

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 157659		X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING _____		X3) DATE SURVEY COMPLETED 12/18/2013	
NAME OF PROVIDER OR SUPPLIER WOODVIEW HOME CARE LLC				STREET ADDRESS, CITY, STATE, ZIP CODE 3417 E STATE BLVD FORT WAYNE, IN 46805			
(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			
G000000	<p>This was a federal home health agency complaint investigation</p> <p>Complaint #: IN0000141316 - Unsubstantiated: Lack of sufficient evidence. Unrelated federal deficiencies were cited.</p> <p>Survey Date: December 18, 2013</p> <p>Facility #: 012730</p> <p>Medicaid #: 201134500</p> <p>Surveyor: Miriam Bennett, RN, BSN, PHNS</p> <p>Quality Review: Joyce Elder, MSN, BSN, RN December 20, 2013</p>	G000000	N000 This plan of correction is to serve as Woodview Home Care, LLC's allegation of compliance				

LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

TITLE

(X6) DATE

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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G000111	<p>484.10(d) CONFIDENTIALITY OF MEDICAL RECORDS The patient has the right to confidentiality of the clinical records maintained by the HHA.</p> <p>Based on interview and observation, the agency failed to ensure the patient's right to confidentiality of the clinical record was maintained when records were shipped unsecured for 1 of 1 agency with the potential to affect all the patient clinical records.</p> <p>Findings include:</p> <ol style="list-style-type: none"> On 12/18/13 at 9:35 AM, employee A indicated employee D purchased Woodview Home Care and was planning to move the facility to southern IN. Also employee A indicated all the patient records and everything to do with the agency had been shipped to the southern IN location (one of the Assisted Living facilities owned by employee D) on or about 12/8 or 12/9/13 but once the agency found out they were not approved by the state to move, they shipped everything back to Fort Wayne. Employee A indicated the 5 boxes in the corner of the conference room were just delivered today (12/18). On 12/18/13 at 9:15 AM, FedEx truck was observed delivering packages to 	G000111	G111 It is the practice of Woodview Home Care, LLC to ensure each patient's right to confidentiality of their clinical record. The Clinical Records were boxed and taped by approved personnel, however, the boxes were not marked as "confidential". The boxes have since been opened by approved personnel and the Clinical Records have been appropriately placed in secured filing cabinets. There was no damage to the files or breach in confidentiality, and no patients were affected by the deficient practice. To prevent a reoccurrence, Woodview Home Care, LLC, has adopted and implemented a new policy, which includes safeguarding of clinical records against loss or unauthorized use, and patient confidentiality, and procedures if the need to ship a record should reoccur. In the event that a record would need to be mailed or shipped to another location, the record will be addressed to a designated individual and be marked "confidential", and be shipped in secured containers which protect the items from accessed by unauthorized persons, and be opened and handled by designated personnel only. The Administrator of	01/16/2014	

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	Woodview Home Care. The 5 boxes were placed in the conference room were labeled; one specifically stated "discharged patients." The boxes were not shipped secure or secured in the conference room.		Woodview Home Care, LLC will be responsible for ensuring policy and procedures are followed, to ensure patient confidentiality and safeguarding of the clinical record.	

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G000129	<p>484.14(b) GOVERNING BODY The governing body appoints a qualified administrator.</p> <p>Based on interview and document review, the agency failed to provide proof that the qualifications of administrator were approved by the governing body and failed to ensure the Indiana State Department of Health (ISDH) received the proper background check information for the change in administrator for 1 of 1 agency with the potential to affect all the agency's patients.</p> <p>Findings include:</p> <ol style="list-style-type: none"> On 12/18/13 at 10:17 AM, ISDH Program Director indicated employees D and H were not accepted by ISDH due to back ground check on employee D was not correct check, and employee H's resume failed to evidence they are a Registered Nurse (RN). On 12/18/13 at 10:00 AM, employee D was asked for information on who is in charge currently. Employee D indicated they are the current administrator. Employee D indicated they found out their background check had to include finger prints through the Federal Bureau of Investigation and they just completed 	G000129	G129 It is the practice of Woodview Home Care, LLC, that the governing body will appoint a qualified administrator. The governing body did fail to ensure all background screening was completed prior to designating Employee D as the administrator. Employee D is the Owner and Governing Body of Woodview Home Care LLC, but because he was taking on a "new" position as the designated primary administrator, he should of had a "new" background check. The administrator completed his federal background check on 12/17/13, and we are pending receipt of results. The results will be forwarded to the ISDH and a copy will be put in the Employee file. To prevent a reoccurrence, the governing body will oversee and ensure that any future administrators have completed a proper background check, prior to approval as administrator. A checklist for the governing body will be implemented to ensure that an administrator is deemed qualified, prior to being appointed as administrator, and submitted to the ISDH.	01/16/2014	

