

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 055854	(X2) MULTIPLE CONSTRUCTION A. Building B. Wing	(X3) DATE SURVEY COMPLETED 02/24/2025
NAME OF PROVIDER OR SUPPLIER Santa Rosa Post Acute		STREET ADDRESS, CITY, STATE, ZIP CODE 4650 Hoen Avenue Santa Rosa, CA 95405	
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 0573</p> <p>Level of Harm - Minimal harm or potential for actual harm</p> <p>Residents Affected - Some</p>	<p>Let each resident or the resident's legal representative access or purchase copies of all the resident's records.</p> <p>**NOTE- TERMS IN BRACKETS HAVE BEEN EDITED TO PROTECT CONFIDENTIALITY** 43238</p> <p>Based on interview and record review, the facility failed to provide residents a copy of their medical records upon request for six of 15 sampled residents. This failure resulted in the obstruction of the residents' right to access their own medical record.</p> <p>Findings:</p> <p>A review of Resident 1's admission record indicated admission to the facility on [DATE] with diagnosis of Central Cord Syndrome (a spinal cord injury that affects arms and hands more than the legs), fusion of the spine surgical procedure permanently joining two or more bones in the spine), and Spinal Stenosis (a condition where the space surrounding the spinal cord becomes narrowed).</p> <p>A review of Resident 1's Minimum Data Set (MDS- a federally mandated resident assessment tool) dated 5/17/24, indicated a Brief Interview for Mental Status (BIMS-an assessment tool used by facilities to screen and identify memory, orientation, and judgement status of the resident) score was 13 which indicated no cognitive (relating to processes of thinking and reasoning) impairment.</p> <p>A review of a document titled Authorization Form for the Release of Health Information , dated 1/12/25, indicated, I hereby authorize [the facility] to disclose my individually identifiable health information as described below .Name and address of person(s) or organization(s) to receive the records [Name and address included] . [Check-marked as chosen option] I am requesting that the Facility copy the following records, and send the records to the above address .I am requesting the following records from the resident's medical record that were created between 2/9/24 and 5/30/24 .[Check-marked as chosen option] All Medical Records .The following MUST be completed: **Purpose for which records will be used: Attorney to Review .Legal Authority for Request, check one: [Check-marked as chosen option] I am the resident noted above .Signature of resident .Verbal received via telephone from Resident .Date 1/12/25 .</p> <p>A review of an electronic mail between the Medical Records Director (MRD) and the facility's legal department dated 1/14/25, indicated, Regardless of her verbal request, she still needs to be the one to fill out the request form and physically sign it, or a formal legal request needs to be sent by the law firm.</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
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<p>F 0573</p> <p>Level of Harm - Minimal harm or potential for actual harm</p> <p>Residents Affected - Some</p>	<p>A review of a letter addressed to Resident 1 from the MRD dated 1/15/25 indicated, We reviewed your request to release records and unfortunately, we are not able to process a record release to an attorney with a verbal request. You must complete this form and return to us or your attorney can request for you, as long as you sign the release form.</p> <p>A review of a letter from Resident 1 to the Administrator (ADM) and Director of Nursing (DON) dated 2/12/25 indicated, I am writing to follow-up on my request for a copy of my medical records when I was a resident from 2/9/24 to 5/20/24. I originally spoke with someone about my request prior to Christmas 2024 and was told it would cost me money to obtain a copy which I agreed to pay, however the last correspondence I got from the facility was that your lawyers needed to review my medical records before you could release them. It is now February 2025 and I still have not received a copy of my medical records. I am waiting and would like to know when I can expect to receive them.</p> <p>A review of a letter addressed to Resident 1 from the MRD dated 2/17/25 indicated, Please complete the attached record release and return by fax, email, or standard mail. Once we receive the completed request, we will contact you with the estimate of the fees to be collected. With your approval, we will process your request within 48 hours .</p> <p>During an interview on 2/20/25 at 2:12 P.M., the MRD stated, A resident with capacity has to sign a form. At times, we can take a verbal request. It depends on the circumstance .sometimes it needs to get cleared by our legal department. I only do what I'm told. The MRD also stated a normal process only takes two days.</p> <p>During an interview on 2/20/25 at 2:50 P.M., the MRD stated, Running charts through legal is a new thing. The MRD confirmed she told Resident 1 her medical chart needed to be reviewed before she could release it. The MRD verified as of 2/20/25, [Resident 1's] request is still pending with [the facility's] legal department.