

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>HAL060139</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING _____	(X3) DATE SURVEY COMPLETED  <b>R</b> <b>03/02/2016</b>
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NAME OF PROVIDER OR SUPPLIER  <b>REGENCY RETIREMENT VILLAGE</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>9120 WILLOW RIDGE DRIVE CHARLOTTE, NC 28210</b>
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{D 000}	Initial Comments	{D 000}		
{D 137}	<p>10A NCAC 13F .0407(a)(5) Other Staff Qualifications</p> <p>10A NCAC 13F .0407 Other Staff Qualifications (a) Each staff person at an adult care home shall: (5) have no substantiated findings listed on the North Carolina Health Care Personnel Registry according to G.S. 131E-256;</p> <p>This Rule is not met as evidenced by: Based on observations, interviews, and record reviews, the facility failed to ensure 5 of 7 sampled staff (Staff A, B, C, D, and E) had no substantiated findings listed on the North Carolina Health Care Personnel Registry (HCPR) according to G.S. 131E-256.</p> <p>The findings are:</p> <p>A. Review of Staff A's personnel records revealed: -A hire date of 12/07/15 as a nursing assistant/laundry aide. -No documentation of a HCPR check.</p> <p>Interview on 03/01/16 at 4:31 pm with the Business Office Manager (BOM) revealed: -It was the BOM's responsibility to complete a HCPR check for all new employees prior to beginning work at the facility. -Staff A had previously worked at the facility before moving to another country.</p>	{D 137}		

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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE \_\_\_\_\_ TITLE \_\_\_\_\_ (X6) DATE \_\_\_\_\_

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{D 137}	<p>Continued From page 1</p> <p>-She returned to the facility on 12/17/15. -The BOM thought Staff A was "technically" still an employee and did not require a HCPR check when she returned to work.</p> <p>Interview on 03/01/16 at 4:42 pm with the Director of Nursing (DON) revealed: -Staff A resigned when she moved away and was re-hired on 12/17/15. -She was not aware the HCPR check was not completed when Staff A was re-hired.</p> <p>Interview on 03/01/16 at 4:50 pm with the Administrator revealed: -Staff A was a "complete new hire" when she returned to the facility on 12/17/15. -He was not aware the HCPR check was not completed when Staff A was re-hired.</p> <p>Telephone interview on 03/01/16 at 5:34 pm with Staff A revealed: -She resigned from the facility in March 2015 and moved to another country. -She returned and was re-hired at the facility in December 2015.</p> <p>A HCPR check completed on 03/01/16 revealed Staff A had no substantiated findings listed on the registry.</p> <p>B. Review of Staff B's personnel records revealed: -A hire date of 08/12/15 as a cook. -No documentation of a HCPR check.</p> <p>Interview on 03/01/16 at 10:00 am with the Business Office Manager (BOM) revealed: -He was responsible for completing the HCPR checks for all employees. -On 10/06/15, the BOM began completing the</p>	{D 137}		

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{D 137}	<p>Continued From page 2</p> <p>HCPR checks for all current employees, including Staff B. -The BOM filed the HCPR checks in a binder, but was unable to locate the HCPR check for Staff B.</p> <p>A HCPR check completed on 03/01/16 for Staff B revealed no substantiated findings listed on the registry.</p> <p>C. Review of Staff C's personnel records revealed: -A hire date of 02/17/16 as the front desk receptionist. -Documentation of a HCPR check dated 02/29/16 with no substantiated findings listed.</p> <p>Interview on 03/01/16 at 10:00 am with the Business Office Manager (BOM) revealed: -He was responsible for completing the HCPR check for all new employees. -Several employees, including Staff C, were hired on 02/17/16 and the BOM completed the HCPR check on that date. -He did not know why the HCPR verification form showed a verification date of 02/29/16, because he knew he completed the check on 02/17/16.</p> <p>Telephone interview on 03/01/16 at 11:00 am with staff from the Health Care Personnel Registry revealed when a HCPR inquiry was made, the response was a computer-generated verification form which included a confirmation number and the date of inquiry.</p> <p>D. Review of Staff D's personnel records revealed: -A hire date of 02/17/16 as a Medication Aide (MA). -Documentation of a HCPR dated 02/29/16 with no substantiated findings listed.</p>	{D 137}		

