Iowa Department of Inspections and Appeals
Health Facilities Division
Citation

| Citation Number: 5714 | Fine amount reduced by 35% to $7,150 on June 06,2022 pursuant to Iowa Code Section 135C.43A | Date: May 4, 2022 |
|---|---|---|
| Facility Name: Accura Healthcare of Newton West | | Survey Dates: April 4 – 20, 2022 |
| Facility Address/City/State/Zip<br><br>2130 West 18th St. South<br>Newton, IA 50208 | jm | |

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| 58.28(3)e | Safety. The licensee of a nursing facility shall be responsible for the provision and maintenance of a safe environment for residents and personnel. (III)<br><br>58.28(3) Resident safety.<br>e. Each resident shall receive adequate supervision to protect against hazards from self, others, or elements in the environment. (I, II, III)<br><br>DESCRIPTION:<br><br>Based on clinical record review, observation, family and staff interviews, review of therapy staff education and training, and manufacturer user manual, the facility failed to provide adequate nursing supervision and assistance devices to prevent injury for 1 of 4 residents reviewed for accidents and hazards (Resident #42). The facility also did not consistently formulate interventions to prevent or minimize injury related to falls, and did not conduct a thorough follow-up investigations in order to manage/analyze the cause of the falls for 2 of 4 residents (Resident # 4 and Resident # 24) at risk for falls. As a result, Resident #4 sustained a wrist fracture and Resident #24 a femur fracture. The facility also failed to keep medications locked for 2 of 3 medication and treatment carts. The resident listed on the incident | I | $7,000<br><br>(Collect Fine) | On Receipt |



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| | was included in the sample. The facility reported a census of 41 residents.<br><br>Findings include:<br><br>1. The admission Minimum Data Set (MDS) assessment dated 2/9/22 revealed Resident #42 admitted to the facility on 2/2/22. The MDS documented the resident had diagnoses of atrial fibrillation, osteoporosis, and a fractured left humerus (long bone between the elbow joint and shoulder). The MDS indicated the resident had a fall with a fracture prior to admission. The MDS documented the resident had a brief interview for mental status score of 9 out of 15, indicating moderately impaired cognition. The MDS documented the resident required extensive assistance of one staff for bed mobility, transfers, toilet use and dressing. The MDS documented the resident had impaired range of motion (ROM) to her upper extremity on one side, and had physical therapy (PT) and occupational therapy (OT) services that started on 2/3/22.<br><br>A physician's history and physical dated 1/31/22 revealed Resident #42 had a deformity and proximal left humeral fracture with mild displacement, complicated by osteoporosis, advanced age, and malnutrition. | | | |



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| | A diagnostic imaging x-ray report dated 1/31/22 revealed Resident #42 had a left comminuted and mildly displaced fracture of her left humeral neck.<br><br>The care plan initiated 2/2/22 revealed Resident #42 had a self-care deficit and a fracture to her left humerus due to a recent fall at home. The staff directives included administer medications as ordered, assess for change in condition, provide assistance of one staff for ambulation and transfers, and therapy as indicated.<br><br>The physician's order sheet dated 3/10/22 revealed PT AROM (active range of motion) to the left shoulder and PT/ OT evaluate and treat as indicated.<br><br>The progress notes revealed:<br><br>a. On 3/2/2022 at 10:38 PM, resident on skilled level of care after a recent fall at home which resulted in a left humerus fracture. Resident alert and oriented times three (person, place, time).<br>b. On 3/10/2022 at 7:00 PM, resident returned from a doctor appointment with new orders to discontinue the sling on her arm, PT/OT evaluate and treat, and resident may use walker and have weight bearing as tolerated to her arm. | | | |



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| | c. On 3/24/2022 at 5:58 PM, resident sat in her room and complained of pain in her left upper arm. Ice pack placed to resident's upper arm, but resident still complained of pain. Nurse reported plan to call clinic and get an x-ray of her left arm since the resident had worked more with her arm in therapy.<br>d. On 3/24/2022 at 6:19 PM, telephone order received to obtain left humerus x-ray. Nurse contacted x-ray vendor and requested order stat (right away).<br>e. On 3/24/2022 at 7:15 PM, the resident complained of pain to her left subacute proximal humerus fracture area, rated at a "10". At 7:20 PM, the x-ray technician arrived and obtained an x-ray of Resident #42's left upper extremity. At 8:15 PM, x-ray findings received via fax. Findings were concerning for an acute on subacute to chronic proximal humerus fracture. Staff H called the Director of Nursing (DON). The DON planned to inform the resident and family of the findings: Resident's left upper extremity accidentally struck by "some machine" while in therapy in the AM and resident had increased pain. The DON requested to send the resident to the emergency department (ED) for alternative pain management versus tramadol which had been ineffective for the resident's increased pain to her left humerus. At 8:30 PM, tramadol 25 mg and Tylenol administered for pain rated at "10". Resident reported little to no relief of | | | |



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| | discomfort and had verbal and facial cues of pain with any slight movement or repositioning. At 8:55 PM, order received from the on-call physician to send the resident to the ED. Report called to the ED nurse, and resident sent to the ED at 10:00 PM.<br>f. A late entry note on 3/24/2022 revealed at approximately 8:15 PM and in addition to previously entered interaction with resident and family members, the resident and family had reiterated several different times they did not want to get anybody in trouble and were adamant that the writer not speak with other staff about their conversation, as, again, they didn't want to get anybody in trouble, and that's why they call them accidents. At 12:50 AM (on 3/25/22), the resident's family member called and said the resident's arm was badly broken.<br><br>An incident report dated 3/24/22 at 10:00 AM, revealed at approximately 5:30 PM, the resident's family member reported she had taken Resident #42 to the bathroom. The resident yelled out in pain while she walked down the hall. Staff I, Licensed Practical Nurse (LPN), assessed the resident and grew immediately concerned when the resident's pain was completely different than it had been all day. Staff I called to obtain a STAT x-ray order. A family member then told Staff I therapy had bumped the resident's arm with equipment that AM. The resident stated it | | | |



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| | was an accident and didn't want to get anyone in trouble. Staff I placed an ice pack on the resident's left arm and placed a pillow under her arm. After x-ray obtained and x-ray results received, Staff H, LPN, notified the resident and family member of the results. The facility sent the resident sent to the ED for further evaluation and pain management. A note included on the resident's incident report under a section for the resident's mental status revealed resident only stated "ow" at the time of the incident in therapy, but nothing else reported. The resident continued therapy after the incident and had no increase in complaints of pain or decrease in mobility. That evening, her pain was unbearable. X-ray reported an acute on subacute or chronic fracture of the left humerus. Proper use of equipment marked under a section for predisposing environmental factors. A section for "other information" included the following note: therapy reported as COTA student positioned diathermy on resident she stated it needed to be higher. The COTA student adjusted the machine approximately one inch away from her skin and three inches distal from the shoulder joint when the head of the Diathermy machine dropped on the resident's arm.<br><br>The electronic health record orders revealed a STAT x-ray left humerus ordered due to increased pain and | | | |



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| | limited ROM on 3/24/22 at 6:08 PM, and also an order to transfer resident to the ED for evaluation and pain management related to increased pain and findings from left humerus x-ray.<br><br>A diagnostic Imaging report dated 3/24/22 and compared to prior x-ray 1/31/22 revealed an increased deformity with cortical offset of 8 millimeters medially at the level of the proximal (near the point of attachment to the body) left humeral shaft fracture, and mild inferior subluxation (partial dislocation of one of the bones of a joint) of the humeral head.<br><br>The medication administration record (MAR) dated 3/1- 3/31/22 revealed PRN tramadol 25 mg given by mouth for pain on 3/24/22 at 08:30 AM for pain level rated at "8", 2:36 PM for pain level rated at "8", and at 8:30 PM for pain level rated at "10".<br><br>Review of the OT evaluation and plan of treatment dated 3/21/22 revealed the resident had a left humeral fracture and the planned treatment approach included supervised diathermy modality application.<br><br>An OT treatment encounter note dated 3/24/22 at 10:02 AM, revealed diathermy applied to the | | | |



