

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

PRINTED: 12/14/2005
FORM APPROVED
OMB NO. 0938-0391

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 465119	(X2) MULTIPLE CONSTRUCTION A. BUILDING _____ B. WING _____	(X3) DATE SURVEY COMPLETED C 11/28/2005
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NAME OF PROVIDER OR SUPPLIER EAST LAKE CARE CENTER	STREET ADDRESS, CITY, STATE, ZIP CODE 1001 NORTH 500 WEST PROVO, UT 84601
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(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)	(X5) COMPLETION DATE
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F 271 SS=G	<p>483.20(a) ADMISSION ORDERS</p> <p>At the time each resident is admitted, the facility must have physician orders for the resident's immediate care.</p> <p>This REQUIREMENT is not met as evidenced by: Based on staff interviews and record review, it was determined that for 6 of 10 sample residents (residents 1, 3, 7, 8, 9 and 10) the facility admitted these residents without physician's orders, adequate to manage their immediate care, which included the need for tracheostomy and ventilator care. Subsequently, resident 9 was weaned from his ventilator without a physician's order, required cardio pulmonary resuscitation and was admitted to the hospital.</p> <p>Findings included:</p> <p>1. Resident 9 was readmitted to the facility 9/26/05 and 10/26/05 with diagnoses which included encephalopathy and quadriplegia.</p> <p>On 11/21/05, resident 9's medical record was reviewed, including all respiratory notes and documentation.</p> <p>A review a resident 9's medical record revealed he was admitted with a tracheostomy and ventilator.</p> <p>A review of resident 9's admission orders revealed there were no orders for the tracheostomy type or care. In addition, there were no admission orders for the ventilator settings, cares or weaning process.</p>	<p>F 271</p> <p><i>12/28/05</i> <i>POC acceptable</i> <i>Completion 11/28/05</i> <i>W. Burchard RN</i></p>	<p>At the time of admission physician orders will be obtained by the facility for all residents admitted with Tracheotomy and Ventilator's orders to include Tracheotomy & Ventilator care, Ventilator settings and weaning process, Tracheotomy type. All residents on Ventilators were reviewed by Director of Nursing and Respiratory Therapist Director and orders updated by physician for vent settings, Vent care and weaning process. All residents on Tracheotomy's were reviewed and updated for Trach type and care by the Respiratory Therapist Director RT. Resident 1,3,10,7 orders were reviewed by the Director of Respiratory Therapist RT and signed by the physician --- update to include Trach Care, Trach Type, Vent Care and Vent Settings. Resident 8 orders were reviewed and updated to include Trach care and Trach Type. Resident 9 orders were reviewed and updated to include Trach care, Trach Type, Vent Care and Vent Settings. Clarification order 11/22/05 Trach Mask applied by Respiratory Therapist for shower and observed by RT (Vent orders changed and clarification order written) Original physician signed Respiratory Admission Order will be maintained in the resident's Medical record and a copy in the Respiratory Binder (previous orders for vent and trach were maintained in Respiratory Department files) and placed on the Physician Recertification</p>	
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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE <i>Tracy J. Ehrhart</i>	TITLE <i>Administrator</i>	DATE <i>12/28/05</i>
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Any deficiency statement ending with an asterisk (*) denotes a deficiency which the institution may be excused from correcting providing it is determined that other safeguards provide sufficient protection to the patients. (See instructions.) Except for nursing homes, the findings stated above are disclosable 90 days following the date of survey whether or not a plan of correction is provided. For nursing homes, the above findings and plans of correction are disclosable 14 days following the date these documents are made available to the facility. If deficiencies are cited, an approved plan of correction is requisite to continued program participation.

