



Protecting, Maintaining and Improving the Health of Minnesotans

Certified Mail # 7004 1160 0000 9988 0385

December 19, 2005

Heather Bass, Administrator
Autumn Grace
118 Raven Court
Mankato, MN 56001

Re: Licensing Follow Up Revisit

Dear Ms. Bass:

This is to inform you of the results of a facility visit conducted by staff of the Minnesota Department of Health, Case Mix Review Program, on November 8, 2005.

The documents checked below are enclosed.

- Informational Memorandum
Items noted and discussed at the facility visit including status of outstanding licensing correction orders.
- MDH Correction Order and Licensed Survey Form
Correction order(s) issued pursuant to visit of your facility.
- Notices Of Assessment For Noncompliance With Correction Orders For Home Care Providers

Feel free to call our office if you have any questions at (651) 215-8703.

Sincerely,

Jean Johnston, Program Manager
Case Mix Review Program

Enclosure(s)

cc: Brad Bass, President Governing Board
Blue Earth County Social Services
Gloria Lehnertz, Minnesota Department of Human Services
Sherilyn Moe, Office of Ombudsman for Older Minnesotans
Case Mix Review File

10/04 FPC1000CMR

**Minnesota Department Of Health
Health Policy, Information and Compliance Monitoring Division
Case Mix Review Section**

INFORMATIONAL MEMORANDUM

PROVIDER: AUTUMN GRACE

DATE OF SURVEY: November 8, 2005

BEDS LICENSED:

HOSP: _____ NH: _____ BCH: _____ SLFA: _____ SLFB: _____

CENSUS:

HOSP: _____ NH: _____ BCH: _____ SLF: _____

BEDS CERTIFIED:

SNF/18: _____ SNF 18/19: _____ NFI: _____ NFII: _____ ICF/MR: _____ OTHER:
ALHCP

NAMES AND TITLES OF PERSONS INTERVIEWED:

1. Heather Bass, Owner/licensee
2. Melissa Guillemette, LSW/Residential Dir.
3. Dawn Clobes, RN
4. Sharon Mulenberg, LPN
5. Rebecca Schabert, Lillian House Supervisor

SUBJECT: Licensing Survey _____ Licensing Order Follow Up X

ITEMS NOTED AND DISCUSSED:

- 1) On November 8, 2005, an unannounced visit was made to followup on the status of state licensing orders issued as a result of a visit made on July 25, 26, 27, 28 and August 1, 2005. The results of the survey were delineated during the exit conference. Refer to Exit Conference Attendance Sheet for the names of individuals attending the exit conference. The status of the Correction orders is as follows:

- | | |
|-------------------------------|-----------|
| 1. MN Rule 4668.0815 Subp. 1. | Corrected |
| 2. MN Rule 4668.0815 Subp. 3. | Corrected |
| 3. MN Rule 4668.0845 Subp. 2. | Corrected |
| 4. MN Rule 4668.0855 Subp. 2. | Corrected |



Protecting, Maintaining and Improving the Health of Minnesotans

Certified Mail # 7004 1160 0004 8711 7805

September 26, 2005

Heather Bass, Administrator
Autumn Grace
118 Raven Court
Mankato, MN 56001

Re: Results of State Licensing Survey

Dear Ms. Bass:

The above agency was surveyed on July 25, 26, 27, 28, and August 1, 2005 for the purpose of assessing compliance with state licensing regulations. State licensing deficiencies, if found, are delineated on the attached Minnesota Department of Health (MDH) correction order form. The correction order form should be signed and returned to this office when all orders are corrected. We urge you to review these orders carefully, item by item, and if you find that any of the orders are not in accordance with your understanding at the time of the exit conference following the survey, you should immediately contact me, or the RN Program Coordinator. If further clarification is necessary, I can arrange for an informal conference at which time your questions relating to the order(s) can be discussed.

A final version of the Licensing Survey Form is enclosed. This document will be posted on the MDH website.

Also attached is an optional Provider questionnaire, which is a self-mailer, which affords the provider with an opportunity to give feedback on the survey experience.

Please feel free to call our office with any questions at (651) 215-8703.

Sincerely,

Jean Johnston, Program Manager
Case Mix Review Program

Enclosures

cc: Brad Bass, President Governing Body
Kelly Crawford, Minnesota Department of Human Services
Blue Earth County Social Services
Sherilyn Moe, Office of the Ombudsman
CMR File

CMR 3199 6/04



Assisted Living Home Care Provider
LICENSING SURVEY FORM

Registered nurses from the Minnesota Department of Health (MDH) use the Licensing Survey Form during an on-site visit to evaluate the care provided by Assisted Living home care providers (ALHCP). The ALHCP licensee may also use the form to monitor the quality of services provided to clients at any time. Licensees may use their completed Licensing Survey Form to help communicate to MDH nurses during an on-site regulatory visit.