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| | resident's left shoulder for 15 minutes in order to decrease edema, increase ROM, and reduce chronic pain. A late entry dated 3/25/22 at 7:42 AM revealed while the student positioned the diathermy machine, the head (of the machine) fell and struck Resident #42 on the left upper extremity. Post treatment pain intensity 9 out of 10 to the left upper extremity shoulder.<br><br>The OT discharge summary note dated 3/24/22 revealed resident discharged to the hospital due to re-injury.<br><br>An interdisciplinary discharge summary created 4/12/22 revealed the resident suffered a re-fracture of her left humerus and did not return to the facility.<br><br>The facility's investigation file related to incident on 3/24/22 revealed the following:<br><br>a. On 3/25/22 10:30 AM Staff H, LPN, reported to the Executive Director and DON that on 3/24/22 at approximately 6:00 PM, Staff I, LPN, informed Staff H they were waiting on x-ray to arrive due to an injury that occurred in therapy. X-ray arrived at 7:20 PM. After the x-ray was completed, Staff H returned to the resident's room and offered her pain medication. While in the room, the resident stated she didn't want | | | |



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| | to say anything because she didn't want to get anyone in trouble. The COTA student felt really bad and even came down to the resident's room before she left the building. A family member reported they didn't want to get anyone in trouble, and that's why it was called an accident. The resident stated the machine was placed incorrectly and it bumped her and it hurt so badly, she screamed. Family reported resident not able to eat her food because it hurt too bad. Staff H informed the resident and family she would send her to the ED for further evaluation and pain management.<br><br>b. On 3/25/22 at 10:49 AM, the COTA student reported to the Executive Director and DON an incident occurred on 3/24/22 at approximately 10:00 AM in the therapy gym. The COTA student positioned a diathermy on Resident #42 while she was seated. The resident complained of pain 9 out of 10 previous to the incident. The resident stated the diathermy needed to go higher. As the COTA student stated she adjusted the machine one inch away from the resident's skin, and three inches distal from the shoulder joint when the head of the diathermy dropped on the resident's arm. She heard the resident say "Ow". The resident continued with isometric bilateral strengthening during diathermy treatment. The resident used her right hand to lift her | | | |



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| | shoulder and stated it was due to over-exertion. The COTA student reported she felt bad so she checked on the resident before she left. She looked at the area and noted previous bruising. The COTA student stated she did not report incident to anybody because the COTA instructor and Rehabilitation Director (RD) were present and didn't think the injury was extreme. The resident routinely said "ow" during therapy, but after incident the "ow" was slightly louder than usual.<br><br>c. On 3/25/22 at 11:07 AM, the COTA instructor reported to the Executive Director and DON that she stood behind the resident and COTA student during the incident. Resident #42 sat in a chair while the diathermy got set up by the COTA student. She heard the resident say "ow", then heard the COTA student say "I'm so sorry" and then Resident #42 said "I'm alright".<br><br>d. On 3/25/22 at 1:42 PM, Staff I, LPN, reported to the Executive Director and DON she worked 6 AM-6 PM on 3/24/22. A family member told her a machine bumped Resident #42's left arm. The resident complained of pain 8 out of 10 in the morning and afternoon, and took two pain pills on 3/24/22. Staff I noted the resident's pain was not excruciating as she had not yelled out in pain. At approximately 5:30 PM, the resident's family member said she took the | | | |



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| | resident to the bathroom and walked her down the hallway. The resident yelled out in pain while she walked in the hallway. Staff I told the resident when she could have pain medication, then gave her an ice pack. The resident used her right arm to lift her left arm up in order to place a pillow underneath, but the resident screamed out in pain. Staff I grew concerned as it was totally different than the pain she displayed earlier. Staff I called the physician and got a STAT order for an x-ray. When she let the resident and family know the plan for the x-ray, the family member told Staff I that therapy had bumped the resident's left arm with equipment. The resident stated it was an accident.<br><br>e. On 3/25/22 at 2:15 PM, the RD reported to the DON and ADON an incident that occurred on 3/24/22 at 10:00 AM. After she heard resident say "Ow", she turned around and the COTA student said it slipped. She did not witness the incident as she had her back turned and heard resident say "ow". The resident did not seem to be in any excessive pain or abnormal pain during therapy. The RD reported she treated resident right after the incident with leg activity and walking. The resident was able to grip her walker and push it from the therapy room back to her room at end of the East Hall. The resident did not complain of any additional pain during therapy. | | | |



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| | f. On 3/25/22 at 2:42 PM Staff Q, CNA reported to the Executive Director and DON she heard therapy bumped Resident #42's arm on 3/24/22. Staff Q reported she assisted the resident to the bathroom around 2:30 PM on 3/24/22. The resident appeared to be in pain. She informed Staff I, LPN, and Staff I gave the resident a pain pill. The resident had no stabbing pain prior to supper.<br><br>g. On 3/25/22 at 3:00 PM, Staff X, CNA, reported to the Executive Director and DON she worked 6 AM to 2 PM on 3/24/22. She gave Resident #42 a shower before breakfast. The resident complained her arm hurt but this was normal behavior for this resident. She did not note any skin issues.<br><br>Review of ED triage note and hospital history and physical dated 3/24/22 at 10:20 PM revealed Resident #42 presented to the ED for evaluation of a broken arm. The resident lived in a nursing home due to a fractured humerus and as she worked with PT, they hit her arm on a piece of equipment. The resident had severe pain, and an x-ray noted she had a second fracture. Resident sent to the ED for pain control. The nursing home staff told the ED staff medical equipment in PT malfunctioned which caused the fracture to her arm. The resident reported a machine | | | |



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| | hit her today but no malfunction of any equipment. She broke her arm on 1/31/22 and it had been healing well. An left humerus x-ray 3/24/22 at 11:18 PM revealed an increased deformity with cortical offset of 8 mm medially at the level of the fracture through the proximal shaft of the left humerus. Recommended treatment included immobilization with a sling, outpatient follow up at an Orthopedic Clinic, ice to the area, and Lortab for pain.<br><br>In an interview 04/06/22 at 10:55 AM, a family member reported the resident's arm got broken during therapy when staff placed a machine over her arm. The family member was uncertain what the machine was called but described the machine as white and it went around the resident's arm, and put air or heat to the area.<br><br>In an interview 04/06/22 at 2:30 PM, Staff I, LPN reported she worked the 6 AM-6 PM shift. Resident # 42 admitted to the facility with a left humerus fracture. The resident fell at home and came to the facility for therapy. Staff I stated she worked on the day of the incident with Resident #42, but was unable to recall the date. Staff I reported the resident complained of pain in her left arm and had worked with therapy that day. She gave the resident a pain pill before she went to therapy that day, and again at | | | |



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| | 2:20 PM when the resident requested another pain pill. The resident's family member came to the facility to visit. Around 5:30 or 5:45 PM, the family member came to the nurse's station and asked when the resident could have a pain pill. Staff I told her a pain pill was not due until around 8:00 or 8:30 PM. She reported the resident complained of her left arm hurting. The family member took the resident to the bathroom and then walked with her down the hall. The resident yelled out in pain from her left shoulder. Staff I stated she took the resident an ice pack to put on her left shoulder. At that time, she observed the resident had facial grimacing and pain that was not her norm. She called the doctor and got an order for an x-ray, then called the x-ray vendor to obtain an x-ray on the resident's arm. She gave report to Staff H, LPN, when she left at 6:00 PM.<br><br>In an interview 04/07/22 at 08:19 AM, Staff H, LPN, reported she had worked at the facility for 6 months, and worked the 6 PM - 6 AM shift. Staff H reported Resident #42 admitted from the hospital and had a fractured humerus. She was a frail little lady. On 3/24/22, Staff H reported she came to work at 6:00 PM. Staff I told her the x-ray company was coming to do an x-ray on Resident #42. After report she walked to Resident #42's room and asked her if she wanted a pain pill since x-ray may move her arm during the x- | | | |



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| | ray. The resident requested a pain pill, so she gave her something. The resident said her arm got bumped by a machine in therapy, but the resident told her not to say anything because it was an accident. The family member told her the resident said the therapist had bumped it, and it was an accident. Staff H told them she needed to report the incident. The x-ray vendor came and got x-ray on resident, then when she got the x-ray report, she contacted the physician, and then sent the resident to the ED. She gave report to the ED nurse. Later, the resident's family member called her and asked did you tell them the machine malfunctioned? Staff H said she told them the machine bumped her arm because that is what the resident and family member told her. Staff H stated she could see something like that happen as the (therapy) room is pretty tight quarters. When three people in therapy room it's tight. Staff H stated she reported the incident to the DON.<br><br>In an interview 04/07/22 at 10:02 AM, the RD reported their company contracted with the facility for therapy services. The RD stated she had been a PTA since 1998. The RD reported diathermy treatment was used to help relieve pain, decrease swelling, decrease bruising, and helped stretch a muscle or contracture. She documented on the therapy evaluation the modalities needed such as | | | |



