

Division of Health Service Regulation  
Mental Health Licensure and Certification Section  
**ANNUAL SURVEY OUTLINE** *(revised 5-2019)*

<p>The annual survey is performed to determine compliance or non-compliance of key rules. The surveyor focuses on the rule areas with the greatest impact on the health, safety and welfare of clients. Findings indicating non-compliance trigger a more detailed and comprehensive survey of that specific rule area and related rules. This is an outline to be used in guiding the surveyor through the annual survey process. <b>THIS GUIDE REFERENCES CORE REQUIREMENTS, IN ADDITION REFER TO SPECIFIC PROGRAM RULES FOR ADDITIONAL REQUIREMENTS.</b> It is <b>NOT</b> a checklist for the documentation of findings.</p>																												
<p><b>SURVEY TASKS:</b></p> <ul style="list-style-type: none"> <li>• Entrance Conference</li> <li>• Facility Tour and Client/Staff Observation</li> <li>• Sample Selection</li> <li>• Interviews</li> <li>• Review of Records</li> <li>• Pre-Exit Data Analysis</li> <li>• Exit</li> </ul>	<p><b>SAMPLE SIZE:</b> In facilities with less than 30 clients the sample size is 3. In facilities with more than 30 clients the sample size is 10% of the total number of clients. Your sample size determines how many clients/staff you will interview and how many client/staff records you will review.</p>	<p><b>SAMPLE SELECTION:</b> Sample selection is drawing a small number of clients and staff from the facility to reflect a proportionate representation. Choose clients based on your observations. Clients with challenging behaviors, requiring significant assistance with ADLs and those noted in incident and accident reports. Ensure your personnel sample includes those staff working the day of survey, staff administering medications and/or new staff.</p>																										
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27G .0303 (c)	Facility and grounds maintained in a safe, clean, attractive and orderly manner and free from offensive odor	Observation, interview with clients and staff and review of incident and accident reports related to physical plant and client safety																										
27G .0304(b)(4)	Hot water maintained at 100 degrees F to 116 degrees F.	Measurement of temperatures in client areas																										
27G .0404(d)	Facility is serving clients within licensed capacity	Observation, interview with clients and staff and review of records																										
27G .0207	Fire and Disaster plan posted and available to all staff. Fire and Disaster Drills in a 24 hour facility held quarterly and repeated on each shift.	Interview with clients and staff, review of fire and disaster documentation (1 year of records) and fire and disaster plans.																										
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27G .0206 (a)(5)	Client record contains current emergency contact information	Review of client record, client and staff interview																										
27D .0101	Staff is knowledgeable about restrictive interventions allowed for use in the facility and alternatives	Review of personnel files, staff and client interview																										
27D .0304	Clients are protected from abuse, harm, neglect and exploitation	Observation, client and staff interview, review of client records, incident & accident reports (at least 3 months, noting patterns) & staffing schedules																										
G.S. 131E-256 1002	Facility conducts internal investigation of all allegations of abuse, neglect & exploitation within 5 working days. Clients are protected during investigation.	Review of incident and accident reports, review of internal investigation reports, client and staff interview																										
G.S. 131E-256 (g)	HCPR is notified of all allegations against staff involving abuse, neglect, misappropriation of property, drug diversion and fraud.	Observation of clients & staff interaction, review of incident & accident reports, review of client records and staff and client interviews																										
G.S. 122C-61 and G.S. 122C-62	Ensure clients' rights are not restricted.	Interview with clients and staff. Review of policies & procedures; client treatment plans.																										

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<b>STAFF QUALIFICATIONS &amp; COMPETENCY</b>		
27G .0202(b)(4)	No substantiated findings listed on the North Carolina Health Care Personnel Registry.	Review of personnel files for HCPR confirmation # and date, staff interview
27G .0202(c)	Criminal background check in accordance with G.S. 122C-80	Review of personnel files, staff interview
27G .0202(h)	One staff person available at all times when client present in facility <u>AND</u> staffing in accordance with client needs and program requirements	Observation, client and staff interview, review of client records & staffing schedules
27G .0202(h)	Staff trained in CPR, basic first aid, seizure management and Heimlich	Review of personnel files, staff interview
27G .0203(b)	Qualified and associate professionals demonstrate knowledge, skills and abilities required by the population served.	Observation of clients & staff interaction, review of incident & accident reports, review of client records and staff and client interviews
27G .0204(c)	Paraprofessionals demonstrate knowledge, skills and abilities required by the population served	Observation of clients & staff interaction, review of incident & accident reports, review of client records and staff and client interviews
OTHER		
<b>CLIENT TREATMENT</b>		
27G .0205(a)	Initial Assessment	Review of client's record to determine if assessment was prior to service delivery and contains presenting problems, needs & strengths etc...
27G .0205(c)	The plan of care is developed based on the client's assessment and includes strategies, outcomes, staff responsible and is revised as needs change.	Observation, client and staff interview, review of client records.
27G .0206 (a)(7)(8)	Documentation of services provided and progress towards goals	Review of client record, client and staff interview
27G. 0208(a)(2)	Activities are provided which are suitable to the population served and supervised according to clients' needs	Observation of clients & staff interaction, review of incident & accident reports, review of client records and staff and client interviews
<b>CLIENT SERVICES &amp; MEDICATIONS</b>		
27G. 0208(c)	Meals are nutritious and meet clients' needs	Observation of meal service, food storage, review of client records and staff and client interviews
27G .0209(c)(1)	Medications are administered as ordered	Observation medication storage areas, review of MARs (at least 3 months) and records and staff and client interviews
27G .0209(c)(2)	Medication self administration only with physician authorization	Review of client MARs (at least 3 months) and physician orders and staff and client interviews
27G .0209(e)	All medication, including those for self administration are stored securely	Observation of medication storage areas, staff and client interviews
27G .0209(f)	Medication reviews for clients receiving psychotropic meds every 6 months by RPh or MD	Review of medication review documentation, FL-2, MR-2, MD's orders, MARs (at least 3 months)
OTHER		