

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

### I. PENDING SURVEYS

- |  |   |
|--|---|
| 1. <b>TJC Biennial Laboratory Accreditation Survey</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                                   |

### II. COMPLETED SURVEYS

- |                          |  |             |                         |
|--------------------------|--|-------------|-------------------------|
| 1. <b>Survey</b>         | OBOT DHCS  | 11/16-18/21 | Closed- 2 Deficiencies  |
| 2. <b>FRI</b>            | Resident to Resident Altercation                 | 12/21/21    | Closed- No Deficiencies |
| 3. <b>Privacy Breach</b> | Unauthorized disclosure of PHI to family member  | 10/25/21    | Closed- No Deficiencies |
| 4. <b>Privacy Breach</b> | Mis-mailed PHI regarding upcoming procedure, 3D  | 11/10/21    | Closed- No Deficiencies |
| 5. <b>Complaint</b>      | Inappropriate discharge to community SNF         | 9/20/21     | Closed- No Deficiencies |
| 6. <b>FRI</b>            | Retained Foreign Object H22                      | 11/17/2020  | Closed- No Deficiencies |
| 7. <b>Privacy Breach</b> | Unauthorized disclosure by staff member, Peri-Op | 7/28/2021   | Closed- No Deficiencies |
| 8. <b>Survey</b>         | COVID Mitigation Survey LTC 4A                   | 9/23/2021   | Closed- No Deficiencies |
| 9. <b>Survey</b>         | CDPH Licensing for Rehab Space                   | 1/7/2022    | Approved- 1/18/2022     |
| 10. <b>FRI</b>           | Patient to Patient Sexual Assault 7C             | 9/3/2021    | 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   | <b>Documents Requested</b>                          |
| 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  | <b>Verbal no deficiencies-pending approval</b>      |
| 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                                       |

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|                           |  |            |   |
|---------------------------|--|------------|---|
| 17. <b>FRI</b>            | Fall with Injury 4A  | 2/10/2021  | <b>Documents Requested</b>                          |
| 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 (drug was correct drug) | 2/2/2021   | Information Requested                               |
| 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  | <b>On-site Visit/Documents Requested</b>            |
| 36. <b>FRI</b>            | COVID-19 Outbreak Notification 7B                              | 7/25/2021  | <b>Verbal- No deficiencies; supervisor approved</b> |
| 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>            | Elopement/AWOL ED  | 8/18/2021  | <b>On-site Visit/ Documents Requested</b>           |
| 40. <b>Privacy Breach</b> | Unauthorized disclosure of a staff member's PHI, 6M            | 8/26/2021  | Pending Visit                                       |
| 41. <b>FRI</b>            | HAPI Stage 2 coccyx  | 8/29/2021  | Pending Visit                                       |
| 42. <b>FRI</b>            | Elopement/AWOL ED  | 8/30/2021  | <b>Verbal- No deficiencies; pending approval</b>    |
| 43. <b>Privacy Breach</b> | Mis-mailed PHI regarding upcoming procedure, 3D                | 9/1/2021   | Pending Visit                                       |
| 44. <b>FRI</b>            | Alleged Staff to Patient Sexual Assault H54                    | 9/15/2021  | <b>Documents requested</b>                          |
| 45. <b>FRI</b>            | Elopement/AWOL H34   | 9/18/2021  | Pending Visit                                       |
| 46. <b>FRI</b>            | HAPI Stage 3 coccyx H62  | 9/28/2021  | <b>Documents requested</b>                          |
| 47. <b>FRI</b>            | HAPI Stage 3 parietal H56                                      | 9/28/2021  | <b>Verbal- No deficiencies; supervisor approved</b> |
| 48. <b>FRI</b>            | Fall with intertrochanteric fracture 7C                        | 10/7/2021  | <b>Documents requested</b>                          |
| 49. <b>FRI</b>            | HAPI Unstageable left hip H44                                  | 10/25/2021 | <b>Verbal- No deficiencies; pending approval</b>    |
| 50. <b>FRI</b>            | HAPI Unstageable coccyx and left ischium                       | 9/29/2021  | Pending Visit                                       |
| 51. <b>FRI</b>            | Retained penrose drain from surgery in May 2020                | 11/2/2021  | <b>Documents requested</b>                          |

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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.                                       | FRI  | Allegation of abuse by family member (H42) |  |  |  | 4/1/2021                        |                                  |                                       |
| 2.                                       | FRI  | Use of Force (7L)                          |  |  |  | 1/5/2022                        |                                  |                                       |
| 3.                                       | FRI  | Elopement/AWOL ED                          |  |  |  | 1/6/2022                        |                                  |                                       |
| 4.                                       | FRI  | Patient to Patient Sexual Assault 7B       |  |  |  | 1/11/2022                       |                                  |                                       |
| 5.                                       | Privacy Breach   | Unauthorized access by staff H32           |  |  |  | 12/8/2021                       |                                  |                                       |
| VI. COMPLETED SURVEY SUMMARY             |  |  |  |  |  |                                 |                                  |                                       |
| 1.                                       | OBOT DHCS- Corrective Actions: 1) Daily monitoring and reconciliation of methadone inventories to address potential for discrepancies. Of note: the amount noted during the inspection was within established norms for methadone provider discrepancies. 2) On-going QA and overview by the Program Director to assure that the correct number of urines samples are collected per year and address any challenges. |  |  |  |  |                                 |                                  |                                       |
| VII. PLAN OF CORRECTION MONITORING DATA  |  |  |  |  |  |                                 |                                  |                                       |

Deferred For January