

SECTION 1424 NOTICE

CITATION NUMBER: 15-1594-0009623-S

Date: Time: _____

YOU ARE HEREBY FOUND IN VIOLATION OF APPLICABLE CALIFORNIA STATUTES AND REGULATIONS OR APPLICABLE FEDERAL STATUTES AND REGULATIONS

Type of Visit :
Incident/Complaint No.(s) : CA00334122

Licensee Name: State of CA Dept of Developmental Services
 Address: 1600 9TH STREET, RM 340 SACRAMENTO, CA 95814
 License Number: 150000089 Type of Ownership: State Agency

Facility Name: SONOMA DEVELOPMENTAL CENTER D/P ICFDD
 Address: 15000 Arnold Drive Glen Ellen, CA 95442
 Telephone:
 Facility Type: Intermediate Care Facility/Developmentally Disabled Capacity: 753
 Facility ID: 150000230

SECTIONS VIOLATED	CLASS AND NATURE OF VIOLATIONS	PENALTY ASSESSMENT \$10,000.00	DEADLINE FOR COMPLIANCE
76525(a)(20)	<p>CLASS A CITATION -- PATIENT RIGHTS</p> <p>T22 DIV5 CH8 ART4-76525 (1) (20) CLIENTS RIGHTS</p> <p>(a) Each client has the right listed in (a) of this section which shall not be denied or withheld except as provided in (c) of this section. Each facility shall establish and implement written policies and procedures to ensure that each client admitted is afforded the following rights:</p> <p>(20) To be free from harm, including unnecessary physical restraint or isolation, excessive medication, abuse or neglect.</p> <p>The facility failed to prevent neglect by failing to implement policies and procedures (P&P) as well as the facility's plan to prevent neglect [REDACTED]. The facility incident management system failed to identify and remove damaged clothing protectors, potentially hazardous items [REDACTED].</p> <p>[REDACTED] The facility failed to conduct pica sweeps and environmental rounds when 309 rounds sheets, initiated between 7/1/12 - 9/22/12, indicated 101 of 309 rounds sheets did not include evidence of pica sweeps or environmental rounds.</p> <p>1. Review of the facility document titled, Pica, dated December 2011, included the following definition: "Pica is the persistent ingestion of nonnutritive substances including, but not limited to: clay, dirt, sand, stones, hair, feces, lead, gloves, plastic, paper, paint chips, wood, string, cloth, metal, and/or cigarette butts."</p>		

Name of Evaluator: CAROL DEVITA HFEN Evaluator Signature : _____	Without admitting guilt, I hereby acknowledge receipt of this SECTION 1424 NOTICE Signature : _____ Name : _____ Title : _____
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	<p>On 9/20/12, review of facility documentation was conducted. [REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]. Staff will now be trained to count the number of clothing protectors going out to the floor to be sure to count them when they are done with snack time."</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>Observations of the dining room on the [REDACTED] revealed an unlocked cabinet with two shelves completely full of clothing protectors. Staff A and the surveyor removed 10 clothing protectors that had obvious frayed edges, loose strings, tears and loose or missing snaps. When asked how long most of the clothing protectors had been in disrepair, the US, Staff A stated, "They have always had snaps missing." When asked what system was in place to assure clothing protectors, linens and other laundry items were free of hazardous pieces, such as loose snaps, frayed edges or loose strings, Staff A stated there was no system for staff to follow. Staff A then called the laundry staff</p>

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	<p>who told the Staff A that laundry staff did not check for deterioration. The US, Staff A, confirmed the facility had no system in place to assure the repair or replacement of items in disrepair. [REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED] When asked why damaged clothing protectors were still on the unit, Staff A stated he was not sure if staff were actually checking the clothing protectors for wear or just counting them. When asked why, [REDACTED]</p> <p>[REDACTED] the damaged clothing protectors were not identified as a potential choking hazard, the US, Staff A stated they should have been.</p> <p>2. Review of the Environmental Safety Checks dated 1/25/12 included the following directions: "Environmental rounds will be done on AM shift, PM shift and NOC [night] shift...No clothing items, attends, linen, towels, washcloths...will be left out in client areas...Staff must be vigilant and continuously monitor the area for items that can be ingested...Staff must be familiar with pica plans and should ensure implementation at all times."</p> <p>[REDACTED]</p>