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F 271	<p>Continued From page 1</p> <p>Without admission orders for resident 9's tracheostomy facility staff would not know what type of tracheostomy resident 9 had or what cares needed to be provided. In addition, facility staff would not know what the ventilator settings should be, cares that needed to be provided or the appropriate ventilator weaning process.</p> <p>On 10/8/05, a respiratory therapist documented the following on a respiratory sheet, "1130 (11:30 AM) Placed pt (patient) on t-piece (trach piece)... 1410 (2:10 PM) pt checked...sxn (suctioning) large yellow...1600 (4:00 PM) aid stated pt was blue, ran to room, found pt in bed...pt hunched over, aid placed bed in CPR (cardio pulmonary resuscitation) position, began baggin [sic] pt, pulse weak and thready, pt had coupious [sic] amount of red frothy secretions in mouth and throu [sic], EMS (emergency medical services) activated by RN (registered nurse, aid placed pulse ox (oximeter) SPO2 32 (oxygen saturation) ...Pt was baged [sic] on 100% O2 (oxygen). Secretions a total of 70cc Red frothy secretions..."</p> <p>A physician's order to take resident 9 off of the ventilator and place him on a trach piece could not be found in the medical record.</p> <p>On 11/21/05 at 3:00 PM, a respiratory therapist was interviewed. He stated when he was hired he was told by the respiratory supervisor that the information regarding residents with ventilators and tracheostomies was on a white erase board in the respiratory office. He further stated that he assumed the physician's orders were in the resident's medical records. The respiratory therapist stated when a resident is weaned from</p>	F 271	<p>Monthly orders to ensure that facility staff would know what ventilator settings, care as well as Trach type and care is required for resident. Licensed nurses will be in serviced on ventilators and trach care, settings, type and charting guidelines. Attached revised Respiratory Admission Orders. Director of Nursing will monitor Ventilator and Trach orders and care on admit and monthly physician recertification orders and report to Quality Assurance Committee. This will be completed by 01/13/06.</p>

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F 271	<p>Continued From page 2</p> <p>the ventilator and placed on a trach piece he would chart on the resident's respiration rate and oxygen saturations every 10-15 minutes. He stated "that would be respiratory protocol."</p> <p>On 11/21/05 at 3:15 PM, the respiratory supervisor was interviewed. He stated that every chart has physician's orders for the tracheostomies and ventilators. He further stated that on 10/8/05, the respiratory therapist working with resident 9 called him. He stated she told him that she suctioned resident 9 and an hour later he was blue and she bagged him and increased the pressure on the ventilator and oxygen. The respiratory therapist further stated at that time resident 9 had an order for a trach piece and ventilator as needed.</p> <p>On 11/22/05 at 5:10 AM, a second respiratory therapist was interviewed. He stated all resident's have admission orders with tracheostomy and ventilator information. The respiratory therapist then reviewed resident 9's medical record and was not able to find any orders for the tracheostomy or ventilator. When the respiratory therapist was asked what he does when there are no orders, he stated he would call the respiratory supervisor.</p> <p>On 11/22/05 at 8:00 AM, a third respiratory therapist was interviewed while the DON (director of nurses) was present. The respiratory therapist stated all resident should have ventilator orders and settings in their medical record under the physician orders. The respiratory therapist then reviewed resident 9's medical record and was not able to find any orders for the ventilator.</p> <p>2. Resident 1 was re-admitted to the facility on</p>	F 271			

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F 271	<p>Continued From page 3</p> <p>6/10/03 with diagnoses which included muscular dystrophy and respiratory therapy.</p> <p>A review of resident 1's medical record revealed he was admitted with a tracheostomy and ventilator.</p> <p>A review of resident 1's admission orders revealed there were no orders for the tracheostomy type or care. In addition, there were no admission orders for the ventilator settings or cares.</p> <p>Without admission orders for resident 1's tracheostomy facility staff would not know what type of tracheostomy resident 1 had or what cares needed to be provided. In addition, facility staff would not know what the ventilator settings should be or what cares needed to be provided.</p> <p>3. Resident 3 was admitted to the facility on 2/10/04 with diagnoses which included respiratory failure and obesity.</p> <p>A review a resident 3's medical record revealed she was admitted with a tracheostomy and ventilator.</p> <p>A review of resident 3's admission orders revealed there were no orders for the tracheostomy type or care. In addition, there were no admission orders for the ventilator settings or cares.</p> <p>Without admission orders for resident 3's tracheostomy facility staff would not know what type of tracheostomy resident 3 had or what cares needed to be provided. In addition, facility staff would not know what the ventilator settings</p>	F 271		

