

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: MHL041-994	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED 06/20/2018
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NAME OF PROVIDER OR SUPPLIER QUALITY CARE III, LLC/HICKORY TREE HOME	STREET ADDRESS, CITY, STATE, ZIP CODE 4010 HICKORY TREE LANE GREENSBORO, NC 27406
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V 000	<p>INITIAL COMMENTS</p> <p>An annual survey was completed on 6/20/18. Deficiencies were cited.</p> <p>This facility is licensed for the following service category: 10A NCAC 27G .5600C Supervised Living for Adults whose Primary Diagnosis is a Developmental Disability.</p>	V 000		
V 109	<p>27G .0203 Privileging/Training Professionals</p> <p>10A NCAC 27G .0203 COMPETENCIES OF QUALIFIED PROFESSIONALS AND ASSOCIATE PROFESSIONALS</p> <p>(a) There shall be no privileging requirements for qualified professionals or associate professionals.</p> <p>(b) Qualified professionals and associate professionals shall demonstrate knowledge, skills and abilities required by the population served.</p> <p>(c) At such time as a competency-based employment system is established by rulemaking, then qualified professionals and associate professionals shall demonstrate competence.</p> <p>(d) Competence shall be demonstrated by exhibiting core skills including:</p> <ol style="list-style-type: none"> (1) technical knowledge; (2) cultural awareness; (3) analytical skills; (4) decision-making; (5) interpersonal skills; (6) communication skills; and (7) clinical skills. <p>(e) Qualified professionals as specified in 10A NCAC 27G .0104 (18)(a) are deemed to have met the requirements of the competency-based employment system in the State Plan for MH/DD/SAS.</p> <p>(f) The governing body for each facility shall develop and implement policies and procedures for the initiation of an individualized supervision</p>	V 109		

Division of Health Service Regulation LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE	TITLE	(X6) DATE
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V 109	<p>Continued From page 1</p> <p>plan upon hiring each associate professional. (g) The associate professional shall be supervised by a qualified professional with the population served for the period of time as specified in Rule .0104 of this Subchapter.</p> <p>This Rule is not met as evidenced by: Based on record review, interviews and observations the facility failed to ensure that 1 of 1 Qualified Professional (QP) demonstrated knowledge, skills and abilities required by the population served. The findings are:</p> <p>Review on 6/8/18 of the QP's record revealed: -a hire date of 1/5/15; -a job title of QP.</p> <p>Finding #1 The following is an example of how the QP failed to evaluate client #3's history or develop goals relative to very specific needs.</p> <p>Review on 6/8/18 of client #3's record revealed: -an admission date of 2/16/17; -a diagnosis of traumatic brain injury; -an admission assessment completed by the QP dated 2/16/17 that included a diagnosis of traumatic brain injury and he was placed as an emergency placement due to being released from jail and he had no where to go; -no documentation in the admission assessment regarding why he was incarcerated, that he was on the sex offender registry, that he had a post release officer or his post release requirements; -An Individual Support Plan (ISP) completed by the Managed Care Organization (MCO) dated</p>	V 109		

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V 109	<p>Continued From page 2</p> <p>1/30/18 and provided to the facility included he suffered a traumatic brain injury from a car accident when he was younger, his dementia had increased as he had gotten older, he was very manipulative by nature, he felt that there was nothing wrong with him and he had charges of sexual assault on a minor therefore he was not allowed to be around children;</p> <p>-A treatment plan signed and dated by the QP and the client on 4/25/18 that included long term goals of he wanted to be able to get supported employment so he could get more income, he wanted to become more independent and do more things for himself, he wanted to complete his GED (General Education Development) through IRC (The Interactive Resource Center) program and he wanted to improve his overall behaviors when was upset and interacted with others;</p> <p>-no documentation or goals that client #3 had received therapy for pedophilia since being released from prison;</p> <p>-no documentation or goals regarding being a registered sex offender or post release requirements.</p> <p>Finding #2 The following is an example of the QP's failure to train facility staff regarding significant issues of client #3.</p> <p>Review on 6/8/18 of staff #1's record revealed: -a hire date of 5/30/18; -a title of Habilitation Technician/Paraprofessional; -no record of sex offender or post release requirements training relative to client #3</p> <p>Review on 6/20/18 of staff #3's record revealed: -a hire date of 4/6/17;</p>	V 109		

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V 109	<p>Continued From page 3</p> <ul style="list-style-type: none"> -a title of Habilitation Technician/Paraprofessional; -no record of sex offender or post release requirements training relative to client #3. <p>Review on 6/20/18 of the Owner's record revealed:</p> <ul style="list-style-type: none"> -a hire date of 10/23/10; -a title of Owner/Paraprofessional; -no record of sex offender or post release requirements training relative to client #3. <p>Interviews on 6/8/18 with staff #1 revealed:</p> <ul style="list-style-type: none"> -he did not know the client's names; -in an additional interview, he explained he knew the client's first names but not their last names; -he was not aware of what his job title was; -he had been shadowing staff #4 for the last week and today was his first day working by himself; -job duties included "taking care of the clients, making sure they bathe, making sure they eat, helping them with their goals, and trying to help them improve a little bit;" -he was aware that client #3 had just been released from jail on 6/7/18 but wasn't sure why he was in jail. <p>Interview on 6/11/18 with staff #3 revealed:</p> <ul style="list-style-type: none"> -the owner had informed him earlier in the month that client #3 had been charged with being a pedophile; -"he didn't give details and I didn't ask questions because it makes me uncomfortable;" -he was not aware that the client was a registered sex offender until that time but was aware that he had a post release officer; -he was not aware of the requirements that went along with the client being a registered sex offender and on post release requirements. 	V 109		

