

Division of Health Service Regulation

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| STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION | (X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:<br><br><b>MHL041-620</b> | (X2) MULTIPLE CONSTRUCTION<br>A. BUILDING: _____<br><br>B. WING _____ | (X3) DATE SURVEY COMPLETED<br><br><b>R</b><br><b>03/29/2018</b> |
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| NAME OF PROVIDER OR SUPPLIER<br><br><b>COLTRANE'S GROUP HOME</b> | STREET ADDRESS, CITY, STATE, ZIP CODE<br><b>3811 REPON STREET<br/>GREENSBORO, NC 27407</b> |
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| V 000              | INITIAL COMMENTS<br><br>An annual and follow up survey was completed on 3/29/2018. Deficiencies were cited.<br><br>This facility is licensed for the following service category: 10A NCAC 27G .5600C Supervised Living for Adults with Developmental Disabilities.  | V 000         | A.) How to Correct?<br>B.) How to Prevent?<br>C.) Who will Monitor?<br>D.) & How often?  |                    |
| V 118              | 27G .0209 (C) Medication Requirements<br><br>10A NCAC 27G .0209 MEDICATION REQUIREMENTS<br>(c) Medication administration:<br>(1) Prescription or non-prescription drugs shall only be administered to a client on the written order of a person authorized by law to prescribe drugs.<br>(2) Medications shall be self-administered by clients only when authorized in writing by the client's physician.<br>(3) Medications, including injections, shall be administered only by licensed persons, or by unlicensed persons trained by a registered nurse, pharmacist or other legally qualified person and privileged to prepare and administer medications.<br>(4) A Medication Administration Record (MAR) of all drugs administered to each client must be kept current. Medications administered shall be recorded immediately after administration. The MAR is to include the following:<br>(A) client's name;<br>(B) name, strength, and quantity of the drug;<br>(C) instructions for administering the drug;<br>(D) date and time the drug is administered; and<br>(E) name or initials of person administering the drug.<br>(5) Client requests for medication changes or checks shall be recorded and kept with the MAR file followed up by appointment or consultation with a physician. | V 118         | Deficiency # V118:<br><br>The facility currently, is receiving pre-printed Medication Administration Records (MAR) from the pharmacy, where Client #1's prescriptions are filled.<br>Due to the medication, Lisinopril, not being listed on the MAR for the month of March, (it was listed on all previous months' MARs), and also, not being filled, the discrepancy was overlooked by BOTH, the Director of the facility, and the Pharmacy.<br>Upon discovery and notification, on 3/28/2018 (during the survey), the pharmacy was notified, Medication was filled, and updated MAR was delivered. Medication Administration proceeded the next day (3/29/2018).<br>From this point forward Qualified Professional (QP), will review currnet month's MAR to verify Medication listings, dosage, & receipt; MAR information. This verification will be completed at the end of each month, (specifically between the 27th & 30th day of the month).<br>When new medications are added or removed, a discontinue (DC) order, in writing, & signed by a healthcare professional; within 24 hours.<br><br><b>DHSR - Mental Health</b><br><br><b>APR 16 2018</b><br><br><b>Lic. &amp; Cert. Section</b> |                    |

Division of Health Service Regulation  
LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

*Lathay Coltrane*

TITLE

*Director*

(X6) DATE

*4/12/18*

Division of Health Service Regulation

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| V 118              | <p>Continued From page 1</p> <p>This Rule is not met as evidenced by:<br/>Based on record reviews and interviews, the facility failed to ensure the MAR was up to date and medication was administered as ordered affecting 1 of 3 surveyed clients (#1). The findings are:</p> <p>Review on 3/28/2018 of client #1's record revealed:<br/>- Admission date: 1/8/1992<br/>- Diagnoses: Moderate Intellectual Disability; Seizure Disorder; Hemorrhoids; &amp; Hypertension<br/>- A physician's order for lisinopril 10 milligrams (mg), 1 tablet every day, dated 7/5/2017;<br/>- No documentation that lisinopril had been discontinued.</p> <p>Review on 3/28/2018 of client #1's MARs dated 1/1/2018 to 3/28/2018 revealed:<br/>- Lisinopril was not listed on the March 2018 MAR;<br/>- No documentation that lisinopril was administered from 3/1/2018 to 3/28/2018.</p> <p>Interview on 3/28/2018 with client #1 revealed:<br/>- He did not know the names of all of his medications;<br/>- He did not know if he was administered lisinopril or not.</p> <p>Interview on 3/29/2018 with staff #1 revealed:<br/>- The Director was the only staff that administered medications at the facility.</p> <p>Interview on 3/29/2018 with the Qualified</p> | V 118         |   |                    |

