



*Protecting, Maintaining and Improving the Health of Minnesotans*

Certified Mail # 7004 1350 0003 0567 0902

January 25, 2008

Ai Yang, Administrator  
Ardent Home Healthcare Inc  
551 Western Avenue N  
St. Paul, MN 55103

Re: Results of State Licensing Survey

Dear Ms. Yang:

The above agency was surveyed on January 2, 3, and 4, 2008, 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 note, it is your responsibility to share the information contained in this letter and the results of this visit with the President of your facility's Governing Body.

Please feel free to call our office with any questions at (651) 201-4301.

Sincerely,

A handwritten signature in black ink that reads "Jean M. Johnston". The signature is written in a cursive style with a large, looped "J" and "N".

Jean Johnston, Program Manager  
Case Mix Review Program

Enclosures

cc: Ramsey County Social Services  
Ron Drude, Minnesota Department of Human Services  
Sherilyn Moe, Office of the Ombudsman

01/07 CMR3199

Division of Compliance Monitoring • Case Mix Review  
85 East 7th Place Suite, 220 • PO Box 64938 • St. Paul, MN 55164-0938 • 651-201-4301  
General Information: 651-201-5000 or 888-345-0823 • TTY: 651-201-5797 • Minnesota Relay Service: 800-627-3529

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Class A Licensed-Only Home Care Provider

LICENSING SURVEY FORM

Registered nurses from the Minnesota Department of Health (MDH) use this Licensing Survey Form during on-site visits to evaluate the care provided by Class A Licensed-Only Home Care Providers. Class A licensees may also use this form to monitor the quality of services provided to clients at any time. Licensees may use their completed Licensing Survey Form to help communicate with MDH nurses during an on-site regulatory visit.

During an on-site visit, MDH nurses will interview staff, clients and/or their representatives, make observations and review documentation. The survey is an opportunity for the licensee to describe to the MDH nurse what systems are in place to provide Class A Licensed-Only Home Care services. Completing this Licensing Survey Form in advance may facilitate 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. This form must be used in conjunction with a copy of the Class A Licensed-Only Home Care regulations. Any violations of the Class A licensing requirements are noted at the end of the survey form.

Name of Class A Licensee: ARDENT HOME HEALTHCARE INC

HFID #: 20691

Date(s) of Survey: January 2, 3 and 4, 2008

Project #: QL20691003

| Indicators of Compliance   | Outcomes Observed  | Comments   |
|--|--|--|
| <p>1. The provider accepts and retains clients for whom it can meet the needs.</p> <p><b>Focus Survey</b></p> <ul style="list-style-type: none"> <li>MN Rule 4668.0140</li> </ul> <p><b>Expanded Survey</b></p> <ul style="list-style-type: none"> <li>MN Rule 4668.0050</li> <li>MN Rule 4668.0060 Subp. 3, 4 and 5</li> <li>MN Rule 4668.0180 Subp. 8</li> </ul> | <ul style="list-style-type: none"> <li>Clients are accepted based on the availability of staff, sufficient in qualifications and numbers, to adequately provide the services agreed to in the service agreement.</li> <li>Service plans accurately describe the needs and services and contain all the required information.</li> <li>Services agreed to are provided<br/>Clients are provided referral assistance.</li> </ul> | <p><b>Focus Survey</b></p> <p><input type="checkbox"/> Met</p> <p><input type="checkbox"/> Correction Order(s) issued</p> <p><input type="checkbox"/> Education Provided</p> <p><b>Expanded Survey</b></p> <p><input type="checkbox"/> Survey not Expanded</p> <p><input type="checkbox"/> Met</p> <p><input checked="" type="checkbox"/> Correction Order(s) issued</p> <p><input checked="" type="checkbox"/> Education Provided</p> <p><b>Follow-up Survey #</b> _____</p> <p><input type="checkbox"/> New Correction Order issued</p> <p><input type="checkbox"/> Education Provided</p> |

