

## Joint Conference Committee Regulatory Affairs Status Report for March 2022 Meeting

### I. PENDING SURVEYS

- |   |   |
|---|---|
| 1. <b>TJC Biennial Laboratory Accreditation</b> | Anticipate after June/July 2021                       |
| 2. <b>CMS 4A SNF Recertification</b>            | Anticipate any time                                   |
| 3. <b>CMS 4A SNF Fire Life Safety</b>           | Anticipate 2-3 weeks after SNF Recertification Survey |
| 4. <b>CMS Dialysis Recertification</b>          | Anticipate any time                                   |
| 5. <b>DHCS OTOP</b>                             | March 7-10, 2022                                      |

### II. COMPLETED SURVEYS

- |                          |                                     |                |                         |
|--------------------------|-------------------------------------|----------------|-------------------------|
| 1. <b>Survey</b>         | DHCS State Annual Licensing- MHRC   | 2/16-2/18/2022 | Anticipate deficiencies |
| 2. <b>Privacy Breach</b> | Mis-handed AVS FHC                  | 12/29/2021     | Closed- No Deficiencies |
| 3. <b>FRI</b>            | Resident to resident altercation 4A | 1/24/2022      | Closed- No Deficiencies |

### III. PLANS OF CORRECTION

None

### IV. OPEN SITE VISITS – Investigation commenced by CDPH

- |                           |   |            |   |
|---------------------------|---|------------|---|
| 1. <b>Complaint</b>       | ED Staffing   | 1/2/2020   | Investigation resumed by different surveyor 6/08/21 |
| 2. <b>FRI</b>             | Patient Death following Med Error   | 4/17/2020  | Ongoing – Anticipate Deficiencies                   |
| 3. <b>FRI</b>             | Wrong Site Surgery OR Kidney Stent  | 4/5/2020   | Documents Requested                                 |
| 4. <b>Privacy Breach</b>  | 7L  | 3/15/2020  | Pending Visit                                       |
| 5. <b>Privacy Breach</b>  | HIS   | 4/24/2020  | Pending Visit                                       |
| 6. <b>ABUSE</b>           | Allegation of Staff to Resident Abuse 4A                                      | 6/1/2020   | Documents Requested                                 |
| 7. <b>FRI</b>             | Wrong Site Surgery OR Kidney Stent  | 6/8/2020   | Documents Requested                                 |
| 8. <b>ABUSE</b>           | Allegation of Staff to Resident Abuse 4A                                      | 7/17/2020  | Documents Requested                                 |
| 9. <b>FRI</b>             | HAPI H38  | 8/19/2020  | Verbal no deficiencies-pending approval             |
| 10. <b>FRI</b>            | Fall sustaining fractured mandible H54  | 8/13/2020  | Documents Requested                                 |
| 11. <b>FRI</b>            | Fall, 4A  | 9/8/2020   | Pending Visit                                       |
| 12. <b>Privacy Breach</b> | 3D – appointment information sent to wrong patient                            | 9/8/2020   | Pending Visit                                       |
| 13. <b>Privacy Breach</b> | PHI sent via email to incorrect patient                                       | 10/4/2020  | Information Requested                               |
| 14. <b>FRI</b>            | Alleged Sexual Assault 7B   | 11/10/2020 | Pending Visit                                       |
| 15. <b>Privacy Breach</b> | Test Result provided to patient and relative overheard ED                     | 11/02/2020 | Pending Visit                                       |
| 16. <b>FRI</b>            | HAPI H34  | 11/17/2020 | Pending Visit                                       |
| 17. <b>FRI</b>            | Fall with Injury 4A   | 2/10/2021  | Documents Requested                                 |
| 18. <b>Privacy Breach</b> | PES Allegation that PHI was released without consent                          | 7/16/2020  | Pending Visit                                       |
| 19. <b>Privacy Breach</b> | 7B staff provided information via phone without consent                       | 1/29/2021  | Information Requested                               |
| 20. <b>Privacy Breach</b> | PACU medication given to wrong patient <small>(drug was correct drug)</small> | 2/2/2021   | Information Requested                               |