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{D 137}	<p>Continued From page 3</p> <p>Interview on 03/01/16 at 10:00 am with the Business Office Manager (BOM) revealed: -He was responsible for completing the HCPR check for all new employees. -Several employees, including Staff D, were hired on 02/17/16 and the BOM completed the HCPR check on that date. -He did not know why the HCPR verification form showed a verification date of 02/29/16, because he knew he completed the check on 02/17/16.</p> <p>Telephone interview on 03/01/16 at 11:00 am with staff from the Health Care Personnel Registry revealed when a HCPR inquiry was made, the response was a computer-generated verification form which included a confirmation number and the date of inquiry.</p> <p>E. Review of Staff E's personnel records revealed: -A hire date of 02/17/16 as a nursing assistant. -Documentation of a HCPR check completed on 02/29/16 with no substantiated findings listed.</p> <p>Interview on 03/01/16 at 10:00 am with the Business Office Manager (BOM) revealed: -He was responsible for completing the HCPR check for all new employees. -Several employees, including Staff E, were hired on 02/17/16 and the BOM completed the HCPR check on that date. -He did not know why the HCPR verification form showed a verification date of 02/29/16, because he knew he completed the check on 02/17/16.</p> <p>Telephone interview on 03/01/16 at 11:00 am with staff from the Health Care Personnel Registry revealed when a HCPR inquiry was made, the response was a computer-generated verification</p>	{D 137}		

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{D 137}	Continued From page 4  form which included a confirmation number and the date of inquiry.	{D 137}		
{D 310}	<p>10A NCAC 13F .0904(e)(4) Nutrition and Food Service</p> <p>10A NCAC 13F .0904 Nutrition and Food Service (e) Therapeutic Diets in Adult Care Homes: (4) All therapeutic diets, including nutritional supplements and thickened liquids, shall be served as ordered by the resident's physician.</p> <p>This Rule is not met as evidenced by: FOLLOW-UP TO TYPE B VIOLATION.</p> <p>The Type B Violation was abated. Non-compliance continues.</p> <p>Based on observations, interviews, and record reviews, the facility failed to assure 4 of 6 sampled residents (Residents #1, #2, #3, and #4) with physician's orders for therapeutic diets of Mechanical Soft (MS), and Nectar Thickened Liquids were served as ordered.</p> <p>The findings are:</p> <p>A. Review of Resident #1's current FL2 dated 09/09/15 revealed: -Diagnoses included dementia, hypertension and hypokalemia. -Special Care Unit (SCU) was level of care. -The diet ordered was for Regular/Puree/Nectar thicken liquids.</p> <p>Review of Resident #1's record revealed: -Resident #1 was admitted to hospice services.</p>	{D 310}		

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{D 310}	<p>Continued From page 5</p> <p>-A signed clarification physician order dated 09/30/15, Regular diet with mechanical soft consistency, nectar thicken liquids.</p> <p>-A subsequent signed physician order dated 09/30/15, Resident #1 may have pleasure foods provided by the family.</p> <p>Review of the diet list (posted in the kitchen) on 03/01/16 at 10:30 am revealed Resident #1 was to receive a regular, mechanical soft, nectar thickened liquids diet.</p> <p>Review of the facility therapeutic diet menus revealed a mechanical soft menu was available for guidance for food service staff.</p> <p>Observation of the facility's food supply on 03/01/16 at 10:45 am revealed the facility had pre-thickened nectar liquids available for resident who required thickened liquids.</p> <p>Review of the facility therapeutic diet menus revealed:</p> <p>-The lunch on 03/01/16 for residents ordered a mechanical soft diet consisted of Italian seafood baked fish, whole wheat penne pasta, green beans, dinner roll, chilled pears, milk and beverage of choice.</p> <p>Observation on 03/01/16 from 12:45 pm to 1:15 pm of the lunch meal served in the SCU revealed:</p> <p>-Resident #1's family member was present in the SCU and assisted Resident #1 with the lunch meal.</p> <p>-Resident #1 was served non-thickened tea and water with ice cubes in both glasses.</p> <p>-Resident #1's family member placed the glass of tea up to Resident #1's mouth, Resident #1 drank from a straw without any observed difficulty or problem.</p>	{D 310}		