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V 109	<p>Continued From page 4</p> <p>Finding #3 The following is an example of the QP's lack of appropriate decision-making skills.</p> <p>Observation and interview on 6/8/18 at 10:18am revealed: -according the to the medication bottle and the statement of the client, the client had been administered 1,000 milligrams of vitamin D3 and according to the MAR (Medication Administration Record) the client should have been administered 500 milligrams of the vitamin; -the QP was made aware the vitamin dose that client #3 had been administered may have been incorrect so the QP broke the vitamins in half and said he would fix that; -the prescribing physician nor the pharmacy were consulted prior to his actions; -it was determined on 6/20/18 after the owner provided a physician's order that the client had been receiving the correct dosage of vitamin.</p> <p>Interviews on 6/8/18 and 6/20/18 with the QP revealed: -it was his responsibility to complete treatment plans for the client based on input from the MCO; -it was his responsibility to ensure staff were trained and he had made sure that all staff were appropriately trained; -the Owner made the decision to allow client #3 to attend the IRC (a program the client attended to assist him with earning his GED) and church unsupervised; -he didn't consider the client attending the IRC or church unsupervised as a need or goal to be addressed in client #3's treatment plan -he didn't consider client #3 abiding by the requirements of post release and the sex offender registry as needs or goals that needed to be addressed in his treatment plan;</p>	V 109		

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V 109	<p>Continued From page 5</p> <ul style="list-style-type: none"> -client #3 "did have a goal where we were going to let him be unsupervised 30 minutes but he did a little something and messed that up;" - "He's on probation and he's not supposed to come in contact with small children and he came in contact with a girl;" - "He was going to the IRC but he got into trouble;" - "He just got out of jail yesterday;" - client #3 was not attending therapy because the MCO and the Owner had never mentioned it; - it was his responsibility to complete assessments when clients were admitted. - the Owner decided which clients were going to be admitted and then "I complete the paperwork based on the information that I have;" - "I've been doing this for 3 years and I know what I'm doing;" - "You need to be asking me questions and not [the Owner]." <p>Interviews on 6/18/18 and 6/20/18 with the Owner revealed:</p> <ul style="list-style-type: none"> - he was surprised that the QP failed to clarify the vitamin order with the pharmacy or physician before breaking the medication in half; - it was the responsibility of the QP to complete the preadmission assessment for clients; - it was the responsibility of the QP to work with the MCO case manager to create the treatment goals for clients; - it was the responsibility of the QP to ensure that all staff were appropriately trained; - "We're on top of our training;" - staff were not specifically trained regarding pedophilia or the sex offender registry because the client was not in prison the 2nd time because of that, he was in prison because he violated his post release requirements. <p>Refer to V112 for details.</p>	V 109		

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V 109	Continued From page 6 This deficiency is cross referenced into 10A NCAC 27G .5601 Scope (V289) for a Type A1 rule violation and must be corrected within 23 days.	V 109		
V 110	27G .0204 Training/Supervision Paraprofessionals 10A NCAC 27G .0204 COMPETENCIES AND SUPERVISION OF PARAPROFESSIONALS (a) There shall be no privileging requirements for paraprofessionals. (b) Paraprofessionals shall be supervised by an associate professional or by a qualified professional as specified in Rule .0104 of this Subchapter. (c) Paraprofessionals shall demonstrate knowledge, skills and abilities required by the population served. (d) At such time as a competency-based employment system is established by rulemaking, then qualified professionals and associate professionals shall demonstrate competence. (e) Competence shall be demonstrated by exhibiting core skills including: (1) technical knowledge; (2) cultural awareness; (3) analytical skills; (4) decision-making; (5) interpersonal skills; (6) communication skills; and (7) clinical skills. (f) The governing body for each facility shall develop and implement policies and procedures for the initiation of the individualized supervision plan upon hiring each paraprofessional.	V 110		

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V 110	<p>Continued From page 7</p> <p>This Rule is not met as evidenced by: Based on record review and interviews, 1 of 5 paraprofessionals (the Owner) failed to demonstrate knowledge, skills and abilities required by the population served. The findings are:</p> <p>Review on 6/20/18 of the Owner's record revealed: -a hire date of 10/23/10; -a title of Owner/Paraprofessional.</p> <p>Finding 1: Interview on 6/18/18 with the Medical Department of the IRC (Interactive Resource Center, a program the client attended to assist him with earning his General Education Development) revealed he had signed in and out of the program today, the 8th.</p> <p>Interview on 6/20/18 with client #3 revealed: -he had been with the Owner most days since he was released from jail; -he couldn't remember whether he had been at the IRC the previous 2 days; -"I don't think so but if they say they saw me there then maybe I was."</p> <p>Interviews on 6/18/18 and 6/20/18 with the Owner revealed: -client #3 had been with him every day since being released from jail on 6/7/18 and had not been to the IRC; -"We decided that program was no good for him;" -he had been dropping him off at the IRC and picking him up later in the day until he was arrested.</p>	V 110		

