

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 015171	(X2) MULTIPLE CONSTRUCTION A. Building B. Wing	(X3) DATE SURVEY COMPLETED 08/01/2023
NAME OF PROVIDER OR SUPPLIER Southern Springs Healthcare Facility		STREET ADDRESS, CITY, STATE, ZIP CODE 745 Southern Springs Road Union Springs, AL 36089	
For information on the nursing home's plan to correct this deficiency, please contact the nursing home or the state survey agency.			
(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (Each deficiency must be preceded by full regulatory or LSC identifying information)		
<p>F 0602</p> <p>Level of Harm - Minimal harm or potential for actual harm</p> <p>Residents Affected - Few</p>	<p>Protect each resident from the wrongful use of the resident's belongings or money.</p> <p>**NOTE- TERMS IN BRACKETS HAVE BEEN EDITED TO PROTECT CONFIDENTIALITY** Based on interviews, review of the facility's policy titled, Abuse Prevention, and the Alabama Department of Public Health online Incident Reporting System, the facility failed to ensure Employee Identifier (EI) #2, Admissions Coordinator did not exploit Resident Identifier (RI) #1 for personal gain by becoming the beneficiary on RI #1's life/burial insurance policy (face value of \$20,000).</p> <p>This deficient practice affected RI #1; one of three sampled residents reviewed for exploitation.</p> <p>Findings include:</p> <p>The facility's policy titled, Abuse Prevention with a revised date of [DATE], revealed, POLICY: . to promote a dignified existence for all residents; free from . exploitation . Exploitation- means taking advantage of a resident for personal gain through the use of manipulation, intimidation, threats and/or coercion.</p> <p>RI #1 was readmitted to the facility on [DATE]. and expired in the facility on [DATE].</p> <p>The Alabama Department of Public Health Online Incident Reporting System form dated [DATE], documented, . Narrative summary of incident: (NAME OF GUARDIAN) AND RESIDENT REPRESENTATIVE OF (NAME OF RI #1), CALLED ADMINISTRATOR [DATE] INQUIRING AS TO IF FACILITY HAD A LIFE INSURANCE POLICY ON (NAME OF RI #1). EXPLAINED THAT WE DO NOT DO THAT. SHE THEN ASKED IF FACILITY WAS AWARE THAT (NAME OF EI #2) HAD A LIFE INSURANCE POLICY ON (NAME OF RI #1) WHERE SHE WAS THE BENEFICIARY. FACILITY WAS NOT AWARE OF SUCH AND TOLD HER THAT I WOULD BEGIN AN INVESTIGATION. TODAY, WHEN (NAME OF EI #2) WAS INTERVIEWED SHE STATED THAT SHE HAD PAID (NAME OF RI #1)'S POLICY PREMIUMS TO PREVENT IT FROM LAPSING AND CONFIRMED THAT SHE WAS THE BENEFICIARY. SHE WAS TOLD IMMEDIATELY THAT WAS INAPPROPRIATE .</p> <p>On [DATE] at 9:48 AM, a phone interview was conducted with RI #1's Guardian ad litem (appointed) who has kids for RI #1. She stated she became aware EI #2 was the beneficiary of RI#1's policy when she was going through some paperwork and saw a suspicious piece of paper and called the insurance company. The Guardian stated EI #2 has not done anything for RI #1's kids since RI #1's death and she has not spoken with EI #2.</p> <p>On [DATE] at 10:21 AM, a phone interview was conducted with EI #2, (2nd Former admission Coordinator). EI #2 stated she had been knowing RI #1's family for years. EI #2 said RI #1's dad was paying the premium on the policy but had died that year and no one was paying the premium and the policy was about to lapse. EI #2 stated she called RI #1 in the office and asked him/her about the policy and was told that sisters had a policy on him/her. They (EI #2 and RI #1) called and verified that sister indeed had a policy. EI #2 stated RI #1 asked her if she would pay for the policy just in case</p> <p>(continued on next page)</p>		

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.

LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE	TITLE	(X6) DATE
FORM CMS-2567 (02/99) Previous Versions Obsolete	Event ID: Facility ID: 015171	If continuation sheet Page 1 of 3