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| | diathermy and then the physician signed off on the therapy evaluation. The RD stated on the day of the incident, a student worked with Resident #42. The resident sat in a chair in the therapy room. The RD reported she worked with another resident at the parallel bars and had her back turned, not paying attention to Resident #42 at that time. She heard Resident #42 say "ow". The RD reported she turned around and looked, and everything seemed ok. She noted the resident had no increase in pain from her norm. Resident #42 already had a fractured humerus. The RD stated she asked the COTA student what happened. The COTA student said the drum slipped a little and hit the resident's arm. The RD said she asked the resident if everything was ok. The resident said it was ok, it was an accident. After diathermy treatment, she worked with the resident for OT, did normal therapy exercises, and walked her back to her room. The resident had no increased pain, other than normal complaints of pain due to a prior fracture. The RD reported the COTA student had worked at the facility for two weeks, and had worked with Resident #42 before.<br><br>In an interview 04/07/22 at 10:00 AM, the COTA student reported she had worked 4 weeks in the facility with the OTA (occupational therapy assistant) program, and went between the facility's East and | | | |



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| | West campus. The COTA student reported she had clinical once a week, in addition to classroom time and learning modalities for the OTA program. The COTA student reported the COTA instructor was present in the building whenever she had clinical. On the day of the incident with Resident #42, it was her 2nd week at the West facility. She had worked with Resident #42 during the first week in therapy. On the second week at the facility, which was the day of the incident, she spoke with the resident in her room. She had increased pain, 9 out of 10, and requested pain medication from the nurse. She placed a gait belt around her and ambulated with the resident to the therapy room. The resident sat down in a chair in the therapy room, she positioned the resident in the chair, and placed the diathermy by the resident's left side. The resident asked her to move the machine up a bit, so she moved the diathermy and when she tightened the diathermy, the drum dropped down. The drum was about 3-4 inches from tuberosity (a large prominence on bone). The resident said "ow". The COTA student said "oh my goodness I'm so sorry". This was the third time she had used the diathermy and adjusted it. She found out later she should move the drum away to tighten it. After diathermy treatment, she had the resident use one pound weights on her right arm, but the resident said the weight was took heavy and she had too much pain | | | |



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| | whenever used the weights on her left arm. The resident did ROM but used her right hand to lift her left arm. The resident had an audible response or moan with any kind of movement. She was recovering from a fracture already. The resident reported pain 9 out of 10, and had no change in pain after diathermy treatment completed. The resident ambulated with a walker back to her room after therapy, and had no indication of anything different from her previous fracture. The COTA student stated she later checked the resident before she left the facility. The resident had a bruise on her arm but she already had a bruise before the incident. The resident told her she had overexerted herself on prior days in therapy 2-3 days beforehand. The resident had used the pulleys on the prior therapy session but not the day of the incident. The resident told her she was super sore and required pain medication.<br><br>In an interview 04/07/22 at 11:20 AM, the COTA instructor reported Resident #42 came to therapy with the COTA student on the day of the incident. The COTA instructor stated she helped the RD stand another resident up in the therapy room and heard Resident #42 complain of pain 9 out of 10, but was agreeable to work with therapy. The COTA instructor reported she heard Resident #42 say "ow", then heard the COTA student say I'm so sorry, are you ok? The | | | |



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| | COTA student told her the drum of the diathermy machine had swung and hit the resident, and bumped the resident's arm. The COTA student readjusted the drum because Resident #42 said it needed adjusted. The resident had her arm inside the chair at the time. After that happened, the resident said she was ok to continue the therapy session. The COTA student did AROM exercises after diathermy treatment, and the resident agreed to work with PT after OT. The COTA instructor reported the COTA student later checked the resident to see if she was ok. The resident continued to complain of pain 9 out of 10.<br><br>On 04/07/22 at 11:30 AM, the COTA student demonstrated application of the diathermy machine on the Regional Therapy Director as the surveyor observed. The COTA student placed the diathermy by his left arm and then as she tightened the knob on the drum, the drum dropped down. The COTA student said she didn't know why it did that, it could be finicky. The COTA student readjusted the knob again until the diathermy drum was positioned within 1 inch of the Regional Therapy Director's arm.<br><br>In an interview 04/07/22 at 12:12 PM, the RD reported an outside company performed maintenance checks on diathermy equipment, and placed a sticker on the back of diathermy machine | | | |



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| | whenever inspected. The sticker revealed 1/24/22. At the time, no owner's manual found on or by the machine. At 12:25 PM, the RD reported owner's manual on digital CD and provided user manual information to the surveyor.<br><br>In an interview 04/11/22 at 2:00 PM, the Maintenance Director reported he had worked at the facility since 8/2021. The Maintenance Director reported they used the TELS system for work orders and to know what repairs or maintenance needed on equipment. The Maintenance Director reported he didn't touch or check equipment in the therapy room.<br><br>In an interview 04/11/22 at 06:30 PM, a local hospital Emergency Department (ED) nurse reported she worked on the evening when Resident #42 came to the hospital ED. She took report from the facility's nurse. Initially she was told a piece of equipment bumped the resident's arm a few days before arrival to the ED. The resident had a broken arm. What resident told her was different than what facility nurse told her. The resident reported she worked with a therapy student, and equipment accidentally bumped her arm, the same arm that already had a fracture. In the ED, she had a left humeral head fracture but the break was worse than the original break. A comparison x-ray showed a new and | | | |



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| | displaced fracture that was bigger than the original fracture. The ED nurse stated when she spoke with the same nurse who gave her report, the nurse told her a piece of equipment malfunctioned, and it had happened that day (the day the resident came to the ED). Upon arrival to the ED, the resident appeared to be in pain and had a hard time moving. The resident didn't want to say anything because the incident occurred with a student, and she felt really bad about it.<br><br>In an interview 04/12/22 at 09:00 AM, the diathermy vendor technician reported he serviced the equipment at the facility, and recently checked the diathermy at the facility. A bolt was stripped and he fixed it, but uncertain on date when he serviced the equipment. He needed to check his computer for the dates.<br><br>In an interview 04/12/22 at 02:42 PM, the DON reported Resident #42 admitted to the facility and had an acute left arm fracture. She had her left arm in a sling, but started therapy after the physician discontinued her sling. The DON stated on the day of the incident, the resident walked down the hall for therapy. Nobody told her about what happened until she got a call from the evening nurse who reported the resident had severe pain in her arm and said a | | | |



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| | piece of equipment bumped her in therapy. The nurse called and got an x-ray, then called the DON back after they got the x-ray results that showed a possible fracture. The DON said she told the nurse to go tell the resident and family about the x-ray results and requested to send the resident to the ED. The DON said the facility did an investigation and found out why the incident was not reported to nursing. The resident always said ow and was not in any acute pain after her arm got bumped. It was reported the machine was approximately three inches from her shoulder and one inch from her skin. After the machine bumped the resident's arm, the student said she was sorry and asked the resident if she was ok, then proceeded to do therapy. The resident ambulated with walker from therapy to her room after therapy. At 2:30 PM, the resident complained her arm hurt but nothing to trigger acute pain. The nurse gave the resident pain medication. Just before supper, a family member took the resident to the bathroom. As the resident walked from her room toward the dining room, the resident cried out in pain. The nurse said the resident was really hurting so she gave her an ice pack, and placed a pillow under her arm. The resident yelled out in severe pain when she moved her arm. | | | |

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| | In an interview 04/13/22 at 01:00 PM, the diathermy vendor technician reported he checked his records and was incorrect when he stated he came to the facility to repair the diathermy. He reported he was at another facility and worked on a diathermy machine where the rear handwheel was stripped out, and the arm was not holding up and he had to switch that out. The technician reported he last performed annual preventative maintenance (PM) at the facility on 1/24/22. The PM entailed checking the diathermy machine. The technician reported the diathermy drum adjusted with a screw knob. The diathermy had multiple screws or knobs. One on the bottom that made the drum swivel back and forth, one that made the arm go up and down, and one that made the drum swivel sideways. The drum weighed about 2 lbs. If the drum dropped down, then most likely the bolt got stripped. Through the years customers tighten the knob really tight and it could cause the bolt to get stripped and then the drum drops down. Staff should tighten the bolt as much as they can and then loosen a little to swivel the drum in place and place it into the position desired. The bolt could strip out over time. The technician acknowledged the facility had not mentioned anything to him about the diathermy drum dropping down or any issues related to the diathermy. When he did the PM in 1/2022, the bolt worked just fine and the machine drum did not | | | |