During an on-site visit, MDH nurses will interview ALHCP staff, make observations, and review some of the agency's documentation. The nurses may also talk to clients and/or their representatives. This is an opportunity for the licensee to explain to the MDH nurse what systems are in place to provide Assisted Living services. Completing the Licensing Survey Form in advance may expedite the survey process.

Licensing requirements listed below are reviewed during a survey. A determination is made whether the requirements are met or not met for each Indicator of Compliance box. This form must be used in conjunction with a copy of the ALHCP home care regulations. Any violations of ALHCP licensing requirements are noted at the end of the survey form.

Name of ALHCP: AUTUMN GRACE

HFID # (MDH internal use): 23093

Dates of Survey: July 25, 26, 27, 28, and August 1, 2005

Project # (MDH internal use): QL23093003

Indicators of Compliance	Outcomes Observed	Comments
1. The agency only accepts and retains clients for whom it can meet the needs as agreed to in the service plan. (MN Rules 4668.0050, 4668.0800 Subpart 3, 4668.0815, 4668.0825, 4668.0845, 4668.0865)	Each client has an assessment and service plan developed by a registered nurse within 2 weeks and prior to initiation of delegated nursing services, reviewed at least annually, and as needed. The service plan accurately describes the client's needs. Care is provided as stated in the service plan. The client and/or representative understands what care will be provided and what it costs.	<input type="checkbox"/> Met <input checked="" type="checkbox"/> Correction Order(s) issued <input checked="" type="checkbox"/> Education Provided

Indicators of Compliance	Outcomes Observed	Comments
<p>2. Agency staff promote the clients' rights as stated in the Minnesota Home Care Bill of Rights. (MN Statute 144A.44; MN Rule 4668.0030)</p>	<p>No violations of the MN Home Care Bill of Rights (BOR) are noted during observations, interviews, or review of the agency's documentation. Clients and/or their representatives receive a copy of the BOR when (or before) services are initiated. There is written acknowledgment in the client's clinical record to show that the BOR was received (or why acknowledgment could not be obtained).</p>	<p><input checked="" type="checkbox"/> Met <input type="checkbox"/> Correction Order(s) issued <input checked="" type="checkbox"/> Education Provided</p>
<p>3. The health, safety, and well being of clients are protected and promoted. (MN Statutes 144A.44; 144A.46 Subd. 5(b), 144D.07, 626.557; MN Rules 4668.0065, 4668.0805)</p>	<p>Clients are free from abuse or neglect. Clients are free from restraints imposed for purposes of discipline or convenience. Agency staff observe infection control requirements. There is a system for reporting and investigating any incidents of maltreatment. There is adequate training and supervision for all staff. Criminal background checks are performed as required.</p>	<p><input type="checkbox"/> Met <input checked="" type="checkbox"/> Correction Order(s) issued <input checked="" type="checkbox"/> Education Provided</p>
<p>4. The agency has a system to receive, investigate, and resolve complaints from its clients and/or their representatives. (MN Rule 4668.0040)</p>	<p>There is a formal system for complaints. Clients and/or their representatives are aware of the complaint system. Complaints are investigated and resolved by agency staff.</p>	<p><input checked="" type="checkbox"/> Met <input type="checkbox"/> Correction Order(s) issued <input type="checkbox"/> Education Provided</p>
<p>5. The clients' confidentiality is maintained. (MN Statute 144A.44; MN Rule 4668.0810)</p>	<p>Client personal information and records are secure. Any information about clients is released only to appropriate parties. Permission to release information is obtained, as required, from clients and/or their representatives.</p>	<p><input checked="" type="checkbox"/> Met <input type="checkbox"/> Correction Order(s) issued <input type="checkbox"/> Education Provided</p>
<p>6. Changes in a client's condition are recognized and acted upon. (MN Rules 4668.0815, 4668.0820, 4668.0825)</p>	<p>A registered nurse is contacted when there is a change in a client's condition that requires a nursing assessment or reevaluation, a change in the services and/or there is a problem with providing services as stated in the service plan. Emergency and medical services are contacted, as needed. The client and/or representative is informed when changes occur.</p>	<p><input checked="" type="checkbox"/> Met <input type="checkbox"/> Correction Order(s) issued <input type="checkbox"/> Education Provided</p>