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	<p>When asked what training the [REDACTED] staff had regarding environmental rounds/ pica sweeps, the US, Staff A stated staff were trained to assure equipment was in good repair. He stated he did not know if staff was checking clothing protectors as part of this sweep.</p> <p>During observations on 9/20/12 beginning at 1:30 PM on [REDACTED], the [REDACTED] US, Staff F and surveyor looked at the clothing protectors which were stored in an unlocked cabinet in the dining room. Eight clothing protectors with obvious tears were randomly chosen. All eight had tears and the snaps had frayed fabric surrounding them so that the snaps could easily been torn off. The US, shift lead, and IPC (Individual Program Coordinator) stated the loose strings and snaps on the clothing protectors could be a hazard. The shift lead stated, "The clothing protectors tear very easily." [REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>On 9/26/12 at 5:20 PM, review of the Plan related to pica revealed the following under "Systemic Changes:"</p> <p>"Training curriculum for supervision and treatment of pica was developed. [Level of Care] LOC staff...and Central Program Services [CPS- offsite program] staff will attend this training and will complete a post-test by 8/29/12. Additionally staff assigned to [REDACTED] will receive the above training for supervision and treatment of pica. Daily the shift lead will ensure Environmental Safety Checks are completed every shift.</p>

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	<p>Weekly the [Client Protection Program] CPP team will review all clients identified at risk for pica to ensure systems to prevent harm are in place. Monthly the Program Risk Management team will review, analyze, and determine if the corrective actions that were developed and implemented at the weekly CPP meeting were effective for all clients identified at risk for pica."</p> <p>On 9/26/12, review of the sign in sheets for 7/31/12, for Policy #410, "Client Protection" included the following:</p> <p>"[The Facility] adheres to a practice that protects and promotes the safety of clients. A comprehensive system of client protection is in place, which provides for the thorough identification and assessment of potential risk, and immediate intervention when risk is present. The system involves a thorough investigation of all incidents that cause harm, and has a risk management process that provides for tracking, monitoring, review and analysis of incidents by Unit, occurring, track and analyze patterns and trends of incidents, develop and implement prompt and effective measures to minimize or eliminate occurrence in the future."</p> <p>Concurrent interview and review of the monitoring rounds conducted by program management for the months of 8/12 and 9/12 revealed many of the monitoring rounds forms were incomplete. Additionally, review of the post test for pica revealed that for the day program, [REDACTED] 8 of 8 post-tests included a section for the psychologist and unit supervisors to complete. The section was blank.</p> <p>Staff B stated the rounds sheets should have been completed and the post tests for [REDACTED] day program should have been completed by the psychologists and US.</p> <p>[REDACTED] Of 309 rounds conducted, 101 of the sheets were incomplete and did not include monitoring of pica sweeps or environmental safety.</p> <p>At 12:32 PM on 9/20/12, the Unit Supervisor, Staff B, for [REDACTED] was asked to examine each of the clothing protectors stored in unlocked cabinets in the dining room of [REDACTED] Staff B examined a total of 97 clothing protectors and removed 49 of the clothing protectors due to missing snaps, holes in the material, frayed edges and other damage which compromised the integrity of the clothing protector. Staff B indicated the 49 clothing protectors were "not serviceable." The Unit Supervisor, Staff B confirmed the clothing protectors in the cabinets were available for use for the evening meal. When</p>

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	<p>asked if there were other clothing protectors at [REDACTED] Staff B showed the surveyor a large laundry cart full of clothing protectors in a linen storage area. After looking at some of the clothing protectors, Staff B said he would need to go through the cart and remove the damaged clothing protectors. When asked if there was a system in place to assure the clothing protects were "serviceable" prior to taking them to the dining room, Staff B said, "No." [REDACTED]</p> <p>3. [REDACTED]</p> <p>At 1:15 PM on 9/20/12, the US, Staff C, for [REDACTED] was asked to examine 9 of 9 of the clothing protectors stored in the unlocked cabinet in the [REDACTED] dining room. Staff C examined a total of 9 clothing protectors and removed 9 of the clothing protectors due to missing snaps, holes in the material, frayed edges and other damage which compromised the integrity of the clothing protectors.</p> <p>Staff C stated that the facility needed a better system as these clothing protectors are thrown in the laundry and are returned as observed, shredded, torn and stained, breaking apart, and breaking down. Staff C went on to say that the facility has no system for inspecting the condition of the clothing protectors before returning them to the dining cabinets, as clean, so they would be available for use for the evening meal.</p> <p>4. On 9/20/12 at 1 p.m., during an observation of clothing protectors at the [REDACTED], 17 clothing protectors were observed. Five of the seventeen clothing protectors were noted with multiple tears. One clothing protector snap was noted to be dangling. During concurrent interview with Staff D, Staff D acknowledged that the clothing protectors were in disrepair. The following day, on 9/21/12, a follow-up observation of the clothing protectors was conducted at the same site and 4 additional clothing protectors were noted in disrepair.</p> <p>Therefore, by failing to implement policies and procedures, failure to prevent neglect, and failure of the incident management system to identify and remove potentially hazardous items, damaged clothing protectors, [REDACTED]</p> <p>These failures presented either imminent danger that death or serious harm would result or a substantial probability that death or serious physical harm would result.</p>

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