| Indicators of Compliance   | Outcomes Observed  | Comments  |
|--|--|---|
| <p>2. The provider promotes client rights.</p> <p><b>Focus Survey</b></p> <ul style="list-style-type: none"> <li>• MN Rule 4668.0030</li> <li>• MN Statute §144A.44</li> </ul> <p><b>Expanded Survey</b></p> <ul style="list-style-type: none"> <li>• MN Rule 4668.0040</li> <li>• MN Rule 4668.0170</li> </ul>  | <ul style="list-style-type: none"> <li>• Clients’ are aware of and have their rights honored.</li> <li>• Clients’ are informed of and afforded the right to file a complaint.</li> </ul>   | <p><b>Focus Survey</b></p> <p>___ Met</p> <p>___ Correction Order(s) issued</p> <p>___ Education Provided</p> <p><b>Expanded Survey</b></p> <p>___ Survey not Expanded</p> <p>___ Met</p> <p><u>X</u> Correction Order(s) issued</p> <p><u>X</u> Education Provided</p> <p><b>Follow-up Survey #</b> ___</p> <p>___ New Correction Order issued</p> <p>___ Education Provided</p> |
| <p>3. The provider promotes and protects each client’s safety, property, and well-being.</p> <p><b>Focus Survey</b></p> <ul style="list-style-type: none"> <li>• MN Statutes §144A.46 Subd. 5(b)</li> <li>• MN Statute §626.556</li> <li>• MN Statutes §626.557</li> </ul> <p><b>Expanded Survey</b></p> <ul style="list-style-type: none"> <li>• MN Rule 4668.0035</li> </ul> | <ul style="list-style-type: none"> <li>• Client’s person, finances and property are safe and secure.</li> <li>• All criminal background checks are performed as required.</li> <li>• Clients are free from maltreatment.</li> <li>• There is a system for reporting and investigating any incidents of maltreatment.</li> <li>• Maltreatment assessments and prevention plans are accurate and current.</li> </ul> | <p><b>Focus Survey</b></p> <p>___ Met</p> <p>___ Correction Order(s) issued</p> <p>___ Education Provided</p> <p><b>Expanded Survey</b></p> <p>___ Survey not Expanded</p> <p>___ Met</p> <p><u>X</u> Correction Order(s) issued</p> <p><u>X</u> Education Provided</p> <p><b>Follow-up Survey #</b> ___</p> <p>___ New Correction Order issued</p> <p>___ Education Provided</p> |
| <p>4. The provider maintains and protects client records.</p> <p><b>Focus Survey</b></p> <ul style="list-style-type: none"> <li>• MN Rule 4668.0160</li> </ul> <p><b>Expanded Survey</b></p> <p>[Note: See Informational Bulletin 99-11 for Class A variance for Electronically Transmitted Orders.</p>  | <ul style="list-style-type: none"> <li>• <b>Client records are maintained and retained securely.</b></li> <li>• <b>Client records contain all required documentation.</b></li> <li>• Client information is released only to appropriate parties.</li> <li>• Discharge summaries are available upon request.</li> </ul>   | <p><b>Focus Survey</b></p> <p>___ Met</p> <p><u>X</u> Correction Order(s) issued</p> <p><u>X</u> Education Provided</p> <p><b>Expanded Survey</b></p> <p>___ Survey not Expanded</p> <p>___ Met</p>   |