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| | drop down. If machine not functioning as it should, then the facility should call and let their company know.<br><br>On 04/13/22 at 01:20 PM, the RD provided a copy of COTA student competencies.<br><br>In an interview 04/13/22 at 01:25 PM, the COTA student reported she started webinar trainings on 3/15/22, and also went to class and had clinical time, so the webinar/ competency trainings required by therapy organization took her some time to complete. The COTA student reported she watched the overview of biophysical agents which included modalities such as diathermy on 3/29/22, and completed the competency checklist on 4/11/22.<br><br>In an interview 04/13/22 at 01:30 PM, the RD confirmed the last time the technician came to service diathermy was 1/24/22 per sticker on the machine. The RD stated she did not call the company after the incident occurred with Resident #42. The RD reported the diathermy wheel had teeth or grooves, so if staff didn't get the teeth seated in the grooves of the wheel just right, the wheel may not get tightened enough to hold the drum where you want it. The RD stated if they had a problem with the diathermy equipment, she would call the company to check the | | | |



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| | machine. After the incident, she didn't think there was anything wrong with the diathermy equipment so she did not contact the company to check it. At 02:06 PM, RD reported she was uncertain if diathermy equipment used at school is the same as the diathermy equipment in the facility's therapy department. She thought it had similar features but possibly not the same brand used at the facility.<br><br>In an interview 04/14/22 at 10:15 AM, the RD reported diathermy equipment preventative maintenance check and service were required once a year. Whenever equipment was not working properly or something was wrong, she put a "do not use" sign on the equipment, and let the facility know, and equipment was not used until it got repaired. After incident with Resident #42 she checked the diathermy but determined it wasn't broken, so she did not call for service on the equipment. The RD reported she worked with residents in therapy, in addition to her director position. The COTA instructor responsible for overseeing students whenever students were in the building. The RD reported the COTA student had worked with Resident #42 a couple times, but she was uncertain how many times the COTA student had used the diathermy at the facility. The RD reported the home office investigated the incident. The RD acknowledged she was uncertain if the training | | | |



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| | manual was the same information as the user manual for the diathermy, she hadn't watched the user manual video. The required training competency was a general video about the use of the diathermy machine. The RD reported the therapy company that contracted with the facility had the same brand of diathermy equipment. The RD stated she was unaware of any other staff having problems adjusting the diathermy machine and she didn't know why the diathermy drum dropped down after the COTA student adjusted the knob, she thought she had the knob tight enough.<br><br>In an interview 04/14/22 at 10:37 AM, the COTA student reported it was her second week at the facility when the incident happened with Resident #42. The first week at the facility, she observed her supervising COTA instructor. Prior to the incident she had worked with Resident #42 one other day, on a Wednesday she thought. The day of the incident was the second time she had used the diathermy at the facility on a resident. Her COTA supervisor was with her on both days to oversee her. The COTA student reported she watched two videos about the diathermy. She watched one video about modalities which included diathermy on 3/29/22, and looked through a binder with information on therapies the second week she was at the facility. | | | |



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| | During demonstration of diathermy the COTA student stated she positioned the drum, tightened the knob, and believed she tightened the knob enough, but the drum collapsed. The COTA student then said well not really collapsed, the drum bumped her arm.<br><br>In an interview 04/14/22 at 02:02 PM Staff J, CNA reported she worked 2-10 PM shift. Staff J reported Resident #42 had surgery on her arm and at the facility for therapy. On 3/24/22 around 8 PM, the resident's family member helped the resident to the bathroom. It was the first time she saw the resident that day. The resident complained of a lot of pain and said her arm bothered her. The resident thought maybe she did something in therapy. Staff J stated she could tell the resident was in a lot of pain just by her facial expressions and how she was acting. She helped the resident get dressed and back into her chair. The nurse already knew the resident had pain and sent her to the hospital.<br><br>Review of the facility's vendor service records revealed annual preventative maintenance on diathermy completed on 1/28/21 and 1/24/22. The vendor documented everything in great working condition and equipment ready to go back into service. | | | |



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| | A review of the facility's contracted therapy training and competency checklist for PTA/OTA revealed the COTA student completed on-line training webinar on an overview of biophysical agents completed on 3/29/22, and biophysical agents billing and documentation competed on 4/8/22. All items on the checklist completed by 4/11/22.<br><br>Review of the Intelect SWD 100 - Model 1600 User Manual revealed the following:<br><br>Before administering any treatment to a patient, the user of equipment should read, understand, and follow the information contained in the manual for each mode of treatment available, as well as the indications, contraindications, warnings, and precautions. The unit and its external components (accessory elements) are safe if used properly and in compliance with the explanations and instructions provided in the user manual document. The unit or its external components can pose dangers. Therefore, it is urgently recommended that anyone operating the shortwave diathermy unit become aware of the potential dangers of the unit and its external components before beginning work.<br>o Make certain that the electrode arms and arm extenders are locked firmly into place during | | | |



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| | shortwave diathermy therapy using the front and rear handwheels to prevent unintentional movement.<br>o If the unit is not safe for operation, then it must be repaired by a certified service personnel and operators must be informed of the dangers posed by the unit.<br>o The unit and the electrodes must be positioned so that there is no danger of personal injury.<br>o Before using the unit, verify the patient is not in contact with the unit, the electrode connection cable, the electrodes, or other devices or metal objects.<br><br>The user manual instructions for operation and using the monode (drum) revealed the following:<br><br>1. Loosen the front and rear handwheels and the electrode lock knob of the arm that has the inductive applicator affixed to it.<br>2. Use the arm and arm extender, and position the monode over the treatment area<br>3. Tighten the front and rear handwheels and the electrode lock knob to prevent movement of the arm and monode.<br>4. Depress the tabs of the castor locks to prevent the front wheels from moving.<br>5. Start therapy | | | |



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| | 2. The electronic medical records showed Resident # 4's admission date of 1/15/18 with medical diagnoses including pseudobulbar affect, vascular dementia with behavioral disturbance, anxiety disorder due to known physiological condition, and major depressive disorder. Resident # 4 lives at the facility's Chronic Care and Dementing Illness (CCDI) unit.<br><br>The quarterly MDS (minimum data set) dated 10/5/21 indicated Resident # 4's severe cognitive impairment with a BIMS (brief interview for mental status) score of 0. The MDS also indicated Resident # 4's functional status for ADLs (activities of daily living) as follows: independent for bed mobility; supervision/set up for transfers, ambulation in room and corridor, and eating; and limited assistance/1 person for dressing and toilet use.<br><br>The care plan with last revision date of 6/12/21, showed that Resident # 4 had a potential for injury related to dementia with behavioral symptoms such as inability to always recognize own physical limitations, impairment of balance, and alteration in gait. The care plan goal was for Resident # 4 to "not sustain any serious injury from a fall throughout review period." The plan of actions/interventions at the time included: facility to follow fall protocol with occurrences, pharmacy consult to evaluate | | | |



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| | medications and make recommendations as indicated, and for staff to encourage to call for assistance as needed.<br><br>Observations indicated Resident # 4's fall risk include:<br><br>On 4/4/22 at 2:01 PM, Resident # 4 was observed in her room with walker and walking over fall mattress on the floor below bed. Staff K Registered Nurse (RN) and Staff G Certified Nurse Aide (CNA) entered Resident # 4's room and then Staff K stepped out to take a wheelchair from the hallway and assisted Resident # 4 on it.<br><br>On 4/6/22 at 2:06 PM, Resident # 4 was in the TV room with multiple attempts to stand up from wheelchair. Resident # 4 asked Staff R CNA if he/she could sit in the regular chair. Staff G CNA and Staff R assisted Resident # 4 from wheelchair to regular chair, but after about 2 minutes, Resident # 4 then asked staff if he/she could go to his/her room. Staff G sat with Resident # 4 in the TV room.<br><br>The progress notes revealed the following:<br><br>A. On 12/1/21 Resident # 4 had a fall with timeline documented as follows: | | | |



