



Victor
& ASSOCIATES INC.

Provider of MH/DD/SA Services

March 27, 2018

Mental Health Licensure and Certification Section
N.C. Division of Health Service Regulation
2718 Mail Service Center
Raleigh, NC 27699-2718

Attn: Ms. Cornetta Brantley, Processing Assistant IV

Re: Plan of Correction (POC)
Mid Carolina Innovations
488 Commerce Drive, Sanford, NC 27332
MHL#053-066

Dear Ms. Brantley:

See attached POC for the survey completed on 3/8/18 at the MCI day program. We hope the team will find everything acceptable. If you have questions, feel free to contact me directly.

Regards,

James A. Harris
Director, Quality Management



Division of Health Service Regulation

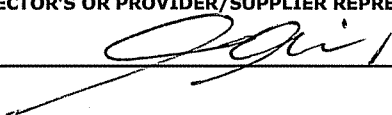
STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: MHL053-066	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING: !!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!	(X3) DATE SURVEY COMPLETED C 03/08/2018
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NAME OF PROVIDER OR SUPPLIER MID CAROLINA INNOVATIONS	STREET ADDRESS, CITY, STATE, ZIP CODE 488 COMMERCE DRIVE SANFORD, NC 27332
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V 000	INITIAL COMMENTS A complaint survey was completed on March 8, 2018. Deficiencies were cited. The complaint was substantiated. (Complaint ID #NC00136299.) This facility is licensed for the following service category: 10A NCAC 27G .2300, Adult Developmental and Vocational Program (ADVP) providing organized developmental activities for adults with developmental disabilities.	V 000	Mid Carolina Innovation (MCI) will ensure that services are coordinated to address incidents that involve client behaviors and/or other significant events that impact the provision of client services. Quality Management Director will monitor weekly to ensure compliance.	5/7/18
V 200	27G .2301 Adult Voc. for DD - Scope 10A NCAC 27G .2301 SCOPE (a) An Adult Developmental and Vocational Program (ADVP) is a day/night facility which provides organized developmental activities for adults with developmental disabilities to prepare the individual to live and work as independently as possible. The activities and services of an ADVP are designed to adhere to the principles of normalization and community integration aimed at increasing age-appropriate actions, images and appearance of the individual.	V 200	Staff will provide supervision to all individuals such as (Client #2) who receives individual support. QP /MCI manager will monitor throughout the day to ensure compliance. Staff will be reminded to provide first aid and medical attention as necessary to address injuries or change in the client's medical or physical condition. Clients will be taken to see a medical provider in a timely manner as indicated by need as a result of illness or injury.	5/7/18
	(b) An ADVP offers a diverse variety of specific services and activities. These include vocational evaluation, vocational training, remunerative employment, personal and community living skill development, adult basic education and long-term support and follow-up . Support services to clients' families and consultation with the clients' employers and other involved agencies may also be provided. The amount of time devoted to these areas varies considerably depending on the needs of the clients served. (c) The rules contained in this Section are applicable to facility-based ADVP services. (d) The majority of the ADVP activities in this model, whether vocational or developmental in nature, are carried out on the premises of a site		Clients will be allowed to contact their immediate family members upon request unless contraindicated by the Individual Support Plan (ISP). All MCI staff and the day program manager will receive in-service training on the completion of incident reports, behavior data sheets, and other service provision.	

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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE	TITLE	(X6) DATE
	CHIEF EXECUTIVE OFFICER	03/27/2018