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V 110	<p>Continued From page 8</p> <p>Finding 2: Interview on 6/8/18 with the Qualified Professional revealed: -"He's (client #3) on probation and he's not supposed to come in contact with small children and he came in contact with a girl (a 9 year old child);" -"He just got out of jail yesterday;" -the Owner and the client's sister talked the judge into letting him out; -the judge released the client on the conditions that his sister become his legal guardian and the Owner ensured that he would be supervised 24 hours a day.</p> <p>Interview on 6/18/18 and 6/20/18 with the Owner revealed: -he was not allowed to appear with the client in front of the judge; -he did promise to supervise the client 24 hours a day if the judge released him and he was allowed to return to the facility; -"the judge released him under the condition that we supervised him and he had no unsupervised time."</p> <p>Finding 3: Interview on 6/18/18 with staff #4 revealed: -he had worked for the company for 3 years and at the current facility since they opened in January 2018; -the owner "told me that he (client #3) was a sex offender but was allowed to have unsupervised time and we weren't to interfere with that;" -"he was allowed 30 minutes of unsupervised walking time and he was unsupervised during the day at the program (IRC) and at church."</p> <p>Interviews on 6/18/18 and 6/20/18 with the Owner</p>	V 110		

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V 110	<p>Continued From page 9</p> <p>revealed:</p> <ul style="list-style-type: none"> -the "IRC is a shelter place where he took classes for GED (General Education Development); -"he had a lot of free time there between classes;" -"he started having unsupervised time after 1 year because he's his own guardian;" -the MCO (Managed Care Organization) decided he was able to have unsupervised time by not telling the QP any different; -he thought since client #3 had no guardian then unless the MCO specified not to allow him unsupervised time then it was appropriate to allow unsupervised time; -"he (client #3) knew he was on probation and he had a very good understanding of his guidelines;" -he was not aware that the client had been talking vulgar about women to the staff; -"if that was the case, they should have said something to me;" -"men are men and they talk about women but I don't think he was saying anything that bad;" -the incidents had occurred while the client was at the IRC and church not at the facility so the staff had done nothing wrong. <p>Finding 4: Interview on 6/8/18 with the Qualified Professional revealed:</p> <ul style="list-style-type: none"> -the Owner managed all medications; -he was not aware that client #1 was being administered 6 medications without orders; -the owner admitted the client and was responsible for obtaining medications and medication orders and ensuring the medications were administered correctly; -the owner was a really good guy and tried to help people out but didn't always get everything he needed. <p>Interviews on 6/18/18 and 6/20/18 with the Owner</p>	V 110		

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V 110	<p>Continued From page 10</p> <p>revealed: -he was responsible for managing medications; -he was aware that medications were being administered to client #1 without an order; -"his parents wanted us to administer the medicines;" -he was not aware that 1 of the medications the client was being administered expired more than a year ago; -"We have to get old scripts from the primary physician so we are waiting on his parents to get those for us."</p> <p>This deficiency is cross referenced into 10A NCAC 27G .5601 Scope (V289) for a Type A1 rule violation and must be corrected within 23 days.</p>	V 110		
V 112	<p>27G .0205 (C-D) Assessment/Treatment/Habilitation Plan</p> <p>10A NCAC 27G .0205 ASSESSMENT AND TREATMENT/HABILITATION OR SERVICE PLAN</p> <p>(c) The plan shall be developed based on the assessment, and in partnership with the client or legally responsible person or both, within 30 days of admission for clients who are expected to receive services beyond 30 days.</p> <p>(d) The plan shall include:</p> <p>(1) client outcome(s) that are anticipated to be achieved by provision of the service and a projected date of achievement;</p> <p>(2) strategies;</p> <p>(3) staff responsible;</p> <p>(4) a schedule for review of the plan at least annually in consultation with the client or legally responsible person or both;</p> <p>(5) basis for evaluation or assessment of</p>	V 112		

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V 112	<p>Continued From page 11</p> <p>outcome achievement; and (6) written consent or agreement by the client or responsible party, or a written statement by the provider stating why such consent could not be obtained.</p> <p>This Rule is not met as evidenced by: Based on record review and interviews the facility failed to develop and implement strategies based on the needs of the client, affecting 1 of 3 clients (client #3). The findings are:</p> <p>Review on 6/8/18 of client #3's record revealed: -an admission date of 2/16/17; -a diagnosis of traumatic brain injury; -an admission assessment completed by the Qualified Professional (QP) dated 2/16/17 that included: -"Diagnosis: Traumatic Brain Injury; -Purpose of Admission: this was an Emergency placement individual was released from jail and had no where to go. -Needs and Strengths: to monitoring for inappropriate Behaviors, and anger issues, people pleaser very neat and clean. -Present Condition: he was homeless. -Current Mental Status: he has some anger issues, But is no threat. -Legal Status: he is his own guardian. -Medical Status: current medication Vitamin D.</p> <p>-Family Support: his Sister -Other Information: is an outgoing person and he is very helpful"</p>	V 112		

