

## **SCENERIO #1:**

During an evening observation, you (the surveyor) observe the dinner menu posted on the refrigerator and it shows all 6 individuals in the facility are on a regular diet. You also observe 2 direct care staff working with the individuals. Staff A and 2 individuals are in the kitchen making beef stew. You observe the staff person read the recipe aloud and then assist the individuals to add the ingredients to the pot, which includes peas and onions.

You see a young female individual, whose name is Buffy, come into the dining room and sit at the table. Staff B is with her and sits across from Buffy. After the pot of stew is placed on the table, you observe Buffy serving herself and then take 3 bites. After the third bite, Buffy quickly stands and grabs her throat.

Staff A yells “She’s having an allergic reaction” and runs to the medication room. Staff A comes out of the medication room within a minute and states she can’t find Buffy’s Epinephrine pen. Staff A states, “She must have forgotten it at school again. Call the nurse.” Staff B states, “She’s starting to turn purple. I’m calling 911.” Staff B calls 911 and tells the dispatcher Buffy left her Epinephrine pen at school and she is turning purple. Staff B also tells the operator she does not know if Buffy has any allergies. An ambulance arrives within 5 minutes. EMS personnel administer a shot to Buffy, place her on a gurney, and then wheel her out of the facility.

You ask Staff B about her knowledge of Buffy and the training she has received. Staff B tells you it is her third week working in the facility and she read Buffy’s floor book. You review Buffy’s floor book and it contains a list of objectives and training programs related to reading, mathematics, bathing, oral care, dressing, and riding public transportation. Buffy’s floor book does not contain any information about food allergies. You ask Staff A about Buffy’s allergies. Staff A states she has worked in the facility for 2 years and was told about the food allergies when she first started. Staff A states this is not the first time Buffy has had a bad reaction to certain foods and the LPN or the QIDP are supposed to train new staff on that kind of information. Staff A then states Staff B has not received training yet, other than reading the individuals’ floor books.

You review Buffy’s current IPP and her medical record. Her IPP contains no information related to allergies. Her medical record contains 3 incidents reports, all dated within the last 2 weeks, that document Buffy had allergic reactions to 3 different meals, as follows:

Dinner: Garlic chicken and broccoli

Lunch: Fried chicken and Pinto beans

Dinner: Beef Stroganoff and asparagus

Her current Physician Order states she is not to consume foods from the onion family and the pea family, and an Epinephrine pen is necessary for adverse reactions to such foods.

## **REGULATIONS:**

W189: The facility must provide each employee with initial and continuing training that enables the employee to perform his or her duties effectively, efficiently, and competently.

W368: All drugs are administered in compliance with the physician's orders.

W460: Each client must receive a nourishing, well balanced, diet including modified and specially prescribed diets.

## **SCENERIO #2:**

During the entrance conference, the Administrator informs you (the surveyor) that Xander was admitted to the hospital due to high blood sugar levels and was just released.

During the afternoon observation, you ask the Lead Worker about the incident that led to Xander's hospitalization. The Lead Worker states she was not working but there is an entry in the Communication log that states Xander went to the hospital for escalating high blood pressure. The Lead Worker informs you that Staff A was Xander's 1:1 and is currently working the evening shift.

You interview Staff A about the incident that led to Xander's hospitalization. Staff A states that shortly after he came on shift, he saw Xander fidgeting with the waistband on his pants and then went to his bedroom and laid on his bed. Staff A tells you he was also assigned to 2 other individuals that shift because Staff B called in sick. Staff A states the Lead Worker told him Xander did not need to be 1:1 that shift because he was 1:1 during the morning shift and nothing happened. Staff A states the additional 2 individuals he was assigned to, were arguing and needed his attention, so he checked on Xander every 15 minutes.

Staff A states he was fixing dinner when Xander came out of his room and was acting weird like he was drunk. Staff A states he told Staff C, who is certified to pass medications, and Staff C said she would check Xander's blood sugar levels. Staff A states Xander's blood sugar levels were really high, and Staff C called the nurse. Staff A then states Staff C showed me Xander's blood sugar monitor that is attached near his waist and "I guess that's what I saw him fidgeting with earlier." Staff A states that Staff C called the nurse and the RN came to the facility and then Xander went to the hospital. Staff A states he read Xander's programs in the floor book but has not yet been trained on Type 1 diabetes.