STATE FORM 6899 DSIE11 If continuation sheet 1 of 8



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V 200	<p>Continued From page 1</p> <p>specifically designed for this purpose. (e) It is the ADVP that shall be subject to licensure, not the location of the business or organization where the client may be placed for work.</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews, the facility failed to coordinate services for 1 of 4 audited clients (#1.) The findings are:</p> <p>Review on 3/7/18 of Client #1's record revealed: - Admission date of 4/1/13 - Diagnoses of Conduct Disorder; Adjustment Disorder with Mixed Disturbance of Emotions and Conduct; Mild Intellectual Disability; Epilepsy; Hyperlipidemia; Unspecified Convulsions; Reflux Esophagitis. - Client lives in a group home operated by the licensee.</p>	V 200	<p>Mid Carolina Innovation (MCI) will ensure that services are coordinated to address incidents that involve client behaviors and/or other significant events that impact the provision of client services. Quality Management Director will monitor weekly to ensure compliance.</p> <p>Staff will provide supervision to all individuals such as (Client #1) who receives group support. QP /MCI manager will monitor throughout the day to ensure compliance.</p> <p>Staff will be reminded to provide first aid and medical attention as necessary to address injuries or change in the client's medical or physical condition. Clients will be taken to see a medical provider in a timely manner as indicated by need as a result of illness or injury.</p>	5/7/18
	<p>- Assessment for group home, updated on 9/5/17 and included in the client's record, documented the client requires 24 hour supervision and was not authorized to have unsupervised time.</p> <p>Review on 3/7/18 of Client #2's record revealed: - Admission date of 10/31/16 - Diagnoses of Oppositional Defiant Disorder; Mild Intellectual Disability; Epilepsy with a History of Seizures and Asthma. - Client lives at home. - Assessment included in Independent Service Plan (ISP) documented the client: 1) needs continued training in order to have appropriate responses when frustrated during social interactions; 2) "does not always have appropriate</p>		<p>Clients will be allowed to contact their immediate family members upon request unless contraindicated by the Individual Support Plan (ISP)</p> <p>All MCI staff and the day program manager will receive in-service training on the completion of incident reports, behavior data sheets, and other service provision</p>	