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F 271	<p>Continued From page 4 should be or what cares needed to be provided.</p> <p>4. Resident 7 was re-admitted to the facility on 9/7/05 with diagnoses which included respiratory failure and pneumonia.</p> <p>A review a resident 7's medical record revealed he was admitted with a tracheostomy and ventilator.</p> <p>A review of resident 7's admission orders revealed there were no orders for the tracheostomy type or care. In addition, there were no admission orders for the ventilator settings or cares.</p> <p>Without admission orders for resident 7's tracheostomy facility staff would not know what type of tracheostomy resident 7 had or what cares needed to be provided. In addition, facility staff would not know what the ventilator settings should be or what cares needed to be provided.</p> <p>5. Resident 8 was admitted to the facility on 9/19/05 with diagnoses which included myotonic dystrophy and respiratory failure.</p> <p>A review a resident 8's medical record revealed she was admitted with a tracheostomy.</p> <p>A review of resident 8's admission orders revealed there were no orders for the tracheostomy type or care.</p> <p>Without admission orders for resident 8's tracheostomy facility staff would not know what type of tracheostomy resident 8 had or what cares needed to be provided.</p>	F 271		
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F 271	Continued From page 5 6. Resident 10 was readmitted to the facility on 4/5/05 with diagnoses which included respiratory failure and chronic obstructive pulmonary disease. A review a resident 10's medical record revealed she was admitted with a tracheostomy. A review of resident 10's admission orders revealed there were no orders for the tracheostomy type or care. Without admission orders for resident 10's tracheostomy facility staff would not know what type of tracheostomy resident 10 had or what cares needed to be provided. In addition, facility staff would not know what the ventilator settings should be or what cares needed to be provided. On 11/22/05 at approximately 11:00 AM, the DON stated she reviewed the medical records of all of the residents with ventilators. She stated she was not able to find any orders for the care and settings of the ventilators.	F 271		
F 281 SS=G	483.20(k)(3)(i) COMPREHENSIVE CARE PLANS The services provided or arranged by the facility must meet professional standards of quality. This REQUIREMENT is not met as evidenced by: Based on interview and medical record review, it was determined that the facility respiratory staff were providing care to a facility resident without a physician's order. Specifically, respiratory staff placed resident 9, who was on a ventilator, on a	F 281	F281 All residents admitted on Trach and/or Vents will have a Comprehensive Care Plan to include Trach & Vent settings	

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F 281	Continued From page 6 tracheostomy piece without a physician's order. Findings included: 1. Resident 9 was readmitted to the facility 9/26/05 and 10/26/05 with diagnoses which included encephalopathy and quadriplegia. On 11/21/05, resident 9's medical record was reviewed, including all respiratory notes and documentation. A review a resident 9's medical record revealed he was re-admitted to the facility on 9/26/05 with a tracheostomy and ventilator. A review of resident 9's admission orders revealed there were no orders for the tracheostomy type or care. In addition, there were no admission orders for the ventilator settings, cares or the appropriate weaning process. On 10/8/05, a respiratory therapist documented the following on a respiratory sheet, "1130 (11:30 AM) Placed pt (patient) on t-piece (trach piece)...1410 (2:10 PM) pt checked...sxn (suctioning) large yellow...1600 (4:00 PM) aid stated pt was blue, ran to room, found pt in bed...pt hunched over, aid placed bed in CPR (cardio pulmonary resuscitation) position, began baggin [sic] pt, pulse weak and thready, pt had coupious [sic] amount of red frothy secretions in mouth and throat [sic], EMS (emergency medical services) activated by RN (registered nurse, aid placed pulse ox (oximeter) SPO2 32 (oxygen saturation) ...Pt was baged [sic] on 100% O2 (oxygen). Secretions a total of 70cc Red frothy secretions..."	F 281	Trach Type. All current residents on Trach and Vents were reviewed by Director of Nursing for Comprehensive Care Plans to include Trach & Vent Care, Vent settings and weaning process if ordered and Trach Type including resident 9 to include weaning process, Trach and Vent care, Vent settings, Trach Type. All current residents have comprehensive care plans in the medical record updated by Respiratory Therapist & MDS Coordinator. Director of Nursing will monitor care plans on admit and quarterly for Trach Type, Vent weaning and protocols this will be reported to Quality Assurance Committee. This will be completed by 01/13/06.	