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	<p>that step on 12/17/13. The agency failed to provide evidence of the finger print process.</p> <p>3. On 12/18/13 at 9:35 AM, employee A indicated the previous administrator (employee J) left Woodview Home Care on 12/11/13.</p> <p>4. Woodview Home Care was unable to provide Governing Body information due to the shipment of everything to the southern IN location on 12/8 or 12/9 and some boxes are still in transit to be delivered back to Fort Wayne.</p> <p>5. On 12/18/13 at 1:45 PM, employee A indicated they were not sure when the last Governing Body meeting was held.</p>			

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G000239	<p>484.48(b) PROTECTION OF RECORDS Clinical record information is safeguarded against loss or unauthorized use.</p> <p>Based on interview and observation, the agency failed to ensure clinical record information was safeguarded against loss or unauthorized use when records were shipped unsecured for 1 of 1 agency with the potential to affect all the patient clinical records.</p> <p>Findings include:</p> <ol style="list-style-type: none"> On 12/18/13 at 9:35 AM, employee A indicated employee D purchased Woodview Home Care and was planning to move the facility to southern IN. Also employee A indicated all the patient records and everything to do with the agency had been shipped to the southern IN location (one of the Assisted Living facilities owned by employee D) on or about 12/8 or 12/9/13 but once the agency found out they were not approved by the state to move, they shipped everything back to Fort Wayne. Employee A indicated the 5 boxes in the corner of the conference room were just delivered today (12/18). On 12/18/13 at 9:15 AM, FedEx truck was observed delivering packages to Woodview Home Care. The 5 boxes 	G000239	G239 It is the practice of Woodview Home Care, LLC to ensure all clinical records are safeguarded against loss or unauthorized use. The Clinical Records have since been opened by approved personnel and the contents have been appropriately placed in secured filing cabinets. There was no damage to the files or breach in confidentiality, and no patients were affected by the deficient practice. To prevent a reoccurrence, Woodview Home Care, LLC, has adopted and implemented a new policy, which includes safeguarding of clinical records against loss or unauthorized use, and patient confidentiality, and procedures if the need to ship a record should reoccur. In the event that a record would need to mailed or shipped to another location, the record will be addressed to a specific individual and be marked confidential, and be shipped in containers which protect the items from the environment, and be opened and handled by approved personnel only. The Administrator of Woodview Home Care, LLC will be responsible for ensuring policy and procedures are followed, to ensure patient confidentiality and safeguarding of the clinical record.	01/16/2014			

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N000000	<p>were placed in the conference room were labeled; one specifically stated "discharged patients." The boxes were not shipped secure or secured in the conference room.</p> <p>This was a state home health agency complaint investigation</p> <p>Complaint #: IN0000141316- Unsubstantiated: Lack of sufficient evidence. Unrelated state deficiencies were cited.</p> <p>Survey Date: December 18, 2013</p> <p>Facility #: 012730</p> <p>Medicaid #: 201134500</p> <p>Surveyor: Miriam Bennett, RN, BSN, PHNS</p> <p>Quality Review: Joyce Elder, MSN, BSN, RN December 20, 2013</p>	N000000	N000 This plan of correction is to serve as Woodview Home Care, LLC's allegation of compliance	