| Indicators of Compliance   | Outcomes Observed  | Comments   |
|--|--|--|
| <p>Non-compliance with this variance will result in a correction order issued under 4668.0016.]</p>  |  | <p>___ Correction Order(s) issued<br/>___ Education Provided<br/><b>Follow-up Survey #</b> ___<br/>___ New Correction Order issued<br/>___ Education Provided</p>  |
| <p>5. The provider employs and/or contracts with qualified and trained staff.</p> <p><b>Focus Survey</b></p> <ul style="list-style-type: none"> <li>• MN Rule 4668.0100</li> <li>• [Except Subp. 2]</li> <li>• MN Rule 4668.0065</li> </ul> <p><b>Expanded Survey</b></p> <ul style="list-style-type: none"> <li>• MN Rule 4668.0060 Subp. 1</li> <li>• MN Rule 4668.0070</li> <li>• MN Rule 4668.0075</li> <li>• MN Rule 4668.0080</li> <li>• MN Rule 4668.0130</li> <li>• MN Statute §144A.45 Subd. 5</li> </ul> <p>[Note: See Informational Bulletin 99-7 for Class A variance in a Housing With Services Setting. Non-compliance with this variance will result in a correction order issued under 4668.0016.]</p> | <ul style="list-style-type: none"> <li>• Staff, employed or contracted, have received all the required training.</li> <li>• Staff, employed or contracted, meet the Tuberculosis and all other infection control guidelines.</li> <li>• Personnel records are maintained and retained.</li> <li>• Licensee and all staff have received the required Orientation to Home Care.</li> <li>• Staff, employed or contracted, are registered and licensed as required by law.</li> <li>• Documentation of medication administration procedures are available.</li> <li>• Supervision is provided as required.</li> </ul> | <p><b>Focus Survey</b></p> <p>___ Met<br/>___ Correction Order(s) issued<br/>___ Education Provided</p> <p><b>Expanded Survey</b></p> <p>___ Survey not Expanded<br/>___ Met<br/><u>X</u> Correction Order(s) issued<br/><u>X</u> Education Provided</p> <p><b>Follow-up Survey #</b> ___<br/>___ New Correction Order issued<br/>___ Education Provided</p> |
| <p>6. The provider obtains and keeps current all medication and treatment orders [if applicable].</p> <p><b>Focus Survey</b></p> <ul style="list-style-type: none"> <li>• MN Rule 4668.0150</li> </ul> <p><b>Expanded Survey</b></p> <ul style="list-style-type: none"> <li>• MN Rule 4668.0100 Subp. 2</li> </ul> <p>[Note: See Informational Bulletin 99-7 and 04-12 for Class A variance in a Housing With Services setting with regards to medication administration, storage</p>  | <ul style="list-style-type: none"> <li>• Medications and treatments administered are ordered by a prescriber.</li> <li>• Medications are properly labeled.</li> <li>• Medications and treatments are administered as prescribed.</li> <li>• Medications and treatments administered are documented.</li> <li>• Medications and treatments are renewed at least every three months.</li> </ul>  | <p><b>Focus Survey</b></p> <p>___ Met<br/>___ Correction Order(s) issued<br/>___ Education Provided</p> <p><b>Expanded Survey</b></p> <p>___ Survey not Expanded<br/>___ Met<br/><u>X</u> Correction Order(s) issued<br/><u>X</u> Education Provided</p> <p><b>Follow-up Survey #</b> ___<br/>___ New Correction</p>   |

| Indicators of Compliance   | Outcomes Observed  | Comments   |
|--|--|--|
| and disposition. Non-compliance with this variance will result in a correction order issued under 4668.0016.]  |  | Order issued<br>___ Education Provided   |
| 7. The provider is licensed and provides services in accordance with the license.<br><br><b>Focus Survey</b> <ul style="list-style-type: none"> <li>• MN Rule 4668.0019</li> </ul> <b>Expanded Survey</b> <ul style="list-style-type: none"> <li>• MN Rule 4668.0008 Subp. 3</li> <li>• MN Rule 4668.0012</li> <li>• MN Rule 4668.0060 Subp. 2 and 6</li> <li>• MN Rule 4668.0180</li> <li>• MN Rule 4668.0220</li> </ul> <p><small>Note: 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.</small></p> | <ul style="list-style-type: none"> <li>• Language requiring compliance with Home Care statutes and rules is included in contracts for contracted services.</li> <li>• License is obtained, displayed, and renewed.</li> <li>• Licensee's advertisements accurately reflect services available.</li> <li>• Licensee provides services within the scope of the license.</li> <li>• Licensee has a contact person available when a para-professional is working.</li> </ul> | <b>Focus Survey</b><br>___ Met<br><input checked="" type="checkbox"/> Correction Order(s) issued<br><input checked="" type="checkbox"/> Education Provided<br><br><b>Expanded Survey</b><br>___ Survey not Expanded<br>___ Met<br>___ Correction Order(s) issued<br>___ Education Provided<br><br><b>Follow-up Survey #</b> ___<br>___ New Correction Order issued<br>___ Education Provided |
| 8. The provider is in compliance with MDH waivers and variances.<br><br><b>Expanded Survey</b> <ul style="list-style-type: none"> <li>• MN Rule 4668.0016</li> </ul>   | <ul style="list-style-type: none"> <li>• Licensee provides services within the scope of applicable MDH waivers and variances</li> </ul>  | <p><i>This area does not apply to a Focus Survey.</i></p> <b>Expanded Survey</b><br>___ Survey not Expanded<br>___ Met<br>___ Correction Order(s) issued<br><input checked="" type="checkbox"/> Education Provided<br><br><b>Follow-up Survey #</b> ___<br>___ New Correction Order issued<br>___ Education Provided   |