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V 112	<p>Continued From page 12</p> <p>-no documentation regarding why he was incarcerated, that he was on the sex offender registry, that he had a post release officer or his post release requirements.</p> <p>-An Individual Support Plan completed by the MCO (Managed Care Organization) dated 1/30/18 and provided to the facility included:</p> <ul style="list-style-type: none"> -"suffered a traumatic brain injury from a car accident when he was younger;" -"as he has gotten older his dementia has increased;" -"can be very manipulative by nature;" -"he feels that there is nothing wrong with him;" -"has charges of sexual assault on a minor therefore cannot be around children;" -"where ever he is located there can't be a playground in the area;" -"he is also registered as a sex offender;" -"he can become overly friendly with females to the point where they may feel uncomfortable;" -"can get angry or upset if I don't get my way;" -"I can become aggressive towards others;" -"when I become upset I will use vulgar language towards others." <p>-No specific goals were included in the ISP provided by the MCO.</p> <p>-A treatment plan signed and dated by the QP and the client on 4/25/18 that included:</p> <ul style="list-style-type: none"> -"Long Range Outcome: [Client #3] wants to be able to continue to be happy. He wants to be able to get supported employment so he can get more income. He also wants to become more independent and don things more for himself. [Client # 3] also wants to complete his GED (General Education Development) through IRC (The Interactive Resource Center) program. [Client #3] also wants to improve his overall behaviors when he becomes upset and interacts with others. 	V 112		

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V 112	<p>Continued From page 13</p> <p>-Where am I now in the process of achieving this outcome? [Client #3] needs assistance with coordinating and getting to doctor appointments, ensuring that he takes his medication and with overall managing of his health and safety. In the past [Client #3] has had some issues with eloping but due to the improvement of his behavior and with the direct care most of his behaviors have decreased. Without those continued monitoring services and prompting [Client #3's] behavior would decline."</p> <p>-the first 3 goals were blank;</p> <p>-"Goal 4 [Client #3] will Independently do his own laundry.</p> <p>-Goal 5 [Client #3] will independently exercise daily by taking a 30 minute walk.</p> <p>-Task: 1 time per day [Client #3] will independently spend at least 30 minutes or doing some form of exercise that would stimulate his mind, and body. [Client #3] will inform staff of his intentions on what he want to do. When [Client #3] goes for a walk he must walk the path that staff has mapped out for him and sign in and out before leaving and after returning. Staff will time his start time and finish, if [Client #3] choose not to walk or exercise on particular day staff should place a N/A on that day on the grid, and write a comment on the back, If staff have to prompt [Client #3] at anytime for not following directive staff should document and place a comment in the comment section of the;</p> <p>-Goal 6 [Client #3] will Independently learn how to properly communicate his feeling when he gets upset or agitated;"</p> <p>-Further review of client #3's treatment plan revealed no documentation of his capability to have unsupervised time in the community including attendance at the IRC (Interactive Resource Center-where he could obtain his GED) and church;</p>	V 112		

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V 112	<p>Continued From page 14</p> <ul style="list-style-type: none"> -no goals related to being a registered sex offender; -no information or goals related to his post release requirements and -no documentation or goals that client #3 had received therapy for pedophilia since being released from prison; <p>Interview on 6/14/18 with client #3's post release Correction Officer revealed:</p> <ul style="list-style-type: none"> -client #3 will be on post release and the sex offender registry until at least 12/15/19; -he was convicted of attempted 1st degree rape, attempted 1st degree sex offense, and indecent liberty with a minor - sex arousal with a child on 2/19/07 and was incarcerated; -all convictions were related to a 5 year old; -he was released from prison on 12/16/14; -he was convicted of post release partial revoke on 11/18/16 and was incarcerated; -he was released from prison on 2/16/17; -because he was a registered sex offender, he was not allowed to visit places where children frequently congregate such as parks, school property, fairs, carnivals, libraries, swimming pools or amusement parks and was not allowed to live within 1,000 feet of a school or daycare; -he was recently arrested for violating his requirements of post release on 6/4/18; -"My understanding is he said he walked to a minor's home to talk with her;" -"He had spoken with her previously at church;" -"Regardless of his medical problems, he is quite highly functioning so that throws people off and they don't realize what he is capable of;" -he was not aware that staff had previously taken him to a public park. <p>Interviews on 6/8/18 and 6/20/18 with the QP revealed:</p>	V 112		

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V 112	<p>Continued From page 15</p> <ul style="list-style-type: none"> -it was his responsibility to complete assessments based on information provided by the owner; -the owner was a really good person and wanted to help others so he sometimes accepted clients without all the appropriate information; -he didn't always have all the information upfront about clients to put on the assessment; -it was his responsibility to complete treatment plans for the client based on input from the MCO; -the Owner made the decision to allow client #3 to attend the IRC where he could obtain his GED and church unsupervised; -he didn't consider the client attending the IRC or church unsupervised or abiding by the requirements of post release and the sex offender registry to be goals; -"I've updated the treatment plan to reflect no unsupervised time but I haven't gotten him to sign it yet;" -"he does a lot of stuff independent;" -"personal care, he gets up in the morning and does all that;" -"he just has about 5 goals he's working on;" -"sometimes he gets kind of upset so I had to come up with a communication goal to help him with his communication skills." <p>Interviews on 6/18/18 and 6/20/18 with the Owner revealed:</p> <ul style="list-style-type: none"> -he had not considered that client #3 would benefit from therapy for his history of pedophilia; -"I didn't have no explanation from the MCO or his doctor that he needed that;" -"I took him to his doctor and they said he was fine and just needed to take his Vitamin D;" -"he started having unsupervised time after 1 year because he's his own guardian;" -the MCO decided he was able to have unsupervised time by not telling the QP any different; 	V 112		