Indicators of Compliance	Outcomes Observed	Comments
7. The agency employs (or contracts with) qualified staff. (MN Statutes 144D.065; 144A.45, Subd. 5; MN Rules 4668.0070, 4668.0820, 4668.0825, 4668.0030, 4668.0835, 4668.0840)	Staff have received training and/or competency evaluations as required, including training in dementia care, if applicable. Nurse licenses are current. The registered nurse(s) delegates nursing tasks only to staff who are competent to perform the procedures that have been delegated. The process of delegation and supervision is clear to all staff and reflected in their job descriptions.	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Correction <input type="checkbox"/> Order(s) issued <input type="checkbox"/> Education <input type="checkbox"/> Provided
8. Medications are stored and administered safely. (MN Rules 4668.0800 Subpart 3, 4668.0855, 4668.0860)	The agency has a system for the control of medications. Staff are trained by a registered nurse prior to administering medications. Medications and treatments administered are ordered by a prescriber. Medications are properly labeled. Medications and treatments are administered as prescribed. Medications and treatments administered are documented.	<input type="checkbox"/> Met <input checked="" type="checkbox"/> Correction <input type="checkbox"/> Order(s) issued <input checked="" type="checkbox"/> Education <input type="checkbox"/> Provided <input type="checkbox"/> N/A
9. Continuity of care is promoted for clients who are discharged from the agency. (MN Statute 144A.44, 144D.04; MN Rules 4668.0050, 4668.0170, 4668.0800, 4668.0870)	Clients are given information about other home care services available, if needed. Agency staff follow any Health Care Declarations of the client. Clients are given advance notice when services are terminated by the ALHCP. Medications are returned to the client or properly disposed of at discharge from a HWS.	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Correction <input type="checkbox"/> Order(s) issued <input type="checkbox"/> Education <input type="checkbox"/> Provided <input type="checkbox"/> N/A
10. The agency has a current license. (MN Statutes 144D.02, 144D.04, 144D.05, 144A.46; MN Rule 4668.0012 Subp.17) <u>Note:</u> MDH will make referrals to the Attorney General's office for violations of MN Statutes 144D or 325F.72; and make other referrals, as needed.	The ALHCP license (and other licenses or registrations as required) are posted in a place that communicates to the public what services may be provided. The agency operates within its license(s).	<input checked="" type="checkbox"/> Met <input type="checkbox"/> Correction <input type="checkbox"/> Order(s) issued <input checked="" type="checkbox"/> Education <input type="checkbox"/> Provided

Please note: Although the focus of the licensing survey is the regulations listed in the Indicators of Compliance boxes above, other violations may be cited depending on what systems a provider has or fails to have in place and/or the severity of a violation. Also, the results of the focused licensing survey may result in an expanded survey where additional interviews, observations, and documentation reviews are conducted.

Survey Results:

_____ All Indicators of Compliance listed above were met.

For Indicators of Compliance not met and/or education provided, list the number, regulation number, and example(s) of deficient practice noted:

Indicator of Compliance	Regulation	Correction Order Issued	Education provided	Statement(s) of Deficient Practice/Education:
1.	MN Rule 4668.0815 Subp. 1 Evaluation; documentation	X	X	<p>Based on record review and interviews, the licensee failed to ensure a registered nurse (RN) had completed an individualized evaluation of the client's needs and established with the client or the client's responsible person a suitable and up-to-date service plan for four of four clients' (2B, 3B, 4B and 5B) records reviewed at site B. The findings include:</p> <p>During an interview with the licensee and employee 2A July 25, 2005, it was reported the Site B home received a Housing With Services registration March of 2005, and assisted living home care services are provided to clients 2B, 3B, 4B and 5B. The site B home was also a licensed Adult Foster Care home. There were no individualized evaluation of the client's needs by a registered nurse or service plans for clients' 2B, 3B, 4B and 5B. Client 2B's medical record was reviewed on July 27 and 28, 2005. There was no individualized evaluation or a service plan by a RN in client 2B's medical record. When interviewed July 25 and August 1, 2005, the licensee confirmed no evaluations or service plans had been done for clients' 2B, 3B, 4B and 5B.</p> <p><u>Education:</u> Provided</p>
1.	MN Rule 4668.0815 Subp. 3 Modifications	X	X	<p>Based on record review and interview the licensee failed to have a registered nurse modify the service plan for two of three clients' (6A and 7A) records reviewed at the site A. The findings include:</p>