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F 281	Continued From page 7 A physician's order to take resident 9 off of the ventilator and place him on a trach piece could not be found in the medical record. On 11/21/05 at 3:00 PM, a respiratory therapist was interviewed. He stated when he was hired he was told by the respiratory supervisor that the information regarding residents with ventilators and tracheostomies was on a white erase board in the respiratory office. He further stated that he assumed the physician's orders were in the resident's medical records. The respiratory therapist stated when a resident is weaned from the ventilator and placed on a trach piece he would chart on the resident's respiration rate and oxygen saturations every 10-15 minutes. He stated "that would be respiratory protocol." On 11/21/05 at 3:15 PM, the respiratory supervisor was interviewed. He stated that every chart has physician's orders for the tracheostomies and ventilators. He further stated that on 10/8/05, the respiratory therapist working with resident 9 called him. He stated she told him that she suctioned resident 9 and an hour later he was blue and she bagged him and increased the pressure on the ventilator and oxygen. The respiratory therapist further stated at that time resident 9 had an order for a trach piece and ventilator as needed. On 11/22/05 at 5:10 AM, a second respiratory therapist was interviewed. He stated all resident's have admission orders with tracheostomy and ventilator information. The respiratory therapist then reviewed resident 9's medical record and was not able to find any orders for the tracheostomy or ventilator. When the respiratory	F 281		

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F 281	Continued From page 8 therapist was asked what he does when there are no orders, he stated he would call the respiratory supervisor. On 11/22/05 at 8:00 AM, a third respiratory therapist was interviewed while the DON (director of nurses) was present. The respiratory therapist stated all resident should have ventilator orders and settings in their medical record under the physician's orders. The respiratory therapist then reviewed resident 9's medical record and was not able to find any orders for the ventilator. On 11/22/05 at approximately 11:00 AM, the DON stated she reviewed the medical records of all of the residents with ventilators. She stated she was not able to find any orders for the care and settings of the ventilators. "...A respiratory care practitioner may not: (1) practice independently of a physician or of a health care facility while under the supervision of a physician..."(Reference Guidance: Respiratory Care Practice Acts, Title 58, Chapter 57, Utah Code Annotated 1953, As Amended by Session Laws of Utah 2003, Issued May 5, 2003, page 4). On 11/28/05 at 10:30 AM, a phone interview with the facility's pulmonary physician was conducted. The physician stated that usually physicians will write orders that outline the ventilator cares. He further stated, "I need to supervise to make sure they (respiratory therapist) talk to me."	F 281			
F 328 SS=G	483.25(k) SPECIAL NEEDS The facility must ensure that residents receive proper treatment and care for the following special services:	F 328			

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F 328	<p>Continued From page 9</p> <p>Injections; Parenteral and enteral fluids; Colostomy, ureterostomy, or ileostomy care; Tracheostomy care; Tracheal suctioning; Respiratory care; Foot care; and Prostheses.</p> <p>This REQUIREMENT is not met as evidenced by: Based on interview and record review it was determined that for 1 of 10 sampled residents, the facility staff did not ensure that Resident 9 received the proper treatment for respiratory care. Specifically, resident 9 was taken off of his ventilator and placed on a trach piece without appropriate monitoring of the resident's response.</p> <p>Findings included:</p> <ol style="list-style-type: none"> 1. A review of the facility's policies and procedures, relating to ventilator management, was completed on 11/22/05. The policies directed the following, "...Procedure:...c) Verify order for ventilator parameter changes, weaning parameters...or t-piece (trach piece) trials...Monitoring:...b) Weaning parameters per MD (medical doctor) protocols and documented in resident's progress notes in hard chart...d) Residents who come off vent to aerosol t-piece/aerosol mask to be monitored to ensure no increased work of breathing/respiratory distress..." 2. Resident 9 was readmitted to the facility 9/26/05 and 10/26/05 with diagnoses which included encephalopathy and quadriplegia. 	F 328	<p>Respiratory Therapists and Licensed nurses will be inserviced by Director of Respiratory Therapy on Ventilator and Trach Management Policies and care, including procedures and protocols to include weaning a resident off a Ventilator, monitoring resident status in progress notes (breathing/respiratory distress. Resident 9 Ventilator & Trach orders were updated and special needs for Vent and Trach orders were added to residents care plan to include Trach mask applied for showers by RT and RT will observe during shower. Will be monitored by Director of Nursing and reviewed by Quality assurance team. completion date 01/13/06.</p>	
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F 328	<p>Continued From page 10</p> <p>On 11/21/05, resident 9's medical record was reviewed, including all respiratory notes and documentation.</p> <p>A review a resident 9's medical record revealed he was re-admitted to the facility on 9/26/05 with a tracheostomy and ventilator.</p> <p>A review of resident 9's admission orders revealed there were no orders for the tracheostomy type or care. In addition, there were no admission orders for the ventilator settings, cares or the appropriate weaning process.</p> <p>On 10/8/05, a respiratory therapist documented the following on a respiratory sheet, "1130 (11:30 AM) Placed pt (patient) on t-piece (trach piece)...1410 (2:10 PM) pt checked...sxn (suctioning) large yellow...1600 (4:00 PM) aid stated pt was blue, ran to room, found pt in bed...pt hunched over, aid placed bed in CPR (cardio pulmonary resuscitation) position, began baggin [sic] pt, pulse weak and thready, pt had coupious [sic] amount of red frothy secretions in mouth and throt [sic], EMS (emergency medical services) activated by RN (registered nurse, aid placed pulse ox (oximeter) SPO2 32 (oxygen saturation) ...Pt was baged [sic] on 100% O2 (oxygen). Secretions a total of 70cc Red frothy secretions..."</p> <p>Based on the respiratory therapist's documentation resident 9 was on a trach piece from 11:30 AM until 4:00 PM (4 and 1/2 hours). The documentation provided evidence that the respiratory therapist assessed resident 9 once at 2:10 PM. There was no other documentation in</p>	F 328		