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V 112	<p>Continued From page 16</p> <p>-he thought that if the client didn't have a guardian then the MCO made the decision whether the client was capable of having unsupervised time;</p> <p>-"he (client #3) knew he was on probation and he had a very good understanding of his guidelines;"</p> <p>-the QP was responsible for completing treatment goals with input from the MCO;</p> <p>-he felt that the client understood the requirements of being a registered sex offender and the post release requirements so the QP didn't need to add them to his treatment plan;</p> <p>-he was aware that the client had been attending church but was not aware that he was having direct contact with children;</p> <p>-he had no direct contact with the pastor until after the client had attempted to visit a child.</p> <p>This deficiency is cross referenced into 10A NCAC 27G .5601 Scope (V289) for a Type A1 rule violation and must be corrected within 23 days.</p>	V 112		
V 118	<p>27G .0209 (C) Medication Requirements</p> <p>10A NCAC 27G .0209 MEDICATION REQUIREMENTS</p> <p>(c) Medication administration:</p> <p>(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.</p> <p>(2) Medications shall be self-administered by clients only when authorized in writing by the client's physician.</p> <p>(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</p>	V 118		

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V 118	<p>Continued From page 17</p> <p>privileged to prepare and administer medications. (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:</p> <ul style="list-style-type: none"> (A) client's name; (B) name, strength, and quantity of the drug; (C) instructions for administering the drug; (D) date and time the drug is administered; and (E) name or initials of person administering the drug. <p>(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.</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews, the facility failed to administer medications on the written order of a physician and failed to ensure medications administered had not expired affecting one of three clients (client #1). The findings are:</p> <p>Review on 06/8/18 of client #1's record revealed:</p> <ul style="list-style-type: none"> -an admission date of 5/15/18; -diagnoses of Autistic Disorder, Moderate Intellectual Developmental Disability and Schizophrenia; -physician orders dated 6/6/18 for the following to be administered: <ul style="list-style-type: none"> -Fluoxetine Hydrochloride (used to treat depression) 20 milligrams, take 1 capsule by mouth daily; -Inositol (used to treat Schizophrenia) 500 	V 118		

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V 118	<p>Continued From page 18</p> <p>milligrams, take 1 tablet by mouth at bedtime. -the MAR for the month of June 2018 revealed: -in addition to the 2 medications the facility had orders for, there were other medications that had been routinely administered; -Motelukast (used to treat allergies) 10 milligrams, take 1 tablet by mouth daily; -Omeprazole (used to treat heartburn) 40 milligrams, take 1 capsule by mouth daily; -Melatonin (used to regulate sleep) 5 milligrams, take 1 by mouth at bedtime; -Olanzapine (used to treat Schizophrenia) 20 milligrams, take 1 tablet by mouth at bedtime prn (as needed); -Olanzapine was administered every night from June 1st - June 7th; -Ammonium Lactate (used to relieve itching) 12%, apply cream twice a day to hands; -Ammonium Lactate expired on 4/12/17; -Multivitamin Gummies, take 1 in the morning</p> <p>Interview on 6/8/18 with the Qualified Professional (QP) revealed: -he was not aware that client #1 was being administered 6 medications without orders; -he was not aware that 1 of the medications had been expired over a year; -the owner admitted the client and had been working on medications; -the owner was a really good guy and tried to help people out but didn't always get everything he needed; -beginning today, the client was only going to be administered medications they had orders for.</p> <p>Interview on 6/8/18 with the Owner revealed: -he was aware that medications were being administered to client #1 without an order; -"his parents wanted us to administer the medicines;"</p>	V 118		

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V 118	Continued From page 19 -he was not aware that 1 of the medications the client was being administered expired more than a year ago; -"We have to get old scripts from the primary physician so we are waiting on his parents to get those for us." This deficiency is cross referenced into 10A NCAC 27G .5601 Scope (V289) for a Type A1 rule violation and must be corrected within 23 days.	V 118		
V 289	27G .5601 Supervised Living - Scope 10A NCAC 27G .5601 SCOPE (a) Supervised living is a 24-hour facility which provides residential services to individuals in a home environment where the primary purpose of these services is the care, habilitation or rehabilitation of individuals who have a mental illness, a developmental disability or disabilities, or a substance abuse disorder, and who require supervision when in the residence. (b) A supervised living facility shall be licensed if the facility serves either: (1) one or more minor clients; or (2) two or more adult clients. Minor and adult clients shall not reside in the same facility. (c) Each supervised living facility shall be licensed to serve a specific population as designated below: (1) "A" designation means a facility which serves adults whose primary diagnosis is mental illness but may also have other diagnoses; (2) "B" designation means a facility which serves minors whose primary diagnosis is a developmental disability but may also have other diagnoses;	V 289		