</p> <p>During an interview and concurrent record review with the MRD on 2/20/25 at 3:07 P.M. the MRD confirmed four out of seven residents who had requested copies of their medical records between December 2024 and February 2025 had not received their records because the facility's legal department had not yet directed her to release them to the residents.</p> <p>During an interview on 2/24/25 at 8:16 AM, Resident 1 stated she had first requested a copy of her medical record verbally prior to Christmas of 2024 with a representative from the medical records department. Resident 1's second verbal request was on 1/12/25 with the MRD and the third request was submitted via certified mail on 2/12/25.</p> <p>During an interview on 2/24/25 at 9:22 A.M., the ADM stated Our legal department states they cannot release records directly to the residents' attorneys. [Resident 1's] attorney would need to reach out to us rather than [Resident 1] reaching out on their behalf.</p> <p>During an interview and concurrent record review with the MRD and ADM on 2/24/25 at 9:39 A.M., the MRD confirmed the letter dated 1/15/25 contradicted the facility's policy and could cause confusion to the residents. The MRD handed the surveyor a facility document titled Record Release Log which indicated 15 residents requested a copy of their medical record between 12/20/24 to 2/10/25. This document further indicated the following:</p> <p>(continued on next page)</p>		

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<p>F 0573</p> <p>Level of Harm - Minimal harm or potential for actual harm</p> <p>Residents Affected - Some</p>	<p>-Resident 2's attorney requested Resident 2's entire chart on 12/20/24. Resident 2's record was released on 1/2/25. A note regarding Resident 2's record indicated, Delay from legal.</p> <p>-Resident 6's attorney requested Resident 6's entire chart on 1/13/25. Resident 6's record was released on 2/14/25.</p> <p>-Resident 1 requested a copy of her entire chart for her attorney on 1/14/25. Resident 1's record was pending release. A note regarding Resident 1's record indicated, Per legal- Cannot release record to attorney with verbal request .</p> <p>-Resident 2's attorney requested Resident 2's entire chart on 1/27/25. Resident 2's record was pending release. A note regarding Resident 2's record indicated, Legal to release.</p> <p>-Resident 3's attorney requested Resident 3's entire chart on 1/31/25. Resident 3's record was pending release. A note regarding Resident 3's record indicated, Legal reviewing.</p> <p>-Resident 4's attorney requested Resident 4's entire chart on 2/10/25. Resident 4's record was pending release. A note regarding Resident 4's record indicated, Legal reviewing.</p> <p>-Resident 1 requested a copy of her entire chart for herself and her attorney on 2/14/25. Resident 1's record was released on 2/24/25. A note regarding Resident 1's record indicated, Sent letter w/ [with] record release and fee schedule. Attorney has to request directly.</p> <p>-Resident 5 requested a copy of her entire chart for her attorney on 2/21/25. Resident 5's record was pending release. A note regarding Resident 5's record indicated, Legal reviewing.</p> <p>The MRD and ADM stated the facility plans to send Resident 1's medical records to Resident 1's current residence on 2/24/25.</p> <p>A review of the facility's procedure titled Record Release Step by Step Process , undated, indicated, Non-Provider Process .Receive record release. Verify request is made by person authorized to receive medical record (If not authorized, resident or resident responsible person will be asked if they want to consent to release of records to requestor.) Verify delivery method and review fees. If more than 50 pages the record will be downloaded (24 hour wait period) if less than 50 pages and it time permits, the release will be processed, the same day. Notify requestor that medical records are complete. Verify delivery method and submit invoice. Deliver records to requestor .</p> <p>A review of the facility's policy titled Access to Personal and Medical Records dated 2001, indicated, Each resident has the right to access and/or obtain copies of his or her personal and medical records upon request .A resident may submit his/her request either orally or in writing for access to person or medical information pertaining to him/her .Access to the resident's personal and medical records will be provided to the resident within 24 hours (excluding weekends and holidays) of his or her request .The resident may obtain a copy of his or her personal or medical record within two business days of an oral or written request .The resident, or his/her legal representative, may grant others the right to access the resident's records if such request is made in writing and identified the information that is to be released and to whom the information is to be released.</p>		