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{D 310}	<p>Continued From page 6</p> <p>Interview on 03/01/16 at 1:00 pm with Resident #1's family member revealed:</p> <ul style="list-style-type: none"> <li>-She was Resident #1's Power of Attorney and came every other day to the facility.</li> <li>-She assisted Resident #1 with her meal and another family member came the opposite days to the facility to assist Resident #1 with meals.</li> <li>-She was aware Resident #1 had an order for a mechanical soft diet and nectar thickened liquids.</li> <li>-Resident #1 had always received a mechanical soft diet with ground meats.</li> <li>-She refused the nectar thickened liquids daily when she assisted Resident #1 with her meals.</li> <li>-She said Resident #1 had been losing weight and she had requested thickened liquids from the hospice nurse to see if that would help with Resident #1's weight loss.</li> <li>-She had informed the hospice nurse and staff she did not want Resident #1 to have thickened liquids anymore because Resident #1's weight had improved.</li> <li>-She stated, "Resident #1 has no trouble with swallowing."</li> </ul> <p>Review on 03/02/16 of Resident #1's record revealed:</p> <ul style="list-style-type: none"> <li>-There was no documentation the facility contacted Resident #1's physician or hospice concerning thickened liquids.</li> <li>-No documentation of a swallowing evaluation or difficulty in swallowing or chewing.</li> </ul> <p>Interview on 03/01/16 at 1:45 pm with a Personal Care Aide (PCA) revealed:</p> <ul style="list-style-type: none"> <li>-She worked in the SCU on 03/01/16.</li> <li>-She was aware Resident #1's family member assisted Resident #1 with meals.</li> <li>-She was aware Resident #1 had an order for nectar thickened liquids.</li> </ul>	{D 310}		

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{D 310}	<p>Continued From page 7</p> <p>-The family member refused the nectar thickened liquids for Resident #1 on 03/01/16. -She always served Resident #1 nectar thickened liquids as ordered by the physician when the family was not present in the facility.</p> <p>Review of the facility diet menu revealed the dinner on 03/01/16 consisted of beef tips, red skin potatoes, broccoli cuts, dinner rolls, raspberry dream cake, beverage of choice and milk.</p> <p>The dinner meal on 03/01/16 for residents ordered a mechanical soft diet consisted of ground beef tips, mashed potatoes, broccoli cuts, dinner roll, raspberry dream cake, milk and beverage of choice.</p> <p>Observation on 03/01/16 from 5:45 pm to 6:10 pm of the dinner meal served in the SCU revealed: -Resident #1's family member was present with the dinner meal. -Resident #1 was served diced red skin potatoes of varies sizes approximately 1/2 inch pieces, tea and milk which was not nectar thickened liquids. -Resident #1 ate 4 pieces of the red skin potatoes and consumed half of the tea and sips of the milk without any swallowing difficulty or problem.</p> <p>Interview on 03/02/16 at 9:00 am with the SCU Coordinator revealed: -She was not aware the family had refused the thicken liquids for Resident #1. -She would immediately call the physician and inform him of the refusing of the nectar thickened liquids by Resident #1's family.</p> <p>Refer to interview on 03/01/16 at 3:10 pm and 03/02/16 at 10:00 am with the Dietary Manager.</p>	{D 310}		