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| V 118              | Continued From page 2<br><br>Professional revealed:<br>- She did not administer or oversee medication administration or review the MARs unless it was directly related to treatment plans for clients;<br>- The Director had all of the information about MARs and medications.<br><br>Interview on 3/28/2018 with the Director revealed:<br>- The pharmacy printed MARs for the facility each month;<br>- She did not realize that client #1's lisinopril was not listed on the March MAR;<br>- She took responsibility for not catching the lisinopril omission on client #1's March MAR;<br>- She contacted the pharmacy and the pharmacy apologized for not sending client #1's medications and for not printing it on the March MAR;<br>- The pharmacy would be sending a new MAR and a bubble pack of lisinopril for client #1 on 3/28/2018;<br>- Client #1 had not had any negative outcomes related to not getting lisinopril. | V 118         |   |                    |
| V 131              | G.S. 131E-256 (D2) HCPR - Prior Employment Verification<br><br>G.S. §131E-256 HEALTH CARE PERSONNEL REGISTRY<br>(d2) Before hiring health care personnel into a health care facility or service, every employer at a health care facility shall access the Health Care Personnel Registry and shall note each incident of access in the appropriate business files.  | V 131         | Deficiency V131:<br>As of 3/29/2018, All client records have been updated with Healthcare Personnel Registry Search: No incidents were discovered. Going forward, The Director will ensure that each perspective employee has a Search done, immediately prior to the interview process, or at most 3 days prior the "promise" or offer of employment. Personnel files will be reviewed, by the Qualified Professional, prior to the first day of work. She will complete an employee hire checklist to make sure that all the proper documentation has been received and verified by the facility. |                    |

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| V 131              | <p>Continued From page 3</p> <p>This Rule is not met as evidenced by:<br/>Based on record reviews and interviews, the facility failed to access the Health Care Personnel Registry (HCPR) prior to hire affecting 2 of 3 staff (#1 &amp; the Qualified Professional (QP)). The findings are:</p> <p>Review on 3/28/2018 of staff #1's employee file revealed:<br/>- Hire date: 12/10/2017<br/>- Documentation that the HCPR was not accessed until 12/21/2017;<br/>- The last 4 digits of the social security number (SSN) on the HCPR printout did not match staff #1's SSN.</p> <p>Review on 3/28/2018 of the QP's employee file revealed:<br/>- Hire date: 12/10/2017<br/>- No documentation that the HCPR had been accessed.</p> <p>Further review on 3/29/2018 of the QP's employee file revealed:<br/>- Documentation that the HCPR had been accessed for the QP on 3/29/2018.</p> <p>Interview on 3/29/2018 with the QP revealed:<br/>- She had a copy of an HCPR report for herself, dated 9/19/2016, that she could provide for the facility.</p> <p>Interview on 3/28/2018 with the Director revealed:<br/>- The Director was responsible for ensuring that the HCPR was accessed for staff;<br/>- She did not realize that she had entered the wrong SSN for staff #1 when she had accessed the HCPR on 12/21/2017;<br/>- She thought that the QP had printed out an HCPR check for herself.</p> | V 131         |   |                    |