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| | -At 6:15 PM, Resident # 4 had an unwitnessed fall and was found on floor in a "sitting position next to bed" and complained of pain on left wrist. Resident # 4's left upper extremity had weak grip, unable to wave, with slight swelling noted on lateral side of wrist, unable to make a fist, and continued to voice discomfort;<br>-At 6:30 PM, the swelling on left wrist increased with non-verbal cues of discomfort;<br>-At 6:45 PM, left wrist continued to increase in swelling and Resident # 4 voicing more discomfort;<br>-At 7:00 PM, staff notified the on-call physician, who ordered to send Resident # 4 to the hospital ER (emergency room) for evaluation and treatment;<br>-At 7:45 PM, 2 EMTs (emergency medical technicians) arrived via ambulance and took Resident # 4 to the hospital.<br><br>B. On 12/2/21 at 12:35 AM, Resident # 4 returned to facility from the hospital (Mercy One ER). The hospital nurse reported that Resident # 4 had diagnosis of acute distal ulna fracture with splint in place and not to be removed until follow-up care appointment with orthopedic doctor. The directions regarding Resident # 4's care from the ER, reiterated the orders including: "1-Splint to remain in place until evaluated by [orthopedic doctor] 2-call for appt [appointment] with [orthopedic doctor] for further eval [evaluation] and | | | |



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| | treatment of fracture at Mercy One Newton Orthopedic [address] 3-return to ED [emergency department] if symptoms worsen[.]"<br><br>C. On 12/2/21 at 9:17 AM, Resident # 4's appointment was set with the orthopedic clinic for "December 6 at 0910 for further films and to be seen by physician."<br><br>D. That on succeeding days following the fall, Resident # 4 continued to manifest restlessness and kept moving left hand, and showed indications of discomfort related to fractured left wrist, as documented on the following dates:<br><br>- On 12/2/21 at 6:52 PM, numerous attempts to elevate fractured left wrist, "forgetful" to use call light for assistance at times and "will stand up at bedside and yell for assist (sic) to BR [bathroom]."<br>- On 12/3/21 at 7:05 AM, voiced discomfort on left wrist, 1-3 digits with purple discoloration and swollen, unable to assess 4-5 digits with splint starting from above mid-fingers to mid-forearm, with capillary refill < (less) than 3 seconds (indicating poor perfusion).<br>-On 12/3/21 at 14:51 PM, the left wrist continued to have increased bruising on exposed fingers that were also puffy.<br>-On 12/5/21 at 00:14 AM, with limited movement on left arm. | | | |



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| | -On 12/5/21 at 4:44 PM, numerous episodes of self transfers over the weekend even though educated numerous times to have staff assist.<br>-On 12/5/21 at 4:46 PM, the left hand fingers continue with much bruising, slightly cool, blanche quickly, reports some discomfort to fingers.<br><br>However, the progress notes and other documents reviewed with corresponding interviews related to said records also showed the following:<br><br>A. Missed initial appointment for orthopedic evaluation:<br><br>i) Despite the documented assessments (D) above, there lacked evidence (Resident # 4's electronic progress notes, hard chart, & other facility records) to show that Resident # 4 went for orthopedic evaluation on 12/6/21 at 9:10 AM, as ordered and set on 12/2/21. There also lacked evidence to show the reasons behind Resident # 4's missed appointment. The progress notes entered on 12/6/21 at 1:30 PM or 4 hours after the intended appointment time, indicated that the said appointment (orthopedic evaluation) was reset for 12/20/21 at 9:40 AM and with instruction for Resident # 4 to arrive an hour prior to appointment time. In addition, there lacked | | | |



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| | evidence to show Resident # 4 ever had to "return to ED" for worsening symptoms as ordered on 12/2/21.<br><br>ii) On 4/12/22 at 9:44 AM, Staff S, Licensed Practical Nurse (LPN) stated he/she works as a PRN (as needed) staff member and at times would take care of Resident # 4 when working. Staff S said that he/she has no idea why Resident # 4 did not go to the orthopedic appointment on 12/6/21.<br><br>iii) On 4/12/22 at 12:56 PM when asked if Resident # 4 missed an appointment for evaluation by the orthopedic doctor on 12/6/21 at 9:10 AM and what caused Resident # 4 to miss the said appointment, the Assistant Director of Nursing (ADON) replied, "I don't remember, it must have been transportation or they canceled. I am not sure." The ADON checked through her computer and verified that Resident # 4 did not go for the orthopedic evaluation and verified lack of documentation regarding the rationale for the missed appointment. When clarified if the orthopedic clinic was the one that canceled the appointment, the ADON then said, "I remember calling Iowa Ortho asking them if they really want another film taken because [Resident # 4] was just in the ER." The ADON added that the clinic "returned call saying does not need one and will be seen on the 20th [December]." | | | |



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| | iv) On 4/14/22 at 3:15 PM, Orthopedic Clinic Registered Nurse (OC RN) verified that according to their record, Resident # 4 had an appointment on 12/6/21 at 9:10 AM for evaluation with Dr. MG but was canceled. OC RN reported that their records do not show reason behind the cancellation. When inquired if the orthopedic clinic cancels orthopedic evaluation appointments for patients with fracture and showing signs of restlessness and discomfort, OC RN replied that the only reason they would cancel any appointment is when they have to close due to bad weather or the particular doctor is ill. OC RN also verified that the orthopedic clinic was open and Dr. MG was present for work on 12/6/21.<br><br>v) The progress notes showed that Resident # 4 went for the orthopedic evaluation on the reset date of 12/20/21 (19 days after onset of injury), wherein the orthopedic physician then replaced Resident # 4's wrist splint with a cast. The orthopedic physician's orders included ensuring Resident # 4 to be non-weight bearing on left wrist until follow up; not to get cast wet; and to continue to monitor.<br><br>B. Discrepancies of information in "Self Report" investigation document from that obtained from survey interviews and review of other pertinent documents, as follows: | | | |



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| | i) The "Self Report" documented the following:<br><br>-That Resident # 4 "was found on the floor next to bed in a sitting position by Staff R;<br>-That Resident # 4 was assisted back to bed by Staff S and Staff R using a gait belt;<br>-That a "bedside table with her drinks and snacks within reach" when the incident occurred;<br>-That on 12/1/21 from 6:05 PM through 6:45 PM, Resident # 4 was able to fully move left wrist, with no increase in pain, and no obvious injury noted;<br>-That Dr. Min Pak completed a Major Injury Determination Form and declared Resident # 4's injury as not major;<br>-That Resident # 4 required assistance of 1 for all transfers and ambulation with a wheeled walker, and assisted by 1 staff for all ADLs.<br><br>ii) The interviewees' statements contrary to the above "Self Report" information, are as follows:<br><br>On 4/12/22 at 9:15 AM, Staff H (LPN) stated he/she was the oncoming nurse on 12/1/21 when Resident # 4 had a fall with a fractured left wrist. Staff H stated that her assessments prompted him/her to send Resident # 4 to the hospital and said, "I don't remember details so many things happened, and that | | | |



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| | was a long time ago. It should be in the progress notes." Staff H reported, "[Resident # 4] was independent in room and in the hallways and assist with cares" at the time of the incident.<br><br>On 4/12/22 at 9:44 AM, Staff S stated that he/she was the outgoing nurse that evening on 12/1/21 when Resident # 4 fell at about 5 minutes to 6:00 PM. Staff S said he/she was giving report to the oncoming nurse at that time when notified about the fall. Staff S said that by the time he/she entered Resident # 4's room, Resident # 4 was already up and sitting by the side of bed accompanied by Staff U, Temporary Nurse Aide (TNA). Staff S stated Staff U who was new and "not yet certified" as an aide at that time, transferred Resident # 4 from the floor to sit on the bed side. Staff S said that Resident # 4 was complaining of left hand pain during assessment, and that he/she educated Staff U about not transferring residents after a fall, until after a nurse's assessment. Staff S denied having a hand in transferring Resident # 4 from the floor to bed. Staff S also stated that Resident # 4 was "independent in room" prior to the incident.<br><br>On 4/12/22 at 1:00 PM, when clarified if Staff S and Staff R assisted Resident # 4 from the floor to sit on bed, Staff S reiterated that Staff U helped Resident # 4 and identified Staff R Certified Nurse Aide (CNA) as | | | |



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| | the one who went to "get" Staff S. However, when Staff arrived in the room Resident # 4 was already sitting on the side of the bed.<br><br>On 4/12/22 at 1:54 PM, Resident # 4's family members who were visiting said that they are not satisfied with the facility's interventions regarding Resident # 4's falls. They said that Resident # 4 continues to keep falling with 2 falls in the "last week." Family Member # 3 (FM) said, "Frustrating is all I can say."<br><br>On 4/12/22 at 2:07 PM, Staff R reported that on 12/1/21, he/she was working at the CCDI unit with another CNA named Staff L. Staff R stated that however "another aide named [Staff U] came over to pick something/supplies, I'm not sure but she beat me to [Resident # 4's] room and by the time I got in there, [Resident # 4] was already up." When asked if he/she helped, Staff R answered, "No. I did not help pick [Resident # 4] up."<br><br>On 4/12/22 at 3:30 PM, Staff U (CNA) reported to have worked at the facility for 6 months since 9/21, and that he/she remembered Resident # 4's fall on 12/1/21 because he/she was the one who first responded and found Resident # 4 on the floor in [Resident # 4's] room. Staff U elaborated finding | | | |