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{D 310}	<p>Continued From page 8</p> <p>Refer to interview on 03/01/16 at 4:00 pm with the Cook.</p> <p>B. Review on 03/01/16 of Resident #2's current FL2 dated 07/01/15 revealed: -Diagnoses which included anxiety, dementia, and Alzheimer. -Level of care was documented as Special Care Unit (SCU). -The diet ordered was for no added salt (NAS), lactose free diet.</p> <p>Review of Resident #2's record revealed a signed subsequent order dated 10/29/15, Mechanical soft, NAS diet.</p> <p>Review of the diet list (posted in the kitchen) on 03/01/016 at 10:30 am revealed Resident #2 was to receive a mechanical soft, NAS diet.</p> <p>Review of the facility therapeutic diet menus revealed a mechanical soft menu was available for guidance for food service staff.</p> <p>Review of the facility alternative therapeutic mechanical soft diet menu for 03/04/16 for lunch revealed hotdog (ground in consistency) on a bun, chili, coleslaw and hushpuppies with beverage of choice was to be served.</p> <p>Observation on 03/01/16 from 12:45 pm to 1:10 pm of the lunch meal served in the SCU revealed: Resident #2 was served a whole hotdog not ground in consistency,with chili. -Staff cut the hotdog in half for Resident #2. -Resident #2 took three bites of the hotdog without any swallowing issues.</p>	{D 310}		

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{D 310}	<p>Continued From page 9</p> <p>Review of the facility diet menu revealed the dinner on 03/01/16 consisted of beef tips, red skin potatoes, broccoli cuts, dinner rolls, raspberry dream cake, beverage of choice and milk.</p> <p>The dinner meal on 03/01/16 for residents ordered a mechanical soft diet consisted of ground beef tips, mashed potatoes, broccoli cuts, dinner roll, raspberry dream cake, milk and beverage of choice.</p> <p>Observation on 03/01/16 from 5:45 pm to 6:10 pm of the dinner meal served in the SCU revealed:</p> <ul style="list-style-type: none"> <li>-Resident #2 was served diced red skin potatoes of varies sizes approximately 1/2 inch pieces instead of the mashed potatoes.</li> <li>-Resident #2 ate two red skin potato chunks.</li> <li>-Resident #2 continued to pick at her food for 7 minutes, SCU staff assisted her with feeding and drinking.</li> <li>-Resident #2 with assistance ate 100% of the beef tips and three more red skin potato chunks without difficulty or problems.</li> </ul> <p>Based on observations and record review Resident #2 was not interviewable.</p> <p>Attempted telephone interview on 03/02/16 at 10:35 with Resident #2's family was unsuccessful.</p> <p>Interview on 03/02/16 at 9:30 am with a SCU Personal Care Aide revealed:</p> <ul style="list-style-type: none"> <li>-Each meal the residents could choose what they would like to order from the daily menu or the alternative menu.</li> <li>-I ask the residents what they would like for the meal, and write on the menu selection sheet the</li> </ul>	{D 310}		

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{D 310}	<p>Continued From page 10</p> <p>resident's name and their diet."                      -"We take the menu selection request forms to the kitchen and the kitchen prepared the meals for the residents."                      -"We push a warming cart over from the kitchen with the resident's meal inside."                      -Under the resident's plates were the request forms with the resident's name and diet for each resident in the SCU.                      -"We are responsible for matching the plated meal to the resident's name and the diet ordered."</p> <p>Interview on 03/01/16 at 3:10 pm with the Dietary Manager (DM) revealed:                      -She was aware the alternate menu served at lunch was for hotdogs.                      -She was unaware Resident #2 was served a whole hotdog, not ground as ordered on a mechanical soft diet.                      -The cook was nervous. "because the state survey was going on and it was his first state survey."                      -The cook probably did not compare the regular posted menu to the therapeutic menu.                      -"Sometimes I think he (the cook) gets in a hurry when preparing meals."                      -I know the cook ground some hotdogs on 03/01/16 for the lunch meal, but I'm not sure why Resident #2 was served a whole hotdog.                      -"He (the cook) probably did serve the hotdogs whole."</p> <p>Interview on 03/02/16 at 9:00 am with the SCU Coordinator revealed she was unaware Resident #2 was served a whole hot dog (not ground) as ordered for the mechanical soft diet on 03/01/16.</p> <p>Refer to interview on 03/01/16 at 4:00 pm with the Cook.</p>	{D 310}		