***Please note:*** Although the focus of the licensing survey is the regulations listed in the Indicators of Compliance boxes above, other rules and statutes may be cited depending on what system a provider has or fails to have in place and/or the severity of a violation. The findings, of the focused survey may result in an expanded survey.

**SURVEY RESULTS:** \_\_\_ All Indicators of Compliance listed above were met.

For Indicators of Compliance not met, the rule or statute numbers and the findings of deficient practice are noted below.

**1. MN Rule 4668.0019****INDICATOR OF COMPLIANCE: # 7**

Based on record review interview the licensee failed to provide accurate advertising in the marketing of services. The findings include:

The licensees' brochure read that "the RN" (registered nurse) "is available on call 24 hours a day to address any needs or concerns." When interviewed January 3, 2008, the RN stated that they do not have a registered nurse available 24 hours a day as stated.

**2. MN Rule 4668.0030 Subp. 4****INDICATOR OF COMPLIANCE: # 2**

Based on record review and interview the licensee failed to provide the correct text for the bill of rights and written notice that the client could contact the Office of Health Facility Complaints and the Office of the Ombudsman for Long Term Care with any complaints about the licensee for three of three clients (#1, #2 and #3) records reviewed The findings include:

Clients #1, #2 and #3 were given a "Provider Manual" which included the bill of rights text prior to October 1, 2001. During a home visit with client #2 on January 2, 2008, the client produced a 2001 copy of the Bill of Rights which did not include the right to contact the Office of Health Facility Complaints and the Office of the Ombudsman for Long Term Care and their phone numbers and addresses. The licensee's name, address, telephone number, and name or title of the person to whom problems or complaints may be directed was also missing.

When interviewed January 2, 2008, the administrator stated that they were not aware the provider manual was different from the current version of the Bill of Rights dated July 1, 2007.

**3. MN Rule 4668.0040 Subp. 2****INDICATOR OF COMPLIANCE: # 2**

Based on record review and interview, the licensee failed to provide clients with a complete notice related to the procedure for making a complaint for two of two current clients (#1 and #2) records reviewed. The findings include:

The agency's "Provider Manual" that was provided to clients included a complaint procedure. The complaint procedure did not include the name or title of the person to contact with a complaint, the right to complain to the Minnesota Department of Health, Office of Health Facility Complaints; and a statement that the provider will in no way retaliate because of a complaint.

When interviewed, January 2, and 3, 2008 the registered nurse and the administrator confirmed the information in the Provider Manual was not complete related to complaints.

**4. MN Rule 4668.0065 Subp. 1****INDICATOR OF COMPLIANCE: # 5**

Based on record review and interview, the licensee failed to ensure that employees had tuberculosis screening prior to providing direct care to clients for two of two employees' (B and C) records reviewed. The findings include:

Employees B and C were hired July of 2005 and September of 2005 respectively as unlicensed direct care staff. There was no evidence tuberculosis screening for employees B or C. When interviewed January 2, 2008, the administrator confirmed that there was no tuberculosis screening for employees B or C.

**5. MN Rule 4668.0065 Subp. 3****INDICATOR OF COMPLIANCE: # 5**

Based on record review and interview, the licensee failed to ensure annual infection control in-service training was completed by two of two unlicensed employees (B and C) records reviewed. The findings include:

Employees B and C were hired July of 2005 and September of 2005 respectively as unlicensed direct care staff. The most recent documentation of infection control training was September 11, 2006. During an interview January 3, 2008, the registered nurse stated there was no further documentation of infection control training for employees B and C for the year 2007 and there was no training provided to staff in 2007.