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| | Resident # 4 lying and not sitting on the floor, with lunch tray beside [Resident # 4] on the floor. Staff U reported getting Resident # 4 up by him/herself saying, "I grabbed [Resident # 4] under the armpits and guide her up." Staff U also reported not using a gait belt to assist Resident # 4 up from floor. Staff U said that Resident # 4 was independent and "walks on her own and a gait belt is not needed." Staff U stated, "I picked [him/her] up slowly." Staff U further reported that Resident # 4 was "complaining of hurting on left wrist and was changing colors and broken like that so sent [him/her] out." When asked if there was something that should have been done differently, Staff U replied, "No. I think everything was done correctly."<br><br>iii) The progress notes or nurse's assessment notes from 6:05 PM to 6:45 PM on 12/1/21 indicated that Resident # 4 had increased pain, swelling, and inability to move left wrist (timeline of fall assessments documented in A above), which is inconsistent with "Self Report" information.<br><br>iv) The quarterly MDS dated 10/5/21 indicated Resident # 4 was independent for bed mobility; supervision/set up for transfers, ambulation in room and corridor, and eating; and limited assistance/1 | | | |



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| | person for dressing and toilet use only, which is also in conflict with "Self Report" information.<br><br>C. Failure to conduct thorough investigation as revealed by the following:<br><br>i) Aside from the discrepancies of the information contained in the "Self Report" document, it also did not identify all the staff members who intervened in managing Resident # 4's fall on 12/1/21 to include Staff U, who was a TNA at that time.<br><br>ii) The "Self Report" also did not include documented orders from the hospital ED on 12/2/21 including directions to send Resident # 4 to the ED for "increasing" symptoms, and to set up appointment for orthopedic evaluation, which the facility set up to happen on 12/6/21 but wascanceled.<br><br>iii) On 4/12/22 at 9:44 AM, Staff S stated not having talked to anybody about the fall. Staff S stated that he/she only works PRN (as needed) and does not work at the facility all the time, but Staff S reported that there was "some miscommunication about follow-up and x-ray." Staff S stated that the information should be in the chart. | | | |



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| | iv) On 4/13/22 at 3:13 PM, Staff U acknowledged that he/she was a TNA at the time of Resident # 4's fall on 12/1/21. Staff U also acknowledged that without first waiting for the nurse to assess, he/she transferred Resident # 4 from the floor to bed, by him/herself and without using a gait belt. Staff U reported that Staff S told him/her not to transfer and to wait for the nurse first "but after it [fall] happened" and Staff U further said that "at that time, I did not know." Staff U said that except for Staff S's reminder about waiting for the nurse following a fall, there was no other education or training after Resident # 4's fall. Staff U reported that nobody else talked or inquired from him/her about the incident.<br><br>v) On 4/13/22 at 4:01 PM, Staff R said he/she was not sure about the facility's incident investigation process saying, "[Resident # 4's] fall was the first incident I was involved in with an injury but nobody talked to me about the fall aside from you [surveyor]."<br><br>D. Inaccurate and incomplete information provided to the Medical Director (MD) for determination of extent of injury:<br><br>i) The document titled, "Major Injury Determination" form dated 12/2/21 noted, "[Resident # 4 went to sit up on the side of [his/her] bed when the sheets came | | | |



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| | off the mattress causing [him/her] to fall on the floor." The report also identified Resident # 4 as independent for bed mobility and "assist with all ADLs." Based on the foregoing information, the MD determined that the injury sustained was not major and that Resident # 4 could return to "previous functional status."<br><br>ii) The did not include important details related to the circumstances of the incident such as that Staff U, TNA transferred Resident # 4 from the floor to bed without first waiting for nursing assessment and without using a gait belt; that Resident # 4 required supervision/set up only for transfers, and ambulation at the time of the incident; and that a wrist splint was to be in place until evaluated by orthopedic physician.<br><br>F. Decline in Resident # 4's ADLs:<br><br>i) The significant change MDS dated 1/1/22 indicated that Resident # 4 required supervision/1 person physical assistance for bed mobility, and limited assistance/1 person physical assistance for transfer and ambulation, and extensive assistance/1 person physical assistance for dressing, personal hygiene, and toilet use. | | | |



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| | On 4/13/22 at 10:59 AM, the Director of Nursing (DON) acknowledged that it is not safe to be transferring residents who fall without first completing assessments. The DON also acknowledged the importance of thorough investigation of incidents to establish root causes and in order to develop action plans to prevent or minimize re-occurrence of the same or similar incidents.<br><br>On 4/20/22 at 11:56 PM, the MD called and clarified that the "determination of not major injury" related to Resident # 4's wrist fracture on 12/2/22 meant that "once it [injury] healed" Resident # 4 can go back to previous functional status. The MD said that a major injury means "something that would make the person crippled." The MD acknowledged that complete and accurate information is very important and stated expectations that facility staff to do thorough investigation of incidents and to always document these in residents' records. The MD reported that he "never saw" Resident # 4 and said, "I do not know the investigation that they did" pertaining to Resident # 4's fall. The MD further stated that if they did not identify important details and did not document what actually transpired then "I will call them right now and tell them." | | | |



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| | 3. On 4/5/22 beginning at 12:30 to 1:08 PM, Resident # 24 was walking in the hallway with a walker, proceeding to sit in a chair at the TV room, standing up again after about 10 minutes and telling staff members about wanting to go home. Resident # 24 manifested repetitive abnormal movements of tongue for the duration of the observations.<br><br>The facility's matrix provided to surveyors on 4/4/22, identified Resident # 24 with fall/s, and on antipsychotic and antidepressant medications.<br><br>The electronic medical records showed Resident # 24's admission date of 7/26/17 with medical diagnoses including Alzheimer's disease, paranoid schizophrenia, vascular dementia with behavioral disturbance, unspecified convulsions, and personal history of traumatic brain injury.<br><br>The quarterly MDS dated 5/27/21, indicated that Resident # 24 required assistance with ADLs as follows: extensive and 2-person physical assistance for bed mobility; limited and 1-person physical assistance for transfers; supervision and set-up only for ambulation in room, corridor, and on unit; extensive and 1-person physical assistance for dressing, eating, and personal hygiene. | | | |



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| | Resident # 24's care plan initiated on 8/15/17, indicated risk for falls with potential for injury related to Alzheimer's disease, vascular dementia, schizophrenia with altered safety awareness and with altered gait. The care plan noted a goal for Resident # 24 to not sustain serious injury due to a fall. The care plan directed staff to: provide walker for ambulation; anticipate and meet the resident's needs; ensure appropriate footwear; do frequent checks; remove items from room that may potentially be placed in the toilet and cause a flood; and follow fall protocol.<br><br>The physician's orders show use of psychotropic medications including: sertraline 100 milligrams (mg) 2 tablets by mouth 1 time a day; Depakote sprinkles capsule delayed release 250 mg by mouth 3 times a day; Seroquel 25 mg by mouth 1 time day; Seroquel 12.5 mg 1 time a day; Remeron 7.5 mg 1 time a day; and Seroquel 50 mg 1 time a day.<br><br>Resident # 24's Medication Administration Record (MAR) showed a change of medication dosage from the 6/2020 record to the 7/2020, indicating a reduction of Seroquel from a total of 100 mg daily to 87.5 mg daily. The pharmacy review notes/recommendation for 2021 showed an entry dated 10/7/21, which noted, "No changes recommended at this time - want to wait until | | | |



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| | [Resident # 24's] healed from surgery before GDR [gradual dose reduction]" that indicated Resident # 24 had a major injury.<br><br>The following document revealed Resident # 24's fall with major injury:<br><br>A. The facility's "Self Reports" log was requested for review, which revealed Resident # 24's fall on 8/16/21. The facility's documentation regarding Resident # 24's fall contained in the "Self Report" document, indicated the following:<br><br>-That Resident # 24 had a fall on 8/16/21 at 1:30 AM and that Staff L found Resident # 24 lying on the floor near closet;<br>-That head to toe assessment showed right femur edematous;<br>-That at 1:50 AM, the on-call physician ordered transfer to the hospital for evaluation of injury, and was taken to MercyOne Skiff. The report indicated that Resident # 24 was transferred from MercyOne Skiff to MercyOne Des Moines Medical Center and was admitted for displaced right peri-prosthetic femoral fracture;<br>-That Resident # 24 was "independent with transfers." | | | |