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21. <b>Privacy Breach</b>	H76/78 Misplaced patient list and labels	2/10/2021	Information Requested
22. <b>Privacy Breach</b>	7B appointment slip given to wrong patient	2/12/2021	Information Requested
23. <b>Privacy Breach</b>	H25 medication given to wrong patient (drug was correct drug)	2/20/2021	Information Requested
24. <b>FRI</b>	Medication Error ICU	3/23/2021	Pending Visit
25. <b>Abuse</b>	Resident to Resident 4A	4/7/2021	Pending Visit
26. <b>FRI</b>	Product/Device – Blood Transfusion Event IR	4/3/2021	Pending Visit
27. <b>FRI</b>	HAPI Right Heel, H54	4/8/2021	Pending Visit
28. <b>FRI</b>	HAPI Left Heel H62	4/22/2021	Pending Visit
29. <b>Privacy Breach</b>	Merged information records with a different patient	4/23/2021	Pending Visit
30. <b>Complaint</b>	Infection Control – 4M	6/10/2021	Pending Visit
31. <b>FRI</b>	HVAC Fan Malfunction, B-Wing, Building 5	6/12/2021	Documents requested
32. <b>Privacy Breach</b>	Patient's EKG results sent to wrong cell phone number	6/15/2021	Pending Visit
33. <b>Privacy Breach</b>	Merged information records with a different patient	5/7/2021	Pending Visit
34. <b>FRI</b>	Gastric perforation post ET insertion during intubation	7/17/2021	Pending Visit
35. <b>FRI</b>	GI perforation post G-tube placement	7/25/2021	On-site Visit/Documents Requested
36. <b>FRI</b>	COVID-19 Outbreak Notification 7B	7/25/2021	Verbal- No deficiencies; supervisor approved
37. <b>FRI</b>	Surgical Complication during spinal surgery	8/3/2021	Pending Visit
38. <b>Complaint</b>	Consumer complaint regarding a physician	8/10/2021	Pending Visit
39. <b>FRI</b>	<b>Elopement/AWOL ED</b>	<b>8/18/2021</b>	<b>Verbal- No deficiencies; pending approval</b>
40. <b>FRI</b>	HAPI Stage 2 coccyx	8/29/2021	Pending Visit
41. <b>FRI</b>	Elopement/AWOL ED	8/30/2021	Verbal- No deficiencies; pending approval
42. <b>Privacy Breach</b>	Mis-mailed PHI regarding upcoming procedure, 3D	9/1/2021	Pending Visit
43. <b>FRI</b>	Alleged Staff to Patient Sexual Assault H54	9/15/2021	Documents requested
44. <b>FRI</b>	Elopement/AWOL H34	9/18/2021	Pending Visit
45. <b>FRI</b>	Fall with intertrochanteric fracture 7C	10/7/2021	Documents requested
46. <b>FRI</b>	<b>HAPI Unstageable coccyx and left ischium</b>	<b>9/29/2021</b>	<b>Verbal- No deficiencies; pending approval</b>
47. <b>FRI</b>	Retained penrose drain from surgery in May 2020	11/2/2021	Documents requested
48. <b>FRI</b>	Allegation of abuse by family member (H42)	4/1/2021	Pending Visit
49. <b>FRI</b>	Use of Force (7L)	1/5/2022	Pending Visit
50. <b>FRI</b>	Elopement/AWOL ED	1/6/2022	Pending Visit
51. <b>FRI</b>	Patient to Patient Sexual Assault 7B	1/11/2022	Pending Visit
52. <b>Privacy Breach</b>	Unauthorized disclosure by staff H32	12/8/2021	Pending Visit
53. <b>FRI</b>	HAPI Stage 3 on coccyx and left ischium H78	1/19/2022	Pending Visit
54. <b>FRI</b>	<b>4A COVID Outbreak Notification</b>	<b>1/20/2022</b>	<b>Documents requested</b>
55. <b>FRI</b>	Procedure performed on the wrong patient 4M	1/24/2022	Pending Visit
56. <b>Privacy Breach</b>	<b>Mis-handed Appointment Itinerary &amp; PHI disclosure 4M</b>	<b>1/24/2022</b>	<b>Information Requested</b>
57. <b>FRI</b>	HAPI unstageable coccyx H54	2/7/2022	Pending Visit

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V. NEW FACILITY REPORTED INCIDENTS (FRI)		COMPLAINT: submitted by public.	FRI: Facility Reported Incident.	ABUSE: Long Term Care CMS self report
1.	<b>Privacy Breach</b> Mis-handed Patient Itinerary 5M		2/9/2022	
2.	<b>Privacy Breach</b> Unauthorized access to medical record by 2 staff members NICU		1/24/2022	
3.	<b>FRI</b> HAPI unstageable to sacrum H76		2/25/2022	
4.	<b>FRI</b> HAPI unstageable to coccyx		3/7/2022	
5.	<b>FRI</b> Unusual Occurrence- Protestors in 6G		3/15/2022	
VI. COMPLETED SURVEY SUMMARY				
<b>DHCS State Annual Licensing Survey- MHRC</b>			<b>Pending receipt of official written report</b>	
Preliminary findings involved:				
<ul style="list-style-type: none"> <li>• Documentation for pharmacy quarterly and monthly reports</li> <li>• Number of in-service hours and education for Activity staff</li> <li>• Environmental findings including: <ul style="list-style-type: none"> <li>○ Damaged furniture</li> <li>○ Shower curtains</li> <li>○ Lighting</li> <li>○ Maintenance of vents</li> </ul> </li> <li>• Documentation for provision of balance receipts to clients</li> <li>• Documentation for weekly notes (Nursing &amp; Rehab) found in Oct., Nov. &amp; Dec. 2021</li> </ul>				
VII. PLAN OF CORRECTION MONITORING DATA				
<b>Joint Commission TBI Certification Survey</b>				
Neuro Checks	Compliance is >90%	for 3 months	Monitoring completed	A. Winkelman
<b>Joint Commission Hospital Accreditation Program Survey</b>				
Interpreter Use Documentation	Compliance is <90%		<b>Continue to monitor</b>	D. Staconis
			Bilingual staff may not be charting their own interpretation -Staff re-education and coaching to improve documentation of interpreter use Potential mismatch of Story Board Language Information and Actual Language Needs -Will conduct further audits for deep dive in accuracy of Story Board language flag Staff unaware of locations of interpreter template in Epic	
Restraint Order Renewal	Compliance is >90%	for 3 months	Monitoring completed	C. Bloom
PCP Notification Process Upon Admission	Compliance is >90%		<b>Continue to monitor</b>	O. Carvallo