**6. MN Rule 4668.0075 Subp. 1****INDICATOR OF COMPLIANCE: # 5**

Based on record review and interview, the licensee failed to assure that each employee received orientation to home care requirements before providing home care services to clients for three of three employees (A, B and C) records reviewed. The findings include:

Employees A, B, and C were hired February of 2006, July of 2005 and September of 2005, respectively as direct care staff. There was no evidence that employees A, B or C had received orientation to home care requirements prior to providing home care services.

When interviewed January 2, 2008, the registered nurse stated that all employees had not received the orientation to home care requirements as there had been no education on the home care rules since they were a personal care attendant agency. The licensee provided a video "Orientation to Home Care Aide Professionalism" which lacked the required content of regulation of home care providers: state

licensure, services available through state regulated home care providers, service agreements, home care bill of rights, client protection, criminal disqualification, request by client for discontinuation of life sustaining treatment, confidentiality of client information, handling of client's finances and property, complaint procedure, vulnerable adult reporting responsibilities, emergency procedures and how to use 911.

**7. MN Rule 4668.0100 Subp. 2****INDICATOR OF COMPLIANCE: # 6**

Based on record review and interview, the licensee failed to ensure that the registered nurse (RN) delegated medication administration to unlicensed personnel who had been trained and demonstrated competency in the task for one of two unlicensed employees (#C) records reviewed. The findings include:

Employee C was hired September of 2005 as an unlicensed care giver and provided services to client #1. When interviewed on January 2, 2008, employee C stated that he provided medication administration to client #1 because of the client's physical limitations. There was no evidence of medication administration training in employee C's record. Employee C stated that when the client had difficulty swallowing, he would crush the client's medications and put them in food for the client to eat. When questioned regarding the training he had related to medication administration, employee C stated he had none, and that he "just knew" how to administer medications. When interviewed on January 2 and 3, 2008, RN, A confirmed that employee C had not been instructed in the procedures to administer the medications to client #1, that there was no written procedure documented in the client's record, and that employee C had not demonstrated to the RN his ability to competently follow the procedure of medication administration prior to administering medications.

**8. MN Rule 4668.0100 Subp. 4****INDICATOR OF COMPLIANCE: # 5**

Based on record review and interview, the licensee failed to ensure that the registered nurse (RN) delegated only those nursing services that could be delegated to unlicensed personnel per state licensing rules to one of two unlicensed employees (#C) records reviewed. The findings include:

Client #1 began receiving services from the agency August of 2006. During a home visit on January 3, 2008, client #1's indwelling urinary catheter bag was observed on the floor during the entire visit. When interviewed on January 3, 2008, employee C, an unlicensed staff, stated that he periodically checked the client's blood sugar using a blood glucose monitoring machine, and also provided indwelling urinary catheter care. Employee C stated he had not had any training from a RN on how to perform these procedures. When interviewed on January 3, 2008, RN A confirmed she had not instructed employee C in the procedures, had the employee demonstrate competency to perform the procedures, or documented specific instructions for employee C to follow for performing these procedures.

**9. MN Rule 4668.0100 Subp. 5****INDICATOR OF COMPLIANCE: # 5**

Based on record review and interview the licensee failed to ensure that the employees performing home health aide tasks were qualified for two of two unlicensed employees (B and C) records reviewed. The findings include:



Employees B and C were hired July of 2005 and September of 2005 respectively as unlicensed direct care staff. Employee B assisted client #2 with dressing, grooming, bathing, eating, transfers, mobility, positioning and toileting. Employee C assisted client #1 with medication administration, dressing, grooming, bathing, eating, transfers, mobility, positioning and toileting. There was no evidence of training and competency for medication reminders, personal hygiene and grooming, assistance with toileting, vital signs, transfers and ambulation, or range and motion.