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N000442	<p>410 IAC 17-12-1(b) Home health agency administration/management Rule 12 Sec. 1(b) A governing body, or designated person(s) so functioning, shall assume full legal authority and responsibility for the operation of the home health agency. The governing body shall do the following: (1) Appoint a qualified administrator. (2) Adopt and periodically review written bylaws or an acceptable equivalent. (3) Oversee the management and fiscal affairs of the home health agency.</p> <p>Based on interview and document review, the agency failed to provide proof that the qualifications of administrator were approved by the governing body and failed to ensure the Indiana State Department of Health (ISDH) received the proper background check information for the change in administrator for 1 of 1 agency with the potential to affect all the agency's patients.</p> <p>Findings include:</p> <p>1. On 12/18/13 at 10:17 AM, ISDH Program Director indicated employees D and H were not accepted by ISDH due to back ground check on employee D was not correct check, and employee H's resume failed to evidence they are a Registered Nurse (RN).</p>	N000442	<p>N442 It is the practice of Woodview Home Care, LLC to ensure a governing body, for legal authority and responsibility for operation of the agency, and to maintain governing body minutes. The governing body, did fail to ensure the administrator had completed a "new" background check, prior to designating him as administrator. The Administrator is the owner and Governing Body of Woodview Home Care, LLC. The Administrator, has since completed his background check, with pending results. Once received, the results will be sent to the ISDH and a copy maintained in the employee's file. Employee H's resume has been updated to reflect the RN status. Governing body minutes are onsite at Woodview Home Care, LLC. To prevent a reoccurrence, the governing body will oversee and ensure that any future administrators have completed a proper background</p>	01/16/2014	

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	<p>2. On 12/18/13 at 10:00 AM, employee D was asked for information on who is in charge currently. Employee D indicated they are the current administrator. Employee D indicated they found out their background check had to include finger prints through the Federal Bureau of Investigation and they just completed that step on 12/17/13. The agency failed to provide evidence of the finger print process.</p> <p>3. On 12/18/13 at 9:35 AM, employee A indicated the previous administrator (employee J) left Woodview Home Care on 12/11/13.</p> <p>4. Woodview Home Care was unable to provide Governing Body information due to the shipment of everything to the southern IN location on 12/8 or 12/9 and some boxes are still in transit to be delivered back to Fort Wayne.</p> <p>5. On 12/18/13 at 1:45 PM, employee A indicated they were not sure when the last Governing Body meeting was held.</p>		check, prior to approval as administrator. A checklist for the governing body has been implemented to ensure that an administrator is deemed qualified, prior to being appointed as administrator and submission to ISDH.		

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N000466	<p>410 IAC 17-12-1(j) Home health agency administration/management Rule 12 Sec. 1(j) The information obtained from the:</p> <p>(1) physical examinations required by subsection (h); and (2) tuberculosis evaluations and clinical follow-ups required by subsection (i) must be maintained in separate medical files and treated as confidential medical records, except as provided in subsection (k).</p> <p>Based on document review and interview, the agency failed to ensure employee medical information was treated as confidential when employee records were shipped unsecured with the potential to affect all employees.</p> <p>Findings include:</p> <p>1. On 12/18/13 at 9:35 AM, employee A indicated all the patient records and everything to do with the agency had been shipped to the southern IN location (one of the Assisted Living facilities owned by employee D) on or about 12/8 or 12/9/13, but once the agency found out they were not approved by the state to move, they shipped everything back to Fort Wayne. Employee A indicated the 5 boxes in the corner of the conference room were just delivered today (12/18/13).</p> <p>2. Woodview Home Care was unable to</p>	N000466	N466 It is the practice of Woodview Home Care, LLC, to ensure all employee medical information is maintained in separate files and treated as confidential. Woodview failed to mark the shipping boxes as "confidential". There was no breach in the confidentiality of the employee records, and the records have since been returned to a secured filing cabinet, by approved personnel, and medical information stored separately. To prevent a reoccurrence in the event, of any future need to ship employee files, all employee files will be packaged, marked as confidential and handled by only designated and approved personnel. The Administrator will be responsible for authorizing any further shipments of medical files, and ensuring the employee files are shipped in separate files, marked as confidential, and safeguarded against any potential unauthorized access.	01/16/2014			