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{D 310}	<p>Continued From page 11</p> <p>C. Review of Resident #3's current FL2 dated 02/16/16 revealed: -Diagnoses included dementia, bipolar, depression, and chronic kidney disease. -Level of care was recommended as Special Care Unit (SCU). -Diet ordered was for NAS/mechanical soft.</p> <p>Review of the diet list (posted in the kitchen) on 03/01/16 at 10:30 am revealed Resident #3 was to receive a mechanical soft, NAS diet.</p> <p>Review of the facility therapeutic diet menus revealed a mechanical soft menu was available for guidance for food service staff.</p> <p>Observation on 03/01/16 from 12:45 pm to 1:10 pm of the lunch meal served to in the SCU revealed: -Resident #3 was served a garden salad with cut chunks of lettuce, sliced tomato cut in approximately half inch pieces, shredded cheese and 2 dinner rolls. -Resident #3 consumed no lunch and declined to sit in the dining room area.</p> <p>Review of the facility's therapeutic diet menu for mechanical soft diet revealed the lettuce was be served shredded and tomatoes were not to be served.</p> <p>Interview on 03/01/16 at 2:00 pm with Resident #3 revealed: -She had been in the facility for about 2 months. -She had not been hungry at the lunch meal and did not want to eat. -She liked salads and she usually ate them without any type of dressing.</p>	{D 310}		

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NAME OF PROVIDER OR SUPPLIER  <b>REGENCY RETIREMENT VILLAGE</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>9120 WILLOW RIDGE DRIVE CHARLOTTE, NC 28210</b>
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{D 310}	<p>Continued From page 12</p> <p>-She never had a problem chewing the lettuce or the tomatoes.</p> <p>-She was unsure what type of diet she was on, but liked all kind of foods.</p> <p>Review of the facility diet menu revealed the dinner on 03/01/16 consisted of beef tips, red skin potatoes, broccoli cuts, dinner rolls, raspberry dream cake, beverage of choice and milk.</p> <p>The dinner meal on 03/01/16 for residents ordered a mechanical soft diet consisted of ground beef tips, mashed potatoes, broccoli cuts, dinner roll, raspberry dream cake, milk and beverage of choice.</p> <p>Observation on 03/01/16 from 5:45 pm to 6:10 pm of the dinner meal served in the SCU revealed:</p> <p>-Resident #3 was served diced red skin potatoes of varies sizes approximately 1/2 inch pieces instead of the mashed potatoes.</p> <p>-Resident #3 ate 50 % of the dinner meal and consumed all of the dinner roll without difficulty or problems.</p> <p>Interview on 03/02/16 at 9:00 am with the SCU Coordinator revealed:</p> <p>-She was unsure why Resident #3 would be on a mechanical soft diet.</p> <p>-Resident #3 did not have issues with swallowing.</p> <p>Refer to interview on 03/01/16 at 3:10 pm and on 03/02/16 at 10:00 am with the Dietary Manager.</p> <p>Refer to interview on 03/01/16 at 4:00 pm with the Cook.</p>	{D 310}		

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{D 310}	<p>Continued From page 13</p> <p>D. Review of Resident #4's current FL2 dated 09/25/15 revealed: -Diagnoses included seizures, chronic kidney disease, respiratory failure, pneumonia, and possible aspiration. -Therapeutic diet ordered was for a dysphagia diet.</p> <p>Review of Resident #4's record revealed a subsequent signed physician order 02/08/16 for a regular diet/ mechanical soft/ nectar thickened liquids.</p> <p>Review of the diet list (posted in the kitchen) on 03/01/16 at 10:30 am revealed Resident #4 was to receive a regular, mechanical soft, nectar thickened liquids diet.</p> <p>Review of the facility therapeutic diet menus revealed a mechanical soft menu was available for guidance for food service staff.</p> <p>Observation of the facility's food supply on 03/01/16 at 10:45 am revealed the facility had pre-thickened nectar liquids available for resident who required thickened liquids.</p> <p>Observation on 03/01/16 at 12:00 pm of the lunch served to Resident #4 revealed Resident #4 was served a mechanical soft diet with nectar thicken liquids as ordered by the physican.</p> <p>Interview on 03/01/16 at 12:15 with Resident #4 family member revealed: -She visited Resident #4 daily at lunch, -She was aware Resident #4 was on nectar thickened liquids and a soft diet. -She stated, "Resident #4 was served a soft diet at lunch when she visited him, and was always served thickened liquids."</p>	{D 310}		