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| V 133              | <p>G.S. 122C-80 Criminal History Record Check</p> <p>G.S. §122C-80 CRIMINAL HISTORY RECORD CHECK REQUIRED FOR CERTAIN APPLICANTS FOR EMPLOYMENT.</p> <p>(a) Definition. - As used in this section, the term "provider" applies to an area authority/county program and any provider of mental health, developmental disability, and substance abuse services that is licensable under Article 2 of this Chapter.</p> <p>(b) Requirement. - An offer of employment by a provider licensed under this Chapter to an applicant to fill a position that does not require the applicant to have an occupational license is conditioned on consent to a State and national criminal history record check of the applicant. If the applicant has been a resident of this State for less than five years, then the offer of employment is conditioned on consent to a State and national criminal history record check of the applicant. The national criminal history record check shall include a check of the applicant's fingerprints. If the applicant has been a resident of this State for five years or more, then the offer is conditioned on consent to a State criminal history record check of the applicant. A provider shall not employ an applicant who refuses to consent to a criminal history record check required by this section. Except as otherwise provided in this subsection, within five business days of making the conditional offer of employment, a provider shall submit a request to the Department of Justice under G.S. 114-19.10 to conduct a criminal history record check required by this section or shall submit a request to a private entity to conduct a State criminal history record check required by this section. Notwithstanding G.S. 114-19.10, the Department of Justice shall return the results of national criminal history</p> | V 133         | <p>Deficiency V 133:<br/>As of 4/12/2018, All client records have been updated with a Statewide Criminal Record Search: No incidents were discovered. Going forward, The Director will ensure that each perspective employee has a Search done, immediately following the interview process, or at most 3 days following the "promise" of employment. Personnel files will be reviewed, by the Qualified Professional, prior to the first day of work. She will complete an employee hire checklist to make sure that all the proper documentation has been received and verified by the facility.</p> |                    |

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| V 133              | <p>Continued From page 5</p> <p>record checks for employment positions not covered by Public Law 105-277 to the Department of Health and Human Services, Criminal Records Check Unit. Within five business days of receipt of the national criminal history of the person, the Department of Health and Human Services, Criminal Records Check Unit, shall notify the provider as to whether the information received may affect the employability of the applicant. In no case shall the results of the national criminal history record check be shared with the provider. Providers shall make available upon request verification that a criminal history check has been completed on any staff covered by this section. A county that has adopted an appropriate local ordinance and has access to the Division of Criminal Information data bank may conduct on behalf of a provider a State criminal history record check required by this section without the provider having to submit a request to the Department of Justice. In such a case, the county shall commence with the State criminal history record check required by this section within five business days of the conditional offer of employment by the provider. All criminal history information received by the provider is confidential and may not be disclosed, except to the applicant as provided in subsection (c) of this section. For purposes of this subsection, the term "private entity" means a business regularly engaged in conducting criminal history record checks utilizing public records obtained from a State agency.</p> <p>(c) Action. - If an applicant's criminal history record check reveals one or more convictions of a relevant offense, the provider shall consider all of the following factors in determining whether to hire the applicant:</p> <p>(1) The level and seriousness of the crime.</p> | V 133         |   |                    |

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| V 133              | <p>Continued From page 6</p> <p>(2) The date of the crime.</p> <p>(3) The age of the person at the time of the conviction.</p> <p>(4) The circumstances surrounding the commission of the crime, if known.</p> <p>(5) The nexus between the criminal conduct of the person and the job duties of the position to be filled.</p> <p>(6) The prison, jail, probation, parole, rehabilitation, and employment records of the person since the date the crime was committed.</p> <p>(7) The subsequent commission by the person of a relevant offense.</p> <p>The fact of conviction of a relevant offense alone shall not be a bar to employment; however, the listed factors shall be considered by the provider. If the provider disqualifies an applicant after consideration of the relevant factors, then the provider may disclose information contained in the criminal history record check that is relevant to the disqualification, but may not provide a copy of the criminal history record check to the applicant.</p> <p>(d) Limited Immunity. - A provider and an officer or employee of a provider that, in good faith, complies with this section shall be immune from civil liability for:</p> <p>(1) The failure of the provider to employ an individual on the basis of information provided in the criminal history record check of the individual.</p> <p>(2) Failure to check an employee's history of criminal offenses if the employee's criminal history record check is requested and received in compliance with this section.</p> <p>(e) Relevant Offense. - As used in this section, "relevant offense" means a county, state, or federal criminal history of conviction or pending indictment of a crime, whether a misdemeanor or felony, that bears upon an individual's fitness to</p> | V 133         |   |                    |