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| | However, review of other pertinent documents (progress notes, MDS assessments) and interviews showed inconsistency with or do not reflect the contents of the facility's "Self Report" document as noted in the preceding paragraph (A) above, as follows:<br><br>A. The progress notes lacked entries regarding assessments and/or interventions related to Resident # 24's fall with major injury on 8/16/21. The progress notes for 8/16/21 only showed an entry at 2:03 PM indicating that Resident # 24 was sent to the hospital after being found lying on the floor. Other documents related to fall include Staff L's written statement about finding Resident # 24 lying on the floor "in his closet on his left side." The statement did not include the time of the incident. The incident report also did not indicate pertinent information such as time of incident, how Resident # 24 was assisted from fall position, time of transfer to the hospital, and other related assessments/interventions.<br><br>B. On 4/11/22 at 9:12 AM, the DON verified lack of documentation regarding assessment and/or interventions related to Resident # 24's fall on 8/6/21. The DON reported having tried to search but could not find any. The DON stated, "The nurse did not write any notes about the fall." | | | |



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| | C. On 4/12/22 at 8:09 AM, Staff T Registered Nurse (RN) reported being the nurse when Resident # 24 had a fall on the night of 8/16/21. Staff T said that "CNA found Resident # 24 on the floor next to closet." Staff T also said that assessment showed the left leg was more swollen, so the on-call physician was notified and got an order to send Resident # 24 out to the hospital for evaluation, and Resident # 24 was found to have fracture on right leg. When told about the lack of nurse's assessment/intervention notes related to the fall, Staff T commented, "It's interesting that there's no documentation." Staff T acknowledged the importance of documentation especially for a fall with major injury.<br><br>D. On 4/18/22 at 2:34 PM, Staff L CNA reported that at about 4:00 AM on 8/16/21 while doing last rounds, they heard a "bang" and went to investigate where they found Resident # 24 on the floor to closet in room. Staff L reported that Resident # 24 could not keep still and was moving around from lying position to sitting. Staff L said they "called the nurse and another aide and got [Resident # 24] to sit in recliner." Staff L also said that Resident # 24 was complaining of so much pain and added "so me [sic] and the other aide helped him to bed." When clarified if Resident # 24 walked from recliner to bed, Staff L stated, "we | | | |



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| | literally put the resident to bed." Staff L further reported that the ambulance arrived an hour later and Staff L said "it took a long time for the ambulance to come, it was crazy." Staff L said the ambulance took Resident # 24 to the local hospital at about 5 AM.<br><br>F. The latest quarterly MDS prior to the fall dated 5/27/21, identified Resident # 24 needed limited assistance and 1-person physical assistance for transfers.<br><br>In addition, documents and interview revealed a decline in Resident # 24's ADL functioning, as follows:<br><br>A. The progress notes (admission) indicated that on 8/20/21, Resident # 24 returned to the facility from the hospital per stretcher, and at skilled level of care. The admission notes indicated Resident # 24's ADL needs as noted, "is totally dependent on staff for bed mobility, is totally dependent on staff for transfers, totally dependent on staff for dressing needs, extensive assist with meals, is totally dependent on staff for toileting needs, and is totally dependent on staff to complete personal hygiene."<br><br>B. A significant change MDS dated 8/27/21, showed Resident # 24's ADL needs as follows: extensive and 2-person physical assistance for transfers; performed no | | | |



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| | ambulation in room, corridor, and on unit; total dependence and 2-person physical assistance for dressing and personal hygiene, and extensive and 1-person physical assistance for eating.<br><br>C. On 4/12/22 at 8:09 AM, Staff T reported that Resident # 24 "had a rough time for a while, was non-weight bearing for a while and it was hard because the resident does not understand."<br><br>On 4/11/22 at 9:12 AM, despite directions in residents' care plans for staff to "follow fall protocol" in the event of falls, the DON reported that the facility does not have written guidelines or protocols regarding management/investigation/follow-up of falls or accidents saying that the facility "follows the regs [regulations]." The DON verified the lack of assessments and interventions related to Resident # 24's fall with a major injury. The DON also acknowledged the importance of thorough investigation and to reflect results through accurate documentation.<br><br>On 4/20/22 at 11:56 PM, the MD acknowledged the importance of complete and accurate information in any documentation and reports. The MD stated expectations that facility staff conduct follow-up investigation and accurate documentation to reflect | | | |



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| | what actually transpired and the surrounding circumstances of incidents. The MD also stated expectations that facility staff document any assessments and interventions in residents' medical records such as Resident # 24 who sustained a fractured femur. | | | |
| 58.19(2)j | 481—58.19(135C) Required nursing services for residents. The resident shall receive and the facility shall provide, as appropriate, the following required nursing services under the 24-hour direction of qualified nurses with ancillary coverage as set forth in these rules:<br><br>Based on document review, observations, and interviews, the facility failed to follow physician orders for wound treatments and failed to ensure qualified staff provided wound assessments and treatments for 1 of 3 residents reviewed for wounds and wound care (Resident # 16). The facility also failed to complete regular smoking assessments for Resident #31. The facility reported a census of 41 residents at the time of the survey.<br><br>Findings include: | I | $4,000<br><br>(Collect Fine) | On Receipt |



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| | According to the quarterly Minimum Data Set (MDS) assessment tool dated 1/17/22, Resident # 16 scored 3 of 15 possible points on the Brief Interview for Mental Status, which meant the resident demonstrated severely impaired cognitive abilities. The MDS identified the resident as at risk for pressure ulcers with 1 venous/arterial ulcer, and open lesion. The MDS documented the resident received wound treatments including the application of non-surgical dressings, "ointments and dressings to feet."<br><br>The electronic medical record listed Resident # 16's medical diagnoses which included peripheral vascular disease (PVD), venous insufficiency, personal history of transient ischemic attack (TIA or mini-stroke), cerebral infarction, open wound right lower leg, and Alzheimer's disease.<br><br>Resident # 16's care plan identified or initiated on 9/8/21 an actual alteration in skin integrity related to PVD/venous insufficiency. The care plan documented a goal: skin alterations will resolve with treatment over the next review period. The care plan directed staff to implement interventions that included: giving medication as appropriate, following treatment instructions, providing a balanced diet to promote wound healing, assessment by the dietician if appropriate, and follow physician's instructions. The | | | |



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| | care plan also included Resident #16's potential for a self-care deficit related to Alzheimer's dementia with severely impaired cognitive functions including maintaining good hygiene. The care plan directed staff members to follow treatments as ordered.<br><br>The facility's "Skin Management Protocol" dated 10/14/21, directed staff to notify the Clinical Quality Team if the skin ulcer or non-ulcer has not made improvements after the first two weeks.<br><br>The existing orders from 2/24/22 through 4/6/22 related to Resident # 16's wound management directed:<br><br>A. Pro Stat Liquid Amino Acids Protein Hydrolysis Give 30 ml [milliliters] by mouth once a day for wound healing (ordered on 10/16/21).<br><br>B. Desitin Rapid Relief Cream 13% (Zinc Oxide), apply to right medial ankle every 72 hours. Apply Desitin mixed with collagen powder to peri-wound related to unspecified open wound on the right lower leg, cover with Optilock dressing, and wrap with Kerlix. Change every 3 days and as needed (ordered for 2/24/22 to 3/14/22). | | | |



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| | C. The Wound Treatment Plan dated 3/11/22 and noted by Staff B, directed staff to cleanse (the area) with wound cleanser, apply a large sheet of calcium alginate, cover with Optilock, and wrap with Kerlix. Change 3 x [times]/week and PRN [as needed]. However, the medication administration record (MAR) directed staff to provide the wound treatment every 3 day(s) and as needed, contrary to the Wound Treatment Plan,<br><br>D. The Wound Treatment Plan dated 4/1/22, directed staff to "Please cleanse with wound cleanser, apply triamcinolone cream to all eurhythmic areas, and then apply a sheet of calcium alginate, cover with Optilock, wrap with Kerlix. Change 3 x/week and PRN."<br><br>In an observation on 4/5/22 at 11:12 AM, Resident # 16 walked slowly and in an awkward manner in the hallway of the CCDI (Chronic Care and Dementing Illness) unit toward the dining room for lunch. A closer observation of Resident # 16's right ankle revealed it wrapped with a white dressing that appeared dirty and soiled with a yellowish to brownish substance<br><br>On 4/6/22 at 2:51 PM, observations for dressing change on Resident # 16's right medial ankle showed the following: | | | |