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<p>F 0602</p> <p>Level of Harm - Minimal harm or potential for actual harm</p> <p>Residents Affected - Few</p>	<p>his/her sisters fall through. EI #2 stated she asked RI #1 was he/she sure because policy was about to lapse, and they needed to let the insurance company know that he/she will pay it. EI #2 stated she told RI #1 that he/she would have to sign, and he/she stated no problem because he/she knew she would make sure everything would be taken care of. EI #2 stated she became the beneficiary and she started paying for the policy. EI #2 stated the amount of the policy was \$20,000 and she had cashed it in. She admitted she had not done anything for RI #1 children at this time and she had paid off the balance of the funeral.</p> <p>A second phone interview was conducted with EI #2 on [DATE] at 4:30 PM. EI #2 stated she started paying the premium of RI#1s policy in May. She stated all RI #1 had to do to make her the beneficiary was to sign the beneficiary form. EI #2 admitted she did not talk to anyone at the facility about RI #1 wanting her to start paying the premium on the policy and becoming the beneficiary until after RI #1's death and funeral. EI #2 admitted she never told family she had an insurance policy on RI #1 and there were several opportunities to let them know. She stated RI #1's guardian called the facility and spoke with her and asked if the facility had a policy on RI #1. EI #2 stated she informed RI #1's Guardian the facility does not do such things like that, and she was going to call her because she had something to talk to her about. EI #2 stated the reason she did not say anything to Guardian at that time about her having a policy was because she had a family member in the office. She stated she did not tell the family the date of RI #1's death because there were other people in the room. EI #2 stated she went to the funeral to inform family of the policy; however, she did not get around to it. EI #2 stated RI#1's guardian was rude to her when she tried to talk with her. EI #2 admitted after the funeral she did not try to reach out to family anymore because she felt RI #1's sisters and guardian were on the same accord. EI#2 stated she finally contacted the funeral home in February, and she paid the balance of \$5,500 owed on RI #1's funeral. EI #2 stated reflecting back she guess her becoming beneficiary of RI #1's policy could be considered financial abuse.</p> <p>On [DATE] at 3:44 PM, a phone interview was conducted with EI #3, (1st Former admission Coordinator/Marketing). EI #3 said she became aware EI #1 had a policy on RI #1 when she told her it was something weighing heavy on her heart. EI #3 stated, EI #2 asked should she do anything for RI #1's daughters. EI #3 told her to talk with EI #1, Administrator but she did not report this to Administrator. EI #3 stated she remember RI #1 coming into the office and EI #2 talking with him/her about a policy lapsing. EI #3 said RI #1 stated he/she didn't think he/she needed it because his/her sisters had a policy. EI #3 said EI #2, and RI #1 call his/her sister and verified she indeed had a policy on RI #1. The admission Coordinator (EI #3) stated that was the last she knew of the concerns or conversation of the policy. EI #3 stated a facility staff member becoming beneficiary of a resident's policy could be considered taking advantage of a resident. EI #3, went on to say she knew RI #1 loved his/her daughters and would have wanted to make sure they were taken care of.</p> <p>On [DATE] at 5:14 PM, an interview was conducted with EI #4, Registered Nurse (RN)/ MDS Coordinator. EI #4 stated EI #2 mentioned to her after the funeral that she was the beneficiary of RI #1's policy. EI #4 stated EI #2 said RI #1 suggested that she become the beneficiary since she was paying the policy. EI #4 stated RI #1 was able to make competent decisions, however admitted that it was inappropriate for a staff member to become beneficiary of a resident's policy. EI #4 said at the time EI #2 told her about the policy, she (EI #4) did not see it as abuse.</p> <p>On [DATE] at 3:36 PM, a phone interview was conducted with funeral director. The funeral director stated EI #2 came to the funeral home and never disclosed she was in possession of a policy for RI #1. The funeral director said EI #2 finally reached out to him months later to notify him about the policy she had on RI #1. The funeral director stated at that time there was still a balance owed</p> <p>(continued on next page)</p>		

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<p>F 0602</p> <p>Level of Harm - Minimal harm or potential for actual harm</p> <p>Residents Affected - Few</p>	<p>(\$5,500) on RI #1's funeral which EI #2 paid.</p> <p>On [DATE] at 6:00 PM, an interview was conducted with EI #1, Administrator. She stated she became aware of EI #2 being beneficiary of RI #1's policy when his/her guardian called to asked if facility had a policy on RI #1. The Administrator stated she was then told that EI #2 had a policy on RI #1. The Administrator (EI #1) stated guardian informed her she found some papers in RI #1's belonging. EI #1 stated she went to talk to EI #2, and she admitted she was paying the premium on a policy for RI #1 and was the beneficiary. EI #1 stated EI #2 said she did it because she thought she was helping RI #1. EI #1 stated her concern was EI #2 was not upfront with the family when they came to pick up RI #1's things from facility and at the funeral. EI #1 stated even though RI #1 was competent to make decision, staff are not to become beneficiary of anything. EI #1 stated EI #2 was aware of the abuse policy pertaining to exploitation and part of her job was to review resident's rights with resident/families upon admission. EI #1 stated EI #2 made promises to RI #1 in exchange for being the beneficiary of his/her policy. This definition fits exploitation.</p> <p>*****</p> <p>Once the allegation of exploitation was reported to the facility's Administrator, the following corrective actions were implemented</p> <p>EI #2 was placed on suspension on [DATE]. EI #2 turned in her resigned effective [DATE].</p> <p>On [DATE], the facility initiated an investigation into the allegation; the facility was able to substantiate the allegation of exploitation.</p> <p>Around [DATE], the Administrator began an audit of all admission files for all in-house residents and any files that were in the buildings for residents that may have been discharged (where EI #2 was designated power of attorney, any guardianship papers, insurance papers.</p> <p>On [DATE], held training with Service, Activities, and Business Office personnel regarding handling of residents' funds, the abuse policy and procedure- specifically the exploitation definition.</p> <p>*****</p> <p>After review of the facility's investigation file, in-service/education records and staff interviews, the facility implemented corrective actions from [DATE] to [DATE], thus past non-compliance was cited.</p> <p>This deficiency was cited because of the investigation of complaint/report number AL00042370.</p>		