When interviewed January 2, 2008 the administrator indicated there were videos used for training and that each employee took a quiz after viewing them. When interviewed January 3, 2008 the registered nurse confirmed the aforementioned areas had no been offered as training and there were no practical skill tests.

#### **10. MN Rule 4668.0100 Subp. 6**

##### **INDICATOR OF COMPLIANCE: # 5**

Based on record review and interview the licensee failed to ensure that the employees performing home health aide tasks received at least eight hours of in-service training for each twelve months of employment for two of two unlicensed employees (B and C) records reviewed. The findings include:

Employees B and C were hired July of 2005 and September of 2005 respectively as unlicensed direct care staff who provided client assistance with dressing, grooming, bathing, eating, transfers, mobility, positioning and toileting. Employee B's record had seven hours and employee C's record had six hours of in-service training documented in 2006. During an interview January 3, 2008, the registered nurse confirmed there was no further in-service training for employee B or C.

#### **11. MN Rule 4668.0100 Subp. 9**

##### **INDICATOR OF COMPLIANCE: # 1**

Based on record review and interview the licensee failed to ensure that a nurse supervised unlicensed personnel who performed services that required supervision at the client's residence for three of three clients (#1, #2 and #3) records reviewed. The findings include:

Client #1 began receiving services from the agency August of 2006, including medication administration, blood glucose checks, urinary catheter care. Supervisory visits were documented on November 3, 2006, February 2, 2007 (85 days later), June 30, 2007 (51 days later), and October 5, 2007 (97 days later). There were no further supervisory visits documented as occurring at the client's residence with the unlicensed staff present.

When interviewed on January 3, 2008, registered nurse (RN), A stated she did not know that the supervisory visits needed to be every fourteen days. In addition, RN A stated she thought telephone visits were acceptable.

Clients #2 and #3 received assistance with dressing, grooming, bathing, eating, transfers, mobility, positioning and toileting. Client #2 had supervisory visits documented on May 11, 2007, August 24, 2007 (105 days later) and January 2, 2008 (128 days later).

Client #3 had supervisory visits documented on March 9, 2007, May 30, 2007 (82 days later), August 2,

2007 (64 days later), and October 19, 2007 (78 days later). Client #3 was discharged on December 31, 2007 without further supervisory visits.

When interviewed January 2, 2008, the RN stated she had been informed that the supervisory visits needed to be between 30 and 120 days. She also stated she did not know the Class A rules as she had not seen them yet. When interviewed January 2, 2008, the administrator confirmed that he did not have a copy of the Class A rules and asked how to obtain them.

## **12. MN Rule 4668.0140 Subp. 1**

### **INDICATOR OF COMPLIANCE: # 1**

Based on record review and interview, the licensee failed to ensure that modifications to the service agreement were agreed to in writing by the client or the client's responsible person for one of two current client's (#1) records reviewed. The findings include:

Client #1 began receiving services from the agency August of 2006. The client's service agreement dated August of 2006 had modifications in the frequency of unlicensed personnel services and registered nurse visits (RN) dated January of 2007, March of 2007, and July of 2007. There were no signatures by the client or the client's representative indicating the modifications had been agreed to.

When interviewed January 2, 2008, RN, A stated that it had not been the practice to get the client's signature when modifications were made to the service agreement. She stated the signature of the client or the client's responsible party was obtained only on the initial service agreement.

## **13. MN Rule 4668.0140 Subp. 2**

### **INDICATOR OF COMPLIANCE: # 1**

Based on record review and interview the licensee failed to provide a complete service agreement for three of three client (#1, #2 and #3) records reviewed. The findings include:

Client #1's service agreement dated August of 2006, client #2's service agreement dated July of 2005 and client #3's service agreement dated August of 2005 included only the number of visits and/or units of personal care attendant and registered nurse services. They did not include a description of services, the schedule or frequency of supervision or monitoring and the fees for the services. When interviewed January 2, 2008, the registered nurse confirmed client #1, #2 and #3's service agreements were not complete.

