us</a> to determine if the individual is listed as a registered sex offender.</p> <p>This REQUIREMENT is not met as evidenced by:</p> <p>The findings include:</p>	F9999			

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F9999	<p>Continued From page 55</p> <p>Based on interview and record review the facility failed to check all of the required sites (Illinois State Police, Identified Offender, and Department of Corrections) to determine if a resident has a criminal history.</p> <p>This has the potential to effect all 106 residents residing in the facility.</p> <p>The finding includes:</p> <p>The facility Data Sheet of 9/24/2013 shows 106 residents reside in the facility.</p> <p>R1, 4, 6, 10 &amp; R13 were reviewed for background checks. R1 had no background checks done; R4 was not checked in the Department of Corrections web site; R6 did not have an Illinois State Police review; R10 was not checked in the Department of Corrections web site; and R13 did not have a Illinois State Police background check.</p> <p>On 9/24/2013 at 1:00 PM, E7 (Care Plan Coordinator) said said E11 (Social Services) is on medical leave. E5 (Community Liaison) has been trained to do them;</p> <p>The facility's undated Background Screening for residents states: In addition to the screening required by Section 2-201.5 (a) of the Act and this Section, a facility shall, within 24 hours after admission of a resident, request a criminal history background check pursuant to the Uniform Conviction Information Act for all persons 18 years or older seeking admission to the facility unless a background check was initiated by a hospital pursuant to the Hospital Licensing Act. Background checks shall be based on the</p>	F9999			



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F9999	Continued From page 56 resident's name, date of birth, and other identifiers as required by the Department of State Police. (Section 2-201.5(b) of the Act)  The facility shall check for the individual's name on the Illinois Sex Offender Registration web site at <a href="http://www.isp.il.us">www.isp.il.us</a> and the Illinois Department of Corrections sex registrant search page at <a href="http://www.idoc.state.il.us">www.idoc.state.il.us</a> to determine if the individual is listed as a registered sex offender.  (B)	F9999			