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	<p>provide any employee files to evidence compliance due to the shipment of everything to the southern IN location on 12/8 or 12/9 because some boxes had not been delivered back to Fort Wayne at time of investigation.</p> <p>3. On 12/18/13 at 12:00 PM, employee A indicated the 5 boxes of records and binders delivered this morning by FedEx do not include the employee files, so not all boxes have arrived back in Fort Wayne at this time.</p> <p>4. On 12/18/13 at 9:15 AM, FedEx truck was observed delivering packages to Woodview Home Care. The 5 boxes were placed in the conference room were labeled; one specifically stated "discharged patients." The boxes were not shipped secure so they were able to be accessed by non employees.</p>			

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N000468	<p>410 IAC 17-12-1(k) and (l) Home health agency administration/management Rule 12 Sec. 1(k) The following records shall be made available, on request, to the department for review:</p> <p>(1) Personnel records and policies that document the home health agency's compliance with subsection (f). (2) Records of physical examinations that document the agency's compliance with subsection (h). (3) Records of the following: (A) Tuberculosis evaluations. (B) Appropriate clinical follow-up for positive findings. (C) Any other records that document the home health agency's compliance with subsection (i).</p> <p>(l) The department shall: (1) treat the information described in subsection (k) as confidential medical records; and (2) use it only for the purposes for which it was obtained.</p> <p>Based on interview and document review, the agency failed to ensure employee files were available for review to ensure compliance with 410 IAC 17-12-1(f) and treated as confidential and secure records for 35 employee files with the potential to affect all employees.</p> <p>Findings include</p> <p>1. On 12/18/13 at 9:35 AM, employee A</p>	N000468	N468 It is the practice of Woodview Home Care, LLC, to ensure all employee files and medical information is available to the department for review, according to 410 IAC 17-12-1(k). Woodview Home Care, LLC, did receive the return shipment of the employee files on 12/19/13 and the boxed files were opened, and handled by approved personnel only, and there was no breach in the confidentiality of the employee records. The employee files are being maintained onsite at Woodview Home Care, LLC, and	01/16/2014			

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	<p>indicated all the patient records and everything to do with the agency had been shipped to the southern IN location (one of the Assisted Living facilities owned by employee D) on or about 12/8 or 12/9/13, but once the agency found out they were not approved by the state to move, they shipped everything back to Fort Wayne. Employee A indicated the 5 boxes in the corner of the conference room were just delivered today (12/18/13).</p> <p>2. Woodview Home Care was unable to provide any employee files to evidence compliance due to the shipment of everything to the southern IN location on 12/8 or 12/9 because some boxes had not been delivered back to Fort Wayne at time of investigation.</p> <p>3. On 12/18/13 at 12:00 PM, employee A indicated the 5 boxes of records and binders delivered this morning by FedEx do not include the employee files, so not all boxes have arrived back in Fort Wayne at this time.</p> <p>3. On 12/18/13 at 9:15 AM, FedEx truck was observed delivering packages to Woodview Home Care. The 5 boxes were placed in the conference room were labeled; one specifically stated "discharged patients." The boxes were not shipped secure so they were able to be</p>		<p>available to the department. To prevent a recurrence, all employee files will be stored in a secure filing cabinet and the medical files maintained separately, in a secured filing cabinet, and only removed from the building after notification of the department.</p>	

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N000508	<p>410 IAC 17-12-3(b)(2)(E) Patient Rights Rule 12 Sec. 3(b)(2)(E) (b) The patient has the right to exercise his or her rights as a patient of the home health agency as follows: (2) The patient has the right to the following: (E) Confidentiality of the clinical records maintained by the home health agency. The home health agency shall advise the patient of the agency's policies and procedures regarding disclosure of clinical records.</p> <p>Based on interview and observation, the agency failed to ensure the patient's right to confidentiality of the clinical record was maintained when records were shipped unsecured for 1 of 1 agency with the potential to affect all the patient clinical records.</p> <p>Findings include:</p> <p>1. On 12/18/13 at 9:35 AM, employee A indicated employee D purchased Woodview Home Care and was planning to move the facility to southern IN. Also employee A indicated all the patient records and everything to do with the agency had been shipped to the southern IN location (one of the Assisted Living facilities owned by employee D) on or about 12/8 or 12/9/13 but once the agency found out they were not approved by the state to move, they shipped everything</p>	N000508	N508 It is the practice of Woodview Home Care, LLC to ensure each patient's right to confidentiality of their clinical record. The Clinical Records had been boxed and taped by approved personnel, however, the boxes were not marked as "confidential". The boxes were not accessed by non-personnel, and have since been opened by approved personnel and the contents have been appropriately placed in secured filing cabinets. There was no damage to the files, no breach in confidentiality, and no patients were affected by the deficient practice. To prevent a reoccurrence, Woodview Home Care, LLC, has adopted and implemented a new policy, which includes safeguarding of clinical records against loss or unauthorized use, and patient confidentiality, and procedures if the need to ship a record should reoccur. In the event that a record would need to mailed or	01/16/2014			