## **14. MN Rule 4668.0150 Subp. 3**

### **INDICATOR OF COMPLIANCE: # 6**

Based on record review and interview, the licensee failed to ensure that all treatments had a prescriber's signature for one of one client's (#1) record reviewed who was receiving treatments. The findings include:

Client #1 began receiving services from the agency August of 2006. An interview with employee C on January 3, 2008 indicated that he periodically conducted blood glucose checks on client #1 and provided indwelling urinary catheter care. There were no prescriber's orders for these treatments in client #1's record. When interviewed on January 2, 2008 the registered nurse confirmed the client's order sheet did not include blood glucose checks or urinary catheter care.

#### **15. MN Rule 4668.0150 Subp. 6**

##### **INDICATOR OF COMPLIANCE: # 6**

Based on record review and interview, the licensee failed to ensure that prescriber's orders were renewed at least every three months for one of one client's (#1) record reviewed whose medications were administered by the licensee. The findings include:

Client #1 began receiving services including medication administration from the agency August of 2006. The medication orders were renewed on September 1, 2006 and May 1, 2007. There were no other medication renewals in the client's record. When interviewed on January 2, 2008, the registered nurse confirmed the client's medications were not renewed every three months. She stated that they were sent the prescriber for renewal on a yearly basis.

#### **16. MN Rule 4668.0160 Subp. 6**

##### **INDICATOR OF COMPLIANCE: # 4**

Based on record review and interview, the licensee failed to maintain a complete record for three of three clients' (#1, #2, and #3) records reviewed. The findings include:

Client #1 began receiving services from the agency August of 2006, including medication administration, blood glucose checks, urinary catheter care. The client's record included Personal Care Attendant Time and Activity documentation through November 18, 2007. There was no further personal care attendant documentation in the client's record after November 18, 2007. When interviewed on January 2, 2008, the administrator stated the November 18, 2007 was the most current documentation that he had and was unable to find more recent personal care attendant documentation.

Clients #2 and #3 began receiving services July of 2005 and August of 2005 respectively. Clients #2 and #3 received assistance with dressing, grooming, bathing, eating, transfers, mobility, positioning and toileting. Client #2 and #3's records lacked the address of the client's responsible person. Their records lacked notes summarizing each contact with the client. The only Personal Care Attendant Time and Activity documentation for clients #2 and #3 was dated December 9, 2007.

When interviewed January 3, 2008, the administrator stated more recent time sheets were "in process, not finished yet. Mom is on vacation and I don't know where she put them."

Client #3 was discharged December of 2007. The record lacked a complete discharge summary including the reason for initiation of services and the client condition at discharge. When interviewed January 3, 2008 the registered nurse confirmed that information.

**17. MN Statute §626.557 Subd. 14(b)****INDICATOR OF COMPLIANCE: # 3**

Based on record review and interview the licensee failed to develop a complete individual abuse prevention plan for three of three clients' records ( #1, #2 and #3 ) reviewed.

Clients #1, #2 and #3 began receiving services August of 2006, July of 2005 and August of 2005 respectively with vulnerable adult assessments done on these dates. The records lacked measures to be taken to minimize the risk to abuse for being bed or wheelchair bound due to illness for client #1, not able to direct own care, understand safety issues, read, write and understand English for clients #1, #2 and #3. Clients #1, #2 and #3 did not speak or read English. No risk of self abuse was identified and risk of abuse to/or from others was not assessed for all three clients. There were no specific measures identified for these areas of vulnerability to minimize the risk of abuse to this client. When interviewed on January 3, 2008, registered nurse, A confirmed the absence of specific measure to minimize the risk of abuse for client #1, #2 and #3.

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A draft copy of this completed form was left with the administrator Thong Yang at an exit conference on January 4, 2008. Any correction order(s) issued as a result of the on-site visit and the final Licensing Survey Form will be sent to the licensee. If you have any questions about the Licensing Survey Form or the survey results, please contact the Minnesota Department of Health, (651) 201-4301. After review, this form will be posted on the MDH website. CLASS A Licensed-only Home Care Provider general information is available by going to the following web address and clicking on the Class A Home Care Provider link:

<http://www.health.state.mn.us/divs/fpc/profinfo/cms/casemix.html>

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).