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V 289	<p>Continued From page 20</p> <p>(3) "C" designation means a facility which serves adults whose primary diagnosis is a developmental disability but may also have other diagnoses;</p> <p>(4) "D" designation means a facility which serves minors whose primary diagnosis is substance abuse dependency but may also have other diagnoses;</p> <p>(5) "E" designation means a facility which serves adults whose primary diagnosis is substance abuse dependency but may also have other diagnoses; or</p> <p>(6) "F" designation means a facility in a private residence, which serves no more than three adult clients whose primary diagnoses is mental illness but may also have other disabilities, or three adult clients or three minor clients whose primary diagnoses is developmental disabilities but may also have other disabilities who live with a family and the family provides the service. This facility shall be exempt from the following rules: 10A NCAC 27G .0201 (a)(1),(2),(3),(4),(5)(A)&(B); (6); (7) (A),(B),(E),(F),(G),(H); (8); (11); (13); (15); (16); (18) and (b); 10A NCAC 27G .0202(a),(d),(g)(1) (i); 10A NCAC 27G .0203; 10A NCAC 27G .0205 (a),(b); 10A NCAC 27G .0207 (b),(c); 10A NCAC 27G .0208 (b),(e); 10A NCAC 27G .0209[(c)(1) - non-prescription medications only] (d)(2),(4); (e) (1)(A),(D),(E);(f);(g); and 10A NCAC 27G .0304 (b)(2),(d)(4). This facility shall also be known as alternative family living or assisted family living (AFL).</p> <p>This Rule is not met as evidenced by: Based on interview, record review, and observations, the facility failed to provide</p>	V 289		

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V 289	<p>Continued From page 21</p> <p>individual services designed to meet the needs of the clients affecting two of three clients (clients #1 and #3). The findings are:</p> <p>Cross Reference: 10A NCAC 27G .0203 Competencies of Qualified Professionals and Associate Professionals (V109). Based on record review, interviews and observations the facility failed to ensure that 1 of 1 Qualified Professional (QP) demonstrated knowledge, skills and abilities required by the population served.</p> <p>Cross Reference: 10A NCAC 27G .0204 Competencies and Supervision of Paraprofessionals (V110). Based on record review and interview the Owner failed to demonstrate knowledge, skills and abilities required by the population served.</p> <p>Cross Reference: 10A NCAC 27G .0209 Assessment and Treatment/Habilitation or Service Plan (V112). Based on record review and interviews the facility failed to develop and implement strategies based on the needs of the client, affecting 1 of 3 clients (client #3).</p> <p>Cross Reference: 10A NCAC 27G .0209 Medication Requirements (V118). Based on record reviews and interviews, the facility failed to administer medications on the written order of a physician and failed to ensure medications administered had not expired affecting one of three clients (client #1).</p> <p>Cross Reference: 10A NCAC 27G .5602 Staff (V290). Based on record reviews and interviews, the facility failed to ensure clients were assessed of their ability to be in the community for specified periods of time without supervision affecting one of three clients (client #3).</p>	V 289		

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V 289	<p>Continued From page 22</p> <p>Review on 6/20/18 of the Plan of Protection sign by the Owner and dated 6/20/18 revealed: -"What immediate action will the facility take to ensure the safety of the consumers in your care? 24 hours supervision never without staff in the community He getting medication management for TBI (traumatic brain injury) All order will be place in each consumers Information Book at all times to be Administered. If unsupervised time is approved in will reflect in the consumer's plan. -"Describe your plans to make sure the above happens. His plan is going to be Revised and staff watch him 24-7 also Owner in involved with care. By Friday 22th of June 2018, plan will reflect New changes, Also as of June 20, 2018 Quality Care III, LLC has add a New member to the QP team.</p> <p>Client #3 was admitted to the facility on 2/16/17 with a diagnosis of traumatic brain injury which was the result of an automobile accident in the 1990's. He was convicted on 2/19/07 of attempting to rape a 5 year old child and was incarcerated until 12/16/14 when he was released on post release. He violated his post release requirements and was incarcerated again on 11/18/16. He was released on 2/16/17 and was admitted to the facility. The Owner and QP failed to address the need for the client to receive therapy for his pedophilia sexual tendencies. The staff had not been properly informed or trained regarding the client being a registered sex offender and on post release. The staff had taken the client to a public park which was in violation of his restrictions as a registered sex offender. The client's treatment plan did not identify any reasons as to why he should be allowed unsupervised time. He was allowed to have unsupervised time to walk for exercise, to attend</p>	V 289		

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V 289	<p>Continued From page 23</p> <p>IRC where he had been attempting to obtain his GED and to attend church and church activities. During a church dinner, the client sat with a 9 year old child and learned her address. While he was supposed to be at the IRC, he walked to the young girl's home to visit with her. The girl was at school but her family was there and demanded he leave and never return to their home. The client was again arrested for violating his post release requirements. He was released from jail by a judge after the owner of the facility agreed to supervise him 24 hours a day. The facility also failed to ensure medications were administered as ordered. Client #1 was admitted to the facility on 5/15/18 with diagnoses of Autistic Disorder, Moderate Intellectual Developmental Disability and Schizophrenia. He was administered 6 medications without physician orders with 1 of the medications being expired more than a year.</p> <p>This deficiency constitutes a Type A1 rule violation for serious neglect and must be corrected within 23 days. An administrative penalty amount of \$2,000.00 is imposed. If the violation is not corrected within 23 days, and additional administrative penalty of \$500.00 per day will be imposed for each day the facility is out of compliance beyond the 23rd day.</p>	V 289		
V 290	<p>27G .5602 Supervised Living - Staff</p> <p>10A NCAC 27G .5602 STAFF (a) Staff-client ratios above the minimum numbers specified in Paragraphs (b), (c) and (d) of this Rule shall be determined by the facility to enable staff to respond to individualized client needs. (b) A minimum of one staff member shall be present at all times when any adult client is on the</p>	V 290		