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| | A. Staff A, Certified Medication Aide (CMA) was in Resident # 16's room to assist Staff B Registered Nurse (RN) provide the dressing change. Staff A slowly unwrapped the wound area by removing the soiled Kerlix (bandage gauze) dressing which emitted a foul odor into the room. The outermost dressing (Kerlix) was very dirty with brownish wound drainage and Staff A verified that the dressing was very soaked. The poor condition of the dressing and the foul odor prompted inquiry as to when dressing was last changed, and if the dressing change procedure included writing a date on the top dressing, Staff A replied that dressings were dated but verified that Resident # 16's old dressing that was just removed did not contain a date.<br><br>B. Staff B removed the alginate (wound dressing used to absorb exudates) dressing, which broke apart as Staff B lifted the dressing and removed it from direct contact with the moist wound surfaces.<br><br>C. Staff A sprayed the wound/skin areas with wound cleanser as directed by Staff B.<br><br>D. Staff B picked up a medication tube labeled, "Clobetasol 0.5% ointment apply to left forearm," and squeezed out ointment contents, and applied it all | | | |



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| | over the wound areas on Resident #16's right medial ankle.<br><br>E. When asked to verify the label of the ointment medication tube/container, Staff A read, "Clobetasol 0.5%" and verified with Staff B. Staff B reported that the ointment medication was applied to Resident # 16's wound on right ankle according "treatment order" and also stated that the wound treatments and dressing changes are being done "every 3 days and PRN [As needed] when the dressing gets soaked." Staff B also verified that Resident # 16's dressing today was "very soaked" prior to change.<br><br>On 4/7/22 at about 10:45 Am, the Director of Nursing (DON) provided the package insert (prescribing information) for the Clobetasol 0.5% which described it as a potent corticosteroid indicated for the relief of swelling and itching such as in dry and scaly skin conditions, eczema, and discoid lupus erythematous. The information directed that ointment was especially appropriate for dry or scaly lesions.<br><br>Resident # 16's "Medication/Treatment Administration Record" or MAR and progress notes from 2/27/22 through 4/6/22 revealed Resident 16's consistent and ongoing refusal of nutritional supplement ordered for wound healing; treatment | | | |



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| | orders for wound on right medial ankle were not followed; and an unqualified staff member provided the treatments, as follows:<br><br>A. Pro Stat Liquid Amino Acids Protein Hydrolysis (Protein supplement clinically proven for wound healing) Give 30 ml [milliliters] by mouth once a day (10/16/21):<br><br>-January 2022, Resident # 16 took the Protein supplement for 4 days (1/3, 1/10, 1/20 and 1/31) only, but refused for the other 27 days of the month;<br>-February 2022, Resident # 16 took the Protein supplement for 3 days (2/7, 2/14, and 2/28) but then refused for the other 25 days of the month;<br>-March 2022, Resident # 16 took the Protein supplement for 5 days (3/13, 3/21, 3/22, 3/26, and 3/28) but refused the other 26 days of the month; and<br>-April 2022 (1-6), Resident # 16 only took the Protein supplement for 1 day (4/2/22) but refused on the other 5 days.<br><br>Review of the aforementioned documents revealed a lack of documentation to show and evaluation or review of Resident # 16's ongoing refusal of the protein supplement, in order to develop or address the ongoing ineffective intervention. | | | |



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| | B. Apply Desitin Rapid Relief Cream 13% (Zinc Oxide) to right medial ankle every 72 hours (2/24/22 to 3/14/22):<br><br>-On 2/27/22, Staff W Registered Nurse (RN) completed Resident # 16's wound treatment as indicated in the progress notes.<br>-On 3/2/22, Resident # 16 refused treatment, as documented.<br>-On 3/5/22 (on the 6th day after the last treatment provided), Staff W completed the treatment and documented in the progress notes.<br>-On 3/8/22, Resident # 16 refused treatment.<br>-On 3/11/22 (on the 6th day from the last treatment provided), Staff W completed the treatment as documented in the progress notes.<br><br>Resident # 16's wound dressing changes and treatments were completed every 6 days from 2/27/22 to 3/11/22. The record lacked documentation of other interventions and/or an evaluation or action taken related to the treatment refusals.<br><br>C. Cleanse the wound with cleanser, apply large sheet of calcium alginate, cover with Optilock, wrap with Kerlix and change 3 x/week and PRN. The dressings were not changed according to treatment plan/orders, instead, for the period reviewed | | | |



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| | (3/11/22 to 4/6/22), the dressings were changed for 4 times (excluding CMA's) out of 26 days, on the following dates:<br><br>-On 3/22/22, completed as documented in the MAR;<br>-On 3/25/22, Staff S completed the treatment as noted in the MAR;<br>-On 3/28/22, the Assistant Director of Nursing (ADON) completed a dressing change as noted in the MAR;<br>-On 3/31/22, Staff A, (CMA) completed the dressing change as noted in the MAR;<br>-On 4/6/22 or 6 days after Staff A's completed the dressing change, and 9 days after the ADON did the dressing change, Staff B with assistance from Staff A, completed the dressing change and applied the (Clobetasol 0.5%) ointment medication (indicated for dry areas) to a draining wound without an order during the observation on 4/6/22 beginning at 2:51 PM.<br><br>D. Apply triamcinolone cream to eurhythmic areas (4/1/22):<br><br>-Observation on 4/6/22 showed that Staff B failed to apply this medication.<br><br>On 4/7/22 at 3:54 PM, the DON verified that the facility's policy is not specific to wound treatment | | | |



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| | procedures and did not identify who should be performing the dressing changes. However, the DON reported that assessments and treatments are nursing responsibilities and added that she expected nurses to complete wound treatments (such as Resident # 16's vascular wound). The DON verified that Resident # 16's wound was first identified in 9/21, saying, "The wound has been there for a while." The DON also stated she expected staff to follow treatment plan/orders and said dressings to "weeping" wounds such as Resident # 16's vascular wound dressing should not go unchanged for longer than the maximum period ordered, and to check the condition of dressings and change as needed. The DON further stated if confused residents refused treatments, she expected staff to re-approach the resident and document all actions taken in the residents' medical records.<br><br>On 4/11/22 at 10:05 AM, the Wound Nurse/Nurse Practitioner (NP) verified they come to the facility every Friday and measured the wounds but did not provide any wound treatments when visiting. The NP verified they recommend the treatments and the facility implements them. The NP added they did not know what happened after they unwrap the wound for the assessment and stated they were not aware of the facility's procedures for wound dressing changes | | | |



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| | and documentation. During inquiry if wound healing could be delayed for failure of staff members to follow treatment orders, the NP answered, "yes, potentially."<br><br>Review of the progress notes completed by the above Wound Nurse/Nurse Practitioner (NP) revealed the following Skin Inspection documentation related to Resident #16's right medial ankle venous stasis ulcer:<br><br>- 03/11/22: the wound measured 8.2 cm long x 5.7 cm wide x 0.1 cm deep and unable to assess wound bed. Tissue 15% macerated epithelial, 85% slough. The wound drained yellow to serous, heavy to thin drainage with no odor.<br>- 03/18/22: the wound measured 22 cm x 12 cm x 0.1 cm, wound bed contained slough and epithelial, tissue 20% slough, 80% macerated epithelial exudate and periwound margins macerated. The wound drained yellow to serous, heavy to thin drainage with a foul odor.<br>-03/25/22: the wound measured 16 cm x 28.5 cm x 0.1 cm, wound bed contained slough and epithelial, tissue 15% slough, 85% macerated epithelial and periwound margins macerated. The wound drained yellow to serous, heavy to thin drainage with a foul odor. | | | |



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| | - 04/01/22: the wound measured 15 cm x 30.1 cm x 0.1 cm, wound bed contained slough and erythemic epithelial, tissue 20% slough, and 80% macerated epithelial exudate and periwound margins macerated. The wound drained yellow to serous, heavy to thin malodorous drainage.<br><br>04/20/22 11:56 PM the Medical Director (MD) stated that he "absolutely" expects the facility to follow and implement treatments recommended by wound nurses including the frequency of treatments/dressing changes and the application of the correct medications. The MD said that in cases when residents frequently refuse treatments, staff should notify him so that the team can address the problem/s with a different plan. When asked if the wound could have healed or improved sooner if treatment orders have been followed, the MD replied, "I totally understand!"<br><br>FACILITY RESPONSE: | | | |



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