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{D 310}	<p>Continued From page 14</p> <p>-Resident #4 had no issue or problem with his meals when she was in the facility.</p> <p>Review of the facility diet menu revealed the dinner on 03/01/16 consisted of beef tips, red skin potatoes, broccoli cuts, dinner rolls, raspberry dream cake, beverage of choice and milk.</p> <p>The dinner on 03/01/16 for residents ordered a mechanical soft diet consisted of ground beef tips, mashed potatoes, broccoli cuts, dinner roll, raspberry dream cake, milk and beverage of choice.</p> <p>Observation on 03/01/16 from 5:15 pm to 5:40 pm of the dinner meal served revealed: -Resident #4 was served diced red skin potatoes of varies sizes approximately 1/2 inch pieces, instead of the mashed potatoes. -Resident #4 ate 100 % of his meal without difficulty or problems.</p> <p>Interview on 03/02/16 at 8:15 am with a dining room server on the Assisted Living side revealed: -He worked in the kitchen for 2 years as a server. -He was aware residents were on different therapeutic diets. -He let the residents choose what they wanted to eat on the request form and then compared what they had requested to the diet menu that was posted in the kitchen. -He had written the residents name and diet on the request form and then gave the cook the diet request form. -He was aware mechanical soft diets consisted of ground meat, " like a sloppy-joe type of consistency. "</p> <p>Refer to interview on 03/01/16 at 3:10 pm and on</p>	{D 310}		

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{D 310}	<p>Continued From page 15</p> <p>03/02/16 at 10:00 am with the Dietary Manager.</p> <p>Refer to interview on 03/01/16 at 4:00 pm with the Cook.</p> <p>Interview on 03/01/16 at 3:10 pm and on 03/02/16 at 10:00 am with the Dietary Manager (DM) revealed:</p> <ul style="list-style-type: none"> <li>-She would pick alternative menu choices by what the residents liked, as well as what was listed on the approved dietician daily menu.</li> <li>-The mechanical soft diets were to consist of ground/chopped meats.</li> <li>-I think the cook did not look at the therapeutic spread sheet for mechanical soft diet and served the red skin potatoes to everyone.</li> <li>-"It is my responsibility for overseeing the kitchen as well as making sure all physician ordered diets are followed."</li> <li>-"I am responsible for training and education for the kitchen staff."</li> <li>-She would immediately conduct an in-service for all kitchen staff and inform staff of the importance of following the physician orders for all therapeutic diets.</li> </ul> <p>Interview on 03/01/16 at 4:00 pm with the cook revealed:</p> <ul style="list-style-type: none"> <li>-He had been the cook for about 6 months, he was server for about a year prior to becoming the cook.</li> <li>-He was trained by the DM.</li> <li>-He was aware the therapeutic diet menu was in a book in the kitchen.</li> <li>-He looked at the regular menu daily that was posted in the kitchen, but not the therapeutic menu unless it was "a new dish" he was not familiar with preparing.</li> <li>-He was aware residents in the facility were on mechanical soft diets and required ground meats.</li> </ul>	{D 310}		



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{D 310}	<p>Continued From page 16</p> <ul style="list-style-type: none"> <li>-He had prepared 8 mechanical soft diets for the AL side and 8 mechanical soft diets for the SCU on 03/01/16 for the lunch meal.</li> <li>-He stated, "I know the residents so I did not look at the therapeutic menu every today."</li> <li>-He denied looking at the therapeutic menu on 03/01/16 for the lunch meal he prepared for the mechanical soft diets.</li> </ul> <p>Interview on 03/02/16 at 9:00 am with the SCU Coordinator revealed:</p> <ul style="list-style-type: none"> <li>-A list for all SCU residents' diets was kept in the dining room area in a communication book.</li> <li>-The SCU staff was aware of what a mechanical soft diet was, "I think."</li> <li>-The SCU relied on the kitchen staff to prepare the residents meal according to the physician order.</li> <li>-She would hold an in-service for the SCU and discuss comparing the meal served with the physician diet ordered.</li> </ul>	{D 310}		