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V 290	<p>Continued From page 24</p> <p>premises, except when the client's treatment or habilitation plan documents that the client is capable of remaining in the home or community without supervision. The plan shall be reviewed as needed but not less than annually to ensure the client continues to be capable of remaining in the home or community without supervision for specified periods of time.</p> <p>(c) Staff shall be present in a facility in the following client-staff ratios when more than one child or adolescent client is present:</p> <p>(1) children or adolescents with substance abuse disorders shall be served with a minimum of one staff present for every five or fewer minor clients present. However, only one staff need be present during sleeping hours if specified by the emergency back-up procedures determined by the governing body; or</p> <p>(2) children or adolescents with developmental disabilities shall be served with one staff present for every one to three clients present and two staff present for every four or more clients present. However, only one staff need be present during sleeping hours if specified by the emergency back-up procedures determined by the governing body.</p> <p>(d) In facilities which serve clients whose primary diagnosis is substance abuse dependency:</p> <p>(1) at least one staff member who is on duty shall be trained in alcohol and other drug withdrawal symptoms and symptoms of secondary complications to alcohol and other drug addiction; and</p> <p>(2) the services of a certified substance abuse counselor shall be available on an as-needed basis for each client.</p>	V 290		

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V 290	<p>Continued From page 25</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews, the facility failed to ensure clients were assessed of their ability to be in the community for specified periods of time without supervision affecting one of three clients (client #3). The findings are:</p> <p>Review on 6/8/18 of client #3's record revealed: -an admission date of 2/16/17; -a diagnosis of traumatic brain injury; -an admission assessment completed by the Qualified Professional (QP) dated 2/16/17 that included a diagnosis of traumatic brain injury; -no documentation on the admission assessment regarding why he was incarcerated, that he was on the sex offender registry, or that he had a post release Correction Officer; -An Individual Support Plan completed by the MCO (Managed Care Organization) dated 1/30/18 and provided to the facility included he suffered a traumatic brain injury from a car accident when he was younger, his dementia had increase has he had gotten older, he was very manipulative by nature, he felt there was nothing wrong with him and he had charges of sexual assault on a minor therefore he was not allowed to be around children; -A treatment plan signed and dated by the QP and the client on 4/25/18 that included goals of he wanted to be able to continue to be happy, he wanted to be able to get supported employment so he could get more income, he wanted to become more independent and do more things for himself, and he wanted to complete his GED (General Education Development) through the IRC (Interactive Resource Center) program; -Further review revealed no documentation or goals related to client #3's capability to have unsupervised time in the community, to attend</p>	V 290		

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V 290	<p>Continued From page 26</p> <p>IRC independently, church or any other activity outside of the facility.</p> <p>Interviews on 6/8/18 and 6/20/18 with client #3 revealed:</p> <ul style="list-style-type: none"> -until a couple of weeks ago, he had been allowed to go anywhere he wanted to unsupervised; -the staff used to take him to a local park but they didn't anymore and he didn't know why; -he met a woman that attended church and she invited him to attend; -he couldn't remember where he met the woman; -he had started attending church by riding the church van about 3 months ago; -the pastor was upset with him for going to visit one of his friends that he met at church; -his friend was a 9 year old female; -she had given him her address and told him that it was ok for him to visit her; -he had left the IRC program and walked to her home; -she wasn't at home but her family was; -he didn't understand why everyone had gotten so upset because he just wanted to talk to his friend; -the judge told him the only way he was going to release him from jail and not send him back to prison was if the facility staff agreed to supervise him all the time at the facility. <p>Interview on 6/19/18 with client #3's pastor revealed:</p> <ul style="list-style-type: none"> -client #3 met a female church member on the public bus and invited him to attend church; -he called and arranged a ride on the church van; -he attended for a couple of Sundays then asked to join the church; -he'd been attending for approximately 3 months; -"he told me he was in prison and was on a rape charge;" 	V 290		

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V 290	<p>Continued From page 27</p> <ul style="list-style-type: none"> -during a church dinner the client sat with a 9 year old child who gave him her address; -he left the IRC and walked to the child's home to visit her; -the child was in school but her family was at the home; -the child's aunt who also attended the church, called the pastor to tell him the client had attempted to visit her niece; -"the aunt said he was sweating and breathing hard and asking to speak with the girl;" -she called him a cab and insisted that he leave the home and not return; -"my wife and I went to the facility and talked with him on the front porch;" -"he apologized and said he only wanted to speak to her;" -"I told him it don't sit well him showing up at her house like that;" -he had never seen or spoken with staff or the owner until almost a week after the incident when the owner called him to ask if something had happened; -"I was relieved to get to talk to someone about what happened;" -the Owner told him about the client's criminal history; -he had also been contacted by the client's post release Correction Officer after the incident; -the post release Correction Officer informed him of the client's previous criminal history; -according to the post release Correction Officer, the facility staff were not allowed to make the decision of where the client was allowed to go without consulting him. <p>Interview on 6/14/18 with client #3's post release Correction Officer revealed:</p> <ul style="list-style-type: none"> -client #3 will be on the sex registry until 12/15/19; 	V 290		