You interview the RN who states she received a call from Staff C who reported Xander's blood sugar was extremely high so she (the RN) went to the facility to check him. She states she asked Xander and both staff what he had eaten, and both stated they did not know. The RN states, "Xander's blood sugar continued to climb, even after an insulin dose, so I took him to the hospital and he was admitted for stabilization."

You ask the Administrator about Xander's medical incident and he hands you an investigation which states Staff D took Xander to a convenience store earlier that day and he purchased a box of old fashioned glazed donuts and a liter bottle of Throw Back Mountain Dew. The investigation states Xander consumed the food on the way home. A written statement from Staff D states, "I knew he wasn't supposed to have those things, but it's his right." The Corrective Action section of the investigation states the QIDP discussed the importance of the diet with Xander and he already had a program to follow his diet, so no other corrective action was needed.

You review Xander's IPP that states he requires 1:1 staff who are trained on Type 1 diabetes and his diet from the RN, and if a staff could not pass the training, staff could not be assigned to work with him.

## **REGULATIONS:**

W149: The facility must develop and implement written policies and procedures that prohibit mistreatment, neglect and abuse to a client.

W157: If the alleged violation is verified, appropriate corrective action must be taken.

W189: The facility must provide each employee with initial and continuing training that enables the employee to perform his or her duties effectively, efficiently, and competently.

### **SCENERIO #3:**

You (the surveyor) conduct an evening observation in the facility. Dinner is served, and you observe a male individual, whose name is Fonzie, ask for a second serving of meatloaf and mashed potatoes. Staff A walks over to Fonzie, stands next to him, and loudly says “No. You’ve had enough. You’re done.” Fonzie does not reply and Staff A leaves Fonzie’s side and walks into the kitchen. Fonzie then quickly stands up and walks to his bedroom while yelling “I didn’t do anything wrong. I hate this place.” Fonzie then hits the wall and enters his room.

You observe Staff A quickly follow Fonzie into his room and yell “stop.” You observe Fonzie turn around and raise his right fist as if to hit Staff A. Staff A responds by wrapping his arms around Fonzie’s arms in a bear hug. You observe both Fonzie and Staff A fall on the floor and Staff A lands on top of Fonzie. You observe Fonzie’s face hit the floor and blood begins to flow from his nose. Fonzie begins yelling “Get off me. Let me go.” Staff A continues to hold Fonzie who is moving his body from side to side. You time the interaction and it takes 4 minutes for Fonzie to calm. Staff A releases his hold after 1 minute of calm. Staff A then stands up and leaves Fonzie’s room. You observe Fonzie laying on the floor and he starts to cry.

You review Fonzie’s IPP and behavior program. His IPP states he is a 42-year old male diagnosed with borderline intellectual disability, schizophrenia, and PTSD. His behavior plan states he was diagnosed with PTSD due to a history of repeated physical and sexual abuse, including rape. His behavior program states he can become aggressive when he feels threatened by others but “due to his history of abuse and his diagnosis of PTSD, avoid physical restraints as much as possible. Block and redirect all assaults. Follow the Emergency Restraint Policy only if absolutely necessary.”

You interview the QIDP about the behavior program. The QIDP states Fonzie “does not do well when he is restrained.” The QIDP states since Fonzie’s admission to the facility 10 months ago, he’s been restrained twice. The QIDP states after each restraint use, Fonzie isolates in his room and he won’t really eat anything or do anything like shower or go to work. The QIDP states it “usually takes a couple of weeks for him to come out of it, which is why we don’t like to restrain him, but sometimes we have to so other people don’t get hurt.”

### **REGULATIONS:**

W249: As soon as the Interdisciplinary team has formulated a client’s individual program plan, each client must receive a continuous active treatment program consisting of needed interventions and services in sufficient number and frequency to support the achievement of the objectives identified in the individual program plan.