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 157659	X2) MULTIPLE CONSTRUCTION A. BUILDING 00 B. WING _____	X3) DATE SURVEY COMPLETED 12/18/2013
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	<p>back to Fort Wayne. Employee A indicated the 5 boxes in the corner of the conference room were just delivered today (12/18).</p> <p>2. On 12/18/13 at 9:15 AM, FedEx truck was observed delivering packages to Woodview Home Care. The 5 boxes were placed in the conference room were labeled; one specifically stated "discharged patients." The boxes were not shipped secure or secured in the conference room.</p>		<p>shipped to another location, the record will be addressed to a specific individual, packaged, marked as "confidential", and be shipped in containers which secure the items, and be opened and handled by approved personnel only. The Administrator of Woodview Home Care, LLC will be responsible for ensuring policy and procedures are followed, to ensure patient confidentiality and safeguarding of the clinical record.</p>	

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N000614	<p>410 IAC 17-15-1(c) Clinical Records Rule 15 Sec. 1(c) Clinical record information shall be safeguarded against loss or unauthorized use. Written procedures shall govern use and removal of records and conditions for release of information. Patient's written consent shall be required for release of information not authorized by law. Current service files shall be maintained at the parent or branch office from which the services are provided until the patient is discharged from service. Closed files may be stored away from the parent or branch office provided they can be returned to the office within seventy-two (72) hours. Closed files do not become current service files if the patient is readmitted to service.</p> <p>Based on interview and observation, the agency failed to ensure clinical record information was safeguarded against loss or unauthorized use when records were shipped unsecured for 1 of 1 agency with the potential to affect all the patient clinical records.</p> <p>Findings include:</p> <p>1. On 12/18/13 at 9:35 AM, employee A indicated employee D purchased Woodview Home Care and was planning to move the facility to southern IN. Also employee A indicated all the patient records and everything to do with the agency had been shipped to the southern IN location (one of the Assisted Living</p>	N000614	N614 It is the practice of Woodview Home Care, LLC to ensure each clinical record is safeguarded against loss or unauthorized use. The "Discharged Records" have since been opened by approved personnel and the contents have been appropriately placed in secured filing cabinets, there was no damage to the files or breach in confidentiality, and no patients were affected by the deficient practice. To prevent a reoccurrence, Woodview Home Care, LLC, has adopted and implemented a new policy, which includes safeguarding of clinical records against loss or unauthorized use, and patient confidentiality, and procedures if the need to ship a record should reoccur. To prevent a	01/16/2014	

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	<p>facilities owned by employee D) on or about 12/8 or 12/9/13 but once the agency found out they were not approved by the state to move, they shipped everything back to Fort Wayne. Employee A indicated the 5 boxes in the corner of the conference room were just delivered today (12/18).</p> <p>2. On 12/18/13 at 9:15 AM, FedEx truck was observed delivering packages to Woodview Home Care. The 5 boxes were placed in the conference room were labeled; one specifically stated "discharged patients." The boxes were not shipped secure or secured in the conference room.</p>		<p>reoccurrence, in the event that a record would need to mailed or shipped to another location, the record will be addressed to a designated individual, be packaged and marked confidential, and be opened and handled by designated individual.</p> <p>The Administrator of Woodview Home Care, LLC will be responsible for ensuring policy and procedures are followed, to ensure patient confidentiality and safeguarding of the clinical record. It is the policy of Woodview Home Care, that Current Resident Records be maintained on the premises, until the patient is discharged from services. Closed Records may be stored away from the Parent office, only if they can be returned within 72 hours.</p>	