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STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 465119	(X2) MULTIPLE CONSTRUCTION A. BUILDING _____ B. WING _____	(X3) DATE SURVEY COMPLETED C 11/28/2005	
NAME OF PROVIDER OR SUPPLIER EAST LAKE CARE CENTER		STREET ADDRESS, CITY, STATE, ZIP CODE 1001 NORTH 500 WEST PROVO, UT 84601		
(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)	(X5) COMPLETION DATE
F 328	<p>Continued From page 11</p> <p>the medical record that any nursing staff or respiratory staff monitored resident 9 to ensure he did not have an increased work of breathing or was in respiratory distress during that time period.</p> <p>A physician's order to take resident 9 off of the ventilator and place him on a trach piece could not be found in the medical record.</p> <p>The physician progress notes for resident 9 were reviewed. There was no documented evidence that the physician had documented in a progress note resident 9's weaning parameters.</p> <p>On 11/21/05 at 3:00 PM, a respiratory therapist was interviewed. The respiratory therapist stated when a resident is weaned from the ventilator and placed on a trach piece he would chart on the resident's respiration rate and oxygen saturations every 10-15 minutes. He stated "that would be respiratory protocol."</p> <p>On 11/21/05 at 3:15 PM, the respiratory supervisor was interviewed. He further stated that on 10/8/05, the respiratory therapist working with resident 9 called him. He stated she told him that she suctioned resident 9 and an hour later he was blue and she bagged him and increased the pressure on the ventilator and oxygen. The respiratory therapist further stated at that time resident 9 had an order for a trach piece and ventilator as needed.</p> <p>On 11/22/05 at 5:10 AM, a second respiratory therapist was interviewed. He stated all resident's have admission orders with tracheostomy and ventilator information. The respiratory therapist then reviewed resident 9's medical record and was not able to find any orders for the</p>	F 328		

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

PRINTED: 12/14/2005
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F 328	<p>Continued From page 12</p> <p>tracheostomy or ventilator. When the respiratory therapist was asked what he does when there are no orders, he stated he would call the respiratory supervisor.</p> <p>On 11/22/05 at 8:00 AM, a third respiratory therapist was interviewed while the DON (director of nurses) was present. The respiratory therapist stated all resident should have ventilator orders and settings in their medical record under the physician's orders. The respiratory therapist then reviewed resident 9's medical record and was not able to find any orders for the ventilator.</p> <p>On 11/22/05 at approximately 11:00 AM, the DON stated she reviewed the medical records of all of the residents with ventilators. She stated she was not able to find any orders for the care and settings of the ventilators.</p>	F 328		

Respiratory Admission Orders

Attention: Dr: _____

Date: _____

Diagnosis: _____

ICD-9: _____

Patient Name: _____

Ventilator Orders:	
Mode: _____	Rate: _____ Volume: _____
PEEP: _____	
Titrate O2 to keep SpO2 >90% [] yes [] no	
Weaning Protocol Per Respiratory [] yes [] no	

Trach Orders:	Brand: _____	Type: _____	Size: _____
Change trach Q 30 days and PRN	[] yes	[] no	
Trach Care QD and PRN	[] yes	[] no	
Suction PRN	[] yes	[] no	

Change Equipment per RT policy	[] yes [] no
RT to Evaluate and treat	[] yes [] no
Oximetry BID and PRN	[] yes [] no
Aerosol PRN for thick secretions	[] yes [] no

Other Respiratory Orders:	_____

Physicians signature: _____

Date: _____