W285: Interventions to manage inappropriate client behavior must be employed with sufficient safeguards and supervision to ensure that the safety, welfare and civil and human rights of clients are adequately protected.

W289: The use of systematic interventions to manage inappropriate client behavior must be incorporated into the client’s individual program plan.

#### **SCENERIO #4:**

You (the surveyor) conduct a morning observation at the facility. Staff B and C are assisting individuals in their bedrooms with the doors closed and Staff A is in the kitchen preparing breakfast. At 7:32 a.m., an individual named Scott enters the kitchen and begins yelling at Staff A. Scott screams at Staff A “Stay away from me! You’re not supposed to be near me!” Scott quickly takes a breakfast bar from the kitchen counter and runs to his bedroom. Staff A continues making breakfast.

You follow Scott to his bedroom and Scott screams “They are holding me here against my will. I can’t go to school. Staff hit me. He’s going to do it again. It’s not the first time.” Scott then enters the bathroom and slams the door.

Staff B overhears the conversation and states that yesterday morning, Staff A was working with Scott and Scott was upset because Staff A told him he couldn’t go to his GED class because he didn’t follow his “Prep for School” program. Staff B states Scott attacked Staff A and was hitting and kicking him. Staff B states “Yesterday, Scott told his swing shift staff that Staff A had hit him back, but who knows, Scott makes stuff up.” You ask Staff B if an incident report was completed. Staff B states “I don’t know, you have to ask the Home Manager. I heard about it from graveyard staff this morning.” Staff B also states there’s a note in the shift log and Scott’s supposed to stay away from Staff A.

You review the shift log. A note from the Home Manager states Scott is currently targeting Staff A and instructs the staff to please help Scott avoid Staff A “as much as possible (e.g. Scott may eat in his room instead of at the table, complete his OT and PT programs in his room instead of the living room, etc.)”

You interview the Home Manger about the note. The Home Manager states Scott had accused Staff A of hitting him 3 times yesterday morning. The Home Manager states an incident report was completed and an investigation was initiated, but Scott is “truth challenged and has a tendency to make false allegations.” The Home Manager states as a precautionary measure, Staff A was not assigned to work with Scott and told to stay away from him as much as possible, but Staff A was not removed from working because “we don’t want to reinforce Scott’s lying.” You ask the Home Manager about a program related to the false allegations. The Home Manger states Scott doesn’t have a current program, but “I think the Q is working on one.”

#### **REGULATIONS:**

W127: The facility must ensure that clients are not subjected to physical, verbal, sexual or psychological abuse or punishment.

W155: The facility must prevent further potential abuse while the investigation is in progress.

W227: The individual program plan states the specific objectives necessary to meet the client’s needs, as identified by the comprehensive assessment.

## **SCENARIO #5:**

During the entrance survey, you (the surveyor) are told Janice is a new admission in the last six months. Janice is selected for sample and you are provided with a copy of her IPP. Her IPP states she is a 14-year-old female whose diagnoses include moderate intellectual disability and autism. She attends middle school on a full-time basis, Monday through Friday.

During an observation at the school, the school teacher tells you they use a time-out room with Janice because of an incident where she grabbed a pair of scissors and attempted to stab a staff and other students. The teacher states that when staff blocked her, she attempted to stab herself and hit her head several times against a desk which caused a gash to her forehead. The teacher states 2 staff had to escort Janice to the time out room and after she was in the room, she hit her head on the door several times.

You observe the time-out room and it is 6 feet by 6 feet in diameter and the walls are 8 feet high. The walls are padded. The door is metal with a 1 foot by 1 foot glass window in the center of the door. There is a curtain on the front of the window and there is no padding on the inside of the door. The school teacher states the door is going to be replaced with a padded door, but she has no idea when that will occur.

You interview the QIDP who states she began working at the facility 4 and a half months ago. She states she has not been to the school or talked with the teacher directly, but the staff get updates when they pick Janice up from school and there is a communication log that is sent back and forth. You ask about the time-out room. The QIDP states she has not seen the room and is not familiar with any time-out room safety requirements. The QIDP states the Administrator has provided her with “some” training and she does have a copy of the regs, but she has not received training specific to time-out rooms.