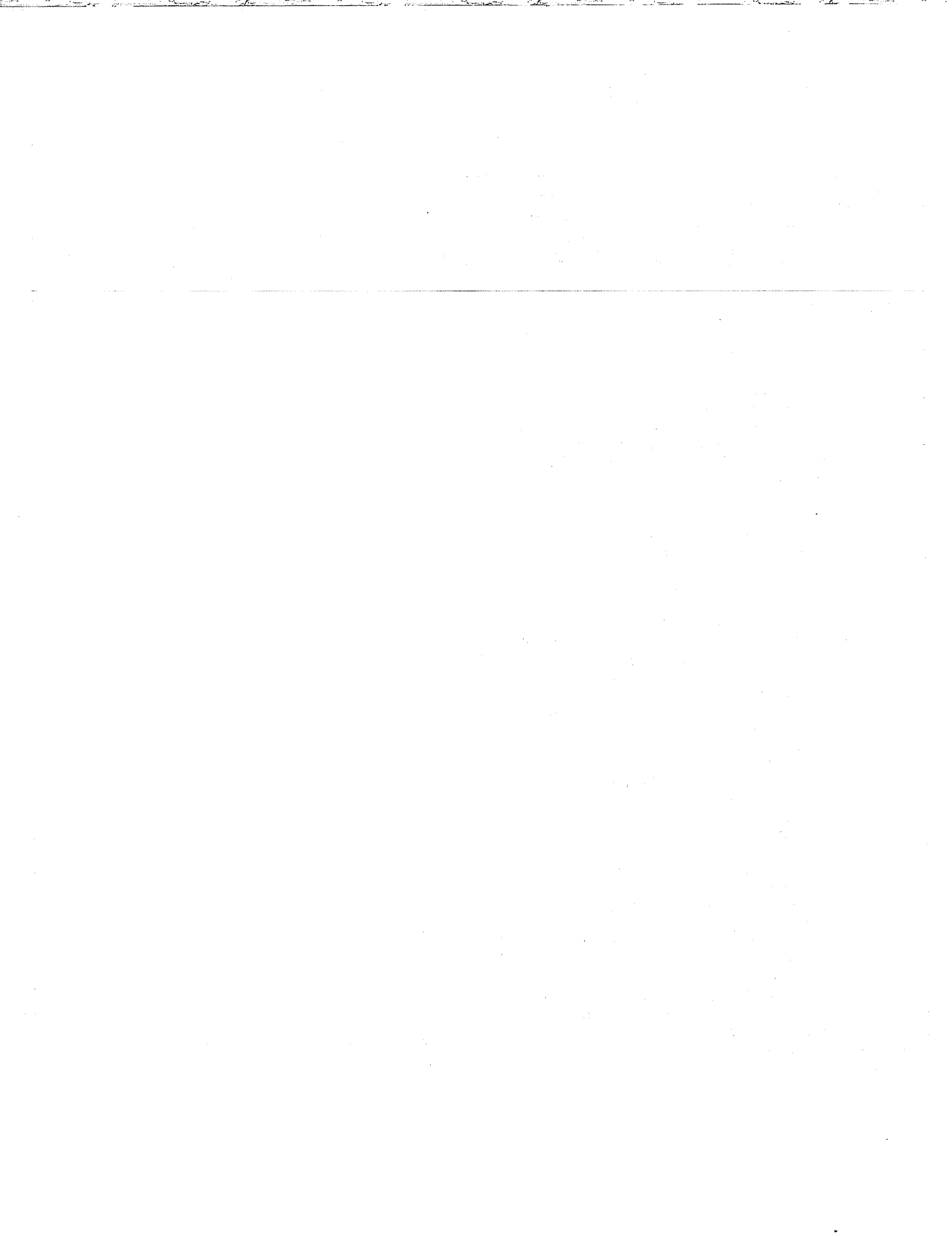


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V 200	Continued From page 2 responses when he becomes frustrated or upset during social interactions;" 3) has a temper and a history of "becoming aggressive." Review on 3/7/18 of the facility's incident reports revealed: - An incident documented as a Level I incident dated 2/22/18 contained only the following information: "Outside on basketball court - [Client #1] pushed [Client #2.] [Client #2] hit [Client #1] and they began to fight. [Client #2] pushed [Client #1] to the ground and started kicking him in the face." - The report did not identify staff present, their actions during and following the incident. Interview on 3/6/18, 3/7/18 and 3/8/18 with Client #1's parents revealed: - Client #1 was engaged in a physical altercation with Client #2 which resulted in Client #1 being seen in the hospital emergency room. - Client #1 started the fight when the two were playing basketball on the facility's outside basketball court then tried to walk away. -	V 200	All staff at MCI will receive in-service training on the Individual Support Plans (ISP) for Clients #1 and #2 to ensure their understanding for emergencies contact, supervision, behavior management and monitoring. The Manager at MCI will provide the in-service training. The Director of Quality Management will monitor in the day program on a weekly basis to ensure compliance.	5/7/18	
	They contacted the police to investigate the incident, however they did not file charges since their son initiated the fight. - Client #1 told his parents: 1. Client #2 knocked him down. He fell on the cement and hit head. 2. Client #2 jumped on top of him and punched and kicked him in the chest and face. 3. There was not a staff person outside when the fight began however, staff ran outside and tried to pull Client #2 off of him. 4. Staff took him inside and gave him first aid. 5. He asked to call his mother however, staff did not allow him to call. 6. Staff took him back to the group home then later took him to the hospital for an x-ray.				



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V 200	<p>Continued From page 3</p> <ul style="list-style-type: none"> - They have regular contact with the facility staff and their son goes home every week. - They "specifically" identified in their son's treatment plan that they should be contacted if their was an incident/crisis. - However, staff did not call to inform them about their son's fight and corresponding injuries. - They did not speak to facility staff until Client #1's mother called the facility management approximately five days later. - The client's mother was very upset. She said the facility staff did not see it as serious. - She said "No one ever called me. [Quality Manager] tried to play it off - he said they've just had some kind of disagreement." <p>Interview on 3/7/18 with Client #1 revealed: - He was outside playing ball with Client #2 and got into a fight with him. "He thought I was talking about his girlfriend. We got mad at each other" - He did not have any broken bones. However, his nose was bleeding and he suffered bruises on his chest and arms.</p> <ul style="list-style-type: none"> - He asked to call his mom "But nobody wouldn't let me." 	V 200			
	<ul style="list-style-type: none"> - He asked the staff person identified on the incident report however, she said " We got to get you cleaned up first. She usually lets me call. But then they took me home." <p>Interview on 3/7/18 with a staff who was present during the incident revealed:</p> <ul style="list-style-type: none"> - Staff was inside the facility when the clients began arguing. - Staff heard them, ran out, told them to stop, threatened to call the police then physically pulled the clients apart. - Client #1 said he wanted to call his mother however, the staff he asked told him to hold on and wait just a minute. 				