Indicator of Compliance	Regulation	Correction Order Issued	Education provided	Statement(s) of Deficient Practice/Education:
				<p>Documentation dated May 16, 2005, and an interview with the licensee on July 27, 2005, indicated clients and/or representatives were notified in writing of a fee increase effective July 1, 2005. (The ALHCP and HSW fees are bundled.)</p> <p>Client 6A began receiving services June of 2005. On June 6, 2005 client 6A's representative signed a service plan with the fees for June 2005. At the start of services, the representative was informed of a July 1, 2005 rate increase. The service plan was not modified to reflect the fee increase on July 1, 2005.</p> <p>Client 7A began receiving services May of 2004. Her unsigned service plan indicated the monthly charges were "\$0.00." A signed Resident Admission Agreement indicated the daily fee was \$123.00 per day. The service plan was not modified to reflect a fee increase effective July 1, 2005.</p> <p>When interviewed July 27 and August 1, 2005, the licensee confirmed the service plan was not modified to reflect a fee increase effective July 1, 2005 for clients' 6A and 7A.</p> <p><u>Education:</u> Provided</p>
3.	MN Rule 4668.0845 Subp. 2 Services that require supervision by a registered nurse.	X	X	<p>Based on record review and interviews, the licensee failed to have a registered nurse (RN) supervise unlicensed personnel who perform services that require supervision for three clients' (6A, 7A, 8A) records reviewed at site A and one of four clients' (2B) records reviewed at site B. The findings include:</p> <p>Clients' 2B, 6A, 7A, and 8A, began receiving assisted living home care services</p>

Indicator of Compliance	Regulation	Correction Order Issued	Education provided	Statement(s) of Deficient Practice/Education:
				<p>March of 2005, June of 2005, May of 2004, and June of 2005, respectively. Clients 7A, and 6A began receiving services at site A, May of 2004 and June of 2005 respectively.</p> <p>Clients' 2B, 6A, 7A, and 8A all received medication administration and various delegated nursing services. The records for clients 6A, 7A, 8A and 2B, did not contain supervisory visits of the unlicensed personnel by a RN or monitoring visits by a licensed practical nurse.</p> <p>Interviews with the residence director July 26, 2005, and with the residence director and the licensee on August 1, 2005, indicated supervisory visits by the RN or LPN were thought to be an employee evaluation and were not placed in the client's medical record. The employee evaluation visits that were conducted were not performed while unlicensed staff cared for clients' 6A, 7A, 8A and 2B.</p> <p><u>Education:</u> Provided</p>
8.	MN Rule 4668.0855 Subp. 2 Nursing assessment and service plan.	X	X	<p>Based on record review and interview, the licensee failed to ensure that a registered nurse (RN) conducted an assessment of each client's functional status and need for assistance with medication or medication administration or developed a service plan for the provision of the services for four of four clients (2B, 3B, 4B and 5B) records reviewed at site B. The findings include:</p> <p>During an interview with the licensee and residence director on July 25, 2005, it was reported the site B home received a Housing With Services registration March of 2005, and assisted living home care services were provided to clients 2B, 3B, 4B and 5B. The site B home was also a licensed Adult Foster Care home. There were no nursing assessments of the client's functional status and need for assistance with self-administration of medication or</p>

Indicator of Compliance	Regulation	Correction Order Issued	Education provided	Statement(s) of Deficient Practice/Education:
				<p>medication administration, or a service plan for the provision of medication administration for clients' 2B, 3B, 4B and 5B. When interviewed July 25 and August 1, 2005, the licensee confirmed no assessments of functional status and need for assistance with medication or service plans had been done for clients' 2B, 3B, 4B and 5B.</p> <p><u>Education:</u> Provided</p>

A draft copy of this completed form was left with Heather Bass, Owner/Licensee, at an exit conference on August 1, 2005. Any correction orders issued as a result of the on-site visit and the final Licensing Survey Form will arrive by certified mail to the licensee within 3 weeks of this exit conference (see Correction Order form HE-01239-03). If you have any questions about the Licensing Survey Form or the survey results, please contact the Minnesota Department of Health, (651) 215-8703. After supervisory review, this form will be posted on the MDH website. General information about ALHCP is also available on the website:

<http://www.health.state.mn.us/divs/fpc/profinfo/cms/alhcp/alhcpsurvey.htm>

Regulations can be viewed on the Internet: <http://www.revisor.leg.state.mn.us/stats> (for MN statutes) <http://www.revisor.leg.state.mn.us/arule/> (for MN Rules).

(Form Revision 7/04)