You interview the Administrator. The Administrator states he knew about the gash on Janice’s head, and it was due to her headbanging on her desk. He states he was not aware that a time-out room is being used at the school or that the door is not padded. You ask about QIDP training. The Administrator states he is in the process of training the QIDP but has not talked about time-out rooms because the facility does not use them. You ask about coordination of services with the school. The Administrator states the QIDP is responsible for coordinating all outside services, per the QIDP job description, but additional training related to the coordination of outside services has not yet been completed with the QIDP.

## **REGULATIONS:**

W104: The governing body must exercise general policy, budget, and operating direction over the facility.

W120: The facility must assure that outside services meet the needs of each client.

W159: Each client’s active treatment program must be integrated, coordinated and monitored by a qualified intellectual disability professional.

## **SCENARIO #6**

During a dinner observation, you (the surveyor) observe Staff A in the kitchen preparing dinner. Staff A tells Cordelia her dinner is ready and to sit at the table. Staff A prepares Cordelia's plate and gives her 1 slice of meatloaf, 3 large spoons of mashed potatoes with 2 spoons of brown gravy, and half a spoon of green beans. Staff A then takes the plate of food and places it in front of Cordelia on the table.

You observe Staff B enter the dining room and state "Cordelia, you are on a restricted diet. You know you can't have all of that" and attempts to take Cordelia's plate from her. Cordelia repeatedly yells "Don't touch my food." You hear Anne, Cordelia's roommate, yell "Shut up. Use your inside voice."

Cordelia continues to yell, and Anne enters the kitchen. Anne states "I hate her voice. It drives me crazy." and then walks over to Cordelia and states "Shut up you lard butt. You know you can't have all that. You're a f\*\*\*ing fat pig." Anne then starts making pig sounds and Cordelia says "F\*\*\* off. Leave me alone." You note this continues for 5 minutes. You observe Staff A and Staff B saying, "That's not nice." After 5 minutes, Staff B escorts Anne to her room.

You ask both staff about the exchange between Cordelia and Anne. Both staff state it is "normal" for them and they "get on each other's nerves a lot." The staff state, "we just try to keep them apart" and document it in the behavior logs.

You review Cordelia and Anne's behavior programs and behavior data. Information related to verbal aggression is not present in either program, but the last 2 months of their behavior logs document 192 incidents of verbal aggression between Anne and Cordelia.

You interview Cordelia. She states, "Anne's always mean to me and staff don't do anything about it. I hate it here, I can't take it anymore."

You interview the QIDP. The QIDP states Anne moved into the facility about 5 months ago and she and Cordelia haven't gotten along. The QIDP states Cordelia was supposed to move in March (2 months ago) but they are still working through the process and it just hasn't happened yet. The QIDP states Cordelia was really excited about moving and is disappointed that it has not happened yet. The QIDP states "That's why Cordelia is depressed. She is refusing to leave her room most days and has threatened to kill herself a couple of times in the past couple of months." You ask if Cordelia's behavior has been re-assessed based on the increase in depressive symptoms and suicidal ideation. The QIDP states "No, we know what's going on, she just needs to move." You ask about objectives and plans to address the verbal aggression for both Anne and Cordelia. The QIDP states verbal aggression is included in both Anne and Cordelia's behavior assessments and it is "tracked informally," but there are no objectives because it's not a priority for them. The QIDP states Anne engages in physical aggression which the IDT determined to be a higher priority need than verbal aggression and Cordelia is working on her "mental health stuff" like suicidal ideation, which is a higher priority than verbal aggression.

## **REGULATIONS:**

W127: Ensure that clients are not subjected to physical, verbal, sexual or psychological abuse or punishment.

W227: The IPP states the specific objectives necessary to meet the client's needs, as identified by the comprehensive assessment.

W259: The comprehensive functional assessment of each client must be reviewed by the interdisciplinary team for relevancy and updated as needed.