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V 200	Continued From page 4 - Client #1 received First Aid then was driven back to the group home. Interview on 3/8/18 with the program director revealed: - He was not present at the facility when the incident occurred. - Staff informed him about the "altercation" between the two clients. Staff intervened, then took the client home and later to the hospital. - When he returned to the facility, he met with Client #2. - He did not meet with Client #1 because he had counseled him previously about social interactions. - Staff had administered 1st Aid to Client #1 then took him to the group home. - He was aware the client said he wanted to call his mom. However, "He did but she wasn't picking up."	V 200	Mid Carolina Innovation (MCI) will ensure that a handbook book is developed and distributed to all clients and parents/guardians. The handbook will describe services, activities, contact information and other essential information that represent overall MCI services. The Quality Management Director, Director of Operations and CEO will develop the hand book with input from staff and clients at MCI. The handbook will be distributed to all clients, family and/or guardians. In addition the handbook will be made available to visitors in the lobby of the day program and will be distributed during tours of the MCI program.	5/7/18	
V 204	27G .2304 (C-D) Adult Voc. for DD - Operations 10A NCAC 27G .2304 OPERATIONS (c) Handbook. Each ADVP shall have a client handbook including, but not limited to, information about services and activities. (1) The client handbook shall be written in a manner comprehensible to clients and reflective of adult status. (2) Each client shall be given a handbook, and the handbook shall be reviewed with the client. (d) Hours Of Operation. ADVP services shall be available for client attendance at least six hours per day (exclusive of transportation time), five days per week, unless closed in accordance with governing board policy.	V 204	The QP and Quality Management Director will monitor at MCI on a weekly basis to ensure distribution of the handbook as outlined.		



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V 204	Continued From page 5 This Rule is not met as evidenced by: Based on record reviews and interviews, the facility failed to develop a handbook with information about services and activities that was reviewed with and provided to clients and/or guardians. The findings are: Interview on 3/6/18 and 3/7/18 with three parents of clients receiving services in the program revealed: - They took a tour of the facility and received an explanation of the program. - However, they did not receive a handbook with information about services and activities. - They have been pleased with the program and services. Interview on 3/8/18 with the Quality Manager confirmed: - The facility does not have a handbook describing the program that is provided to clients and/or guardians. - However, clients and parents tour the facility and receive information about the services and activities during the tour. - Upon request for a Client Handbook with a description of programs and services, he provided a computer printout with brief descriptions of the program and activities. - However, he confirmed this information has not been provided to clients and or guardians in this type of written format or in any other written format such as a handbook.	V 204			
V 207	27G .2306 (B) Adult Voc. for DD - Client Eligibility & Adm	V 207			



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V 207	Continued From page 6 10A NCAC 27G .2306 CLIENT ELIGIBILITY AND ADMISSIONS (b) Admissions. Each ADVP shall have written admission policies and procedures. (1) A pre-admission staffing shall be held for each client considered for admission to the ADVP. During the staffing, information shall be considered regarding the client's medical, psychological, social, and vocational histories. (2) Results of the pre-admission staffing shall be documented and forwarded to the referral or sponsoring agency. The client shall be notified of the results of the staffing. (3) A qualified developmental disabilities professional of the area program shall certify the eligibility of each client for the ADVP service. This Rule is not met as evidenced by: Based on record reviews and interviews, the facility management failed to develop and implement written admission policies and procedures and failed to document a pre-admission staffing was completed. The findings are: Review on 3/7/18 of Client #1's record revealed: - Admission date of 4/1/13 - Diagnoses of Conduct Disorder; Adjustment Disorder with Mixed Disturbance of Emotions and Conduct; Mild Intellectual Disability; Epilepsy; Hyperlipidemia; Unspecified Convulsions; Reflux Esophagitis. - Client lives in a group home operated by the licensee. - No documentation was found that facility management conducted a staffing prior to the client's admission to review the client's medical,	V 207	Victor & Associates does have an admission policy that addresses overall services provision to include day supports. However the Quality Management Director will develop a separate policy to address admission to the MCI program. The MCI manager and/or Quality Management Director will provide in-service training to staff on the admission policy specific to MCI. The MCI policy will address pre-admission screening to include participation of the full team and the client/family. Procedures will be outlined in the policy to address the referral process, ADVP rules and requirements; assessments and other information required for admission to the MCI program.	5/7/18
			The MCI manager will record minutes of all admission committee meetings and keep on file at the MCI office. The QP and/or Quality Management Director will be present at all admission committee meetings for MCI to ensure compliance.	



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V 207	Continued From page 7 psychological, social, and vocational histories for appropriateness to the program. Review on 3/7/18 of Client #2's record revealed: - Admission date of 10/31/16 - Diagnoses of Oppositional Defiant Disorder; Mild Intellectual Disability; Epilepsy with a History of Seizures and Asthma. - Client lives at home. - No documentation was found that facility management conducted a staffing prior to the client's admission to review the client's medical, psychological, social, and vocational histories for appropriateness to the program. Interview on 3/8/18 with the Quality Manager confirmed: - The facility does not have a written admissions policy nor written procedures related to admission of clients. - The pre-admissions process for clients is conducted however, it has not been formalized. The facility does not document the pre-admission staffing for each client.	V 207		