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| V 133              | <p>Continued From page 7</p> <p>have responsibility for the safety and well-being of persons needing mental health, developmental disabilities, or substance abuse services. These crimes include the criminal offenses set forth in any of the following Articles of Chapter 14 of the General Statutes: Article 5, Counterfeiting and Issuing Monetary Substitutes; Article 5A, Endangering Executive and Legislative Officers; Article 6, Homicide; Article 7A, Rape and Other Sex Offenses; Article 8, Assaults; Article 10, Kidnapping and Abduction; Article 13, Malicious Injury or Damage by Use of Explosive or Incendiary Device or Material; Article 14, Burglary and Other Housebreakings; Article 15, Arson and Other Burnings; Article 16, Larceny; Article 17, Robbery; Article 18, Embezzlement; Article 19, False Pretenses and Cheats; Article 19A, Obtaining Property or Services by False or Fraudulent Use of Credit Device or Other Means; Article 19B, Financial Transaction Card Crime Act; Article 20, Frauds; Article 21, Forgery; Article 26, Offenses Against Public Morality and Decency; Article 26A, Adult Establishments; Article 27, Prostitution; Article 28, Perjury; Article 29, Bribery; Article 31, Misconduct in Public Office; Article 35, Offenses Against the Public Peace; Article 36A, Riots and Civil Disorders; Article 39, Protection of Minors; Article 40, Protection of the Family; Article 59, Public Intoxication; and Article 60, Computer-Related Crime. These crimes also include possession or sale of drugs in violation of the North Carolina Controlled Substances Act, Article 5 of Chapter 90 of the General Statutes, and alcohol-related offenses such as sale to underage persons in violation of G.S. 18B-302 or driving while impaired in violation of G.S. 20-138.1 through G.S. 20-138.5.</p> <p>(f) Penalty for Furnishing False Information. - Any</p> | V 133         |   |                    |



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| V 133              | <p>Continued From page 8</p> <p>applicant for employment who willfully furnishes, supplies, or otherwise gives false information on an employment application that is the basis for a criminal history record check under this section shall be guilty of a Class A1 misdemeanor.</p> <p>(g) Conditional Employment. - A provider may employ an applicant conditionally prior to obtaining the results of a criminal history record check regarding the applicant if both of the following requirements are met:</p> <p>(1) The provider shall not employ an applicant prior to obtaining the applicant's consent for criminal history record check as required in subsection (b) of this section or the completed fingerprint cards as required in G.S. 114-19.10.</p> <p>(2) The provider shall submit the request for a criminal history record check not later than five business days after the individual begins conditional employment. (2000-154, s. 4; 2001-155, s. 1; 2004-124, ss. 10.19D(c), (h); 2005-4, ss. 1, 2, 3, 4, 5(a); 2007-444, s. 3.)</p> <p>This Rule is not met as evidenced by:<br/>Based on record reviews and interviews, the facility failed to request a criminal history background check within 5 days of making the conditional offer of employment affecting 2 of 3 staff (#1 &amp; the Qualified Professional (QP)). The findings are:</p> <p>Review on 3/28/2018 of staff #1's employee file revealed:<br/>- Hire date: 12/10/2017<br/>- Documentation that the criminal history record check was not requested until 12/21/2017.</p> | V 133         |   |                    |

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| V 133              | <p>Continued From page 9</p> <p>Review on 3/28/2018 of the QP's employee file revealed:</p> <ul style="list-style-type: none"> <li>- Hire date: 12/10/2017</li> <li>- No documentation that a criminal history record check had been requested.</li> </ul> <p>Interview on 3/29/2018 with the QP revealed:</p> <ul style="list-style-type: none"> <li>- A criminal history record had been done at her previous employer;</li> <li>- She had a copy of a criminal history record check for herself, dated 9/23/2016, that she could provide for the facility.</li> </ul> <p>Interview on 3/28/2018 with the Director revealed:</p> <ul style="list-style-type: none"> <li>- The Director was responsible for ensuring criminal history record checks were completed;</li> <li>- She thought that she had requested staff #1's criminal history within the required timeframe;</li> <li>- She thought that the QP had requested her own criminal history record check.</li> </ul> | V 133         |   |                    |