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V 290	<p>Continued From page 28</p> <ul style="list-style-type: none"> -he was convicted of attempted 1st degree rape, attempted 1st degree sex offense and indecent liberty with a minor - sex arousal with a child on 2/19/07 and was incarcerated; -all convictions were related to a 5 year old -he was released on 12/16/14; -he was convicted of violating his post release requirements on 11/18/16 and was incarcerated; -he was released on 2/16/17; -because he was a registered sex offender, he was not allowed to visit places where children frequently congregate such as parks, school property, fairs, carnivals, libraries, swimming pools or amusement parks and was not allowed to live within 1,000 feet of a school or daycare; -he was recently arrested for violating his requirements of post release; -"My understanding is he said he walked to a minor's home to talk with her;" -"He had spoken with her previously at church;" -"Regardless of his medical problems, he is quite highly functioning so that throws people off and they don't realize what he is capable of;" -he was not aware that staff had taken him to a public park. <p>Interview on 6/18/18 with the Medical Department of the IRC revealed:</p> <ul style="list-style-type: none"> -they were not aware that client #3 was a registered sex offender; -he was dropped off at the program by staff usually around 9:00am and was picked up around 12:00pm; -he had signed in and out of the program today, the 8th; -the client wasn't supervised and was free to come and go as he wanted to; -there was no way to know how many times the client left and returned during the program without signing in and out. 	V 290		

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V 290	<p>Continued From page 29</p> <p>Interview on 6/11/18 with staff #3 revealed: -the owner had informed him earlier in the month that client #3 had been charged with being a pedophile; -"he (the owner) didn't give details and I didn't ask questions because it makes me uncomfortable;" -was not aware that the client was a registered sex offender until that time but was aware that he had a post release officer; -was informed that the client had attempted to contact a minor that he met at church; -"the pastor picks him up in the van;" -"one time I took him to the park and we had to leave because he was about to get into a fight;" -was not aware that the client wasn't supposed to be in a public park; -he had reported the incident to the owner after it happened.</p> <p>Interview on 6/18/18 with staff #4 revealed: -had worked for the company for 3 years and at the current facility since they opened in January 2018; -the owner told him that client #3 was a sex offender but was allowed to have unsupervised time and they weren't to interfere with that; -"He was allowed 30 minutes of walking time and he was unsupervised during the day at the program (IRC); -"He's also unsupervised at church;" -"The church van picks him up;" -"Of course when he (client #3) was with me, I kept my eyes on him and didn't let him get around any children;" -"He has exhibited anger and he throws his fits but never got out of hand;" -"He talks about women a little too much;" -"He got mad this weekend because he got some money in the mail and wasn't allowed to go out on</p>	V 290		

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V 290	<p>Continued From page 30</p> <p>a date;"</p> <p>"I knew something was wrong because all of a sudden, he refused to go to bible study and church so I asked (the Owner) to call the pastor;"</p> <p>-the owner called the pastor and found out that the client had tried to visit a child that he met at church;</p> <p>-he wasn't sure if he met her on the church van or at church.</p> <p>Interview on 6/8/18 with the QP revealed:</p> <p>-the decisions for client #3 to have unsupervised time for walking, to attend church and for client #3 to attend the IRC independently were the owner's.</p> <p>Interview on 6/20/18 with the Owner revealed:</p> <p>-it was the responsibility of the QP to complete the treatment plans;</p> <p>-client #3 had unsupervised walking time, unsupervised time at the IRC and unsupervised time at church until he got into trouble;</p> <p>-he was not aware that staff had taken client #3 to a public park which had caused violation of his post release requirements;</p> <p>-the QP was working on the updated treatment plan to reflect no unsupervised time for client #3 and it would be completed by 6/22/18;</p> <p>-he did not realize that all unsupervised time needed to be assessed and added to the treatment plan.</p> <p>Refer to V112 for details.</p> <p>This deficiency is cross referenced into 10A NCAC 27G .5601 Scope (V289) for a Type A1 rule violation and must be corrected within 23 days.</p>	V 290		

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V 367	Continued From page 31	V 367		
V 367	<p>27G .0604 Incident Reporting Requirements</p> <p>10A NCAC 27G .0604 INCIDENT REPORTING REQUIREMENTS FOR CATEGORY A AND B PROVIDERS</p> <p>(a) Category A and B providers shall report all level II incidents, except deaths, that occur during the provision of billable services or while the consumer is on the providers premises or level III incidents and level II deaths involving the clients to whom the provider rendered any service within 90 days prior to the incident to the LME responsible for the catchment area where services are provided within 72 hours of becoming aware of the incident. The report shall be submitted on a form provided by the Secretary. The report may be submitted via mail, in person, facsimile or encrypted electronic means. The report shall include the following information:</p> <ol style="list-style-type: none"> (1) reporting provider contact and identification information; (2) client identification information; (3) type of incident; (4) description of incident; (5) status of the effort to determine the cause of the incident; and (6) other individuals or authorities notified or responding. <p>(b) Category A and B providers shall explain any missing or incomplete information. The provider shall submit an updated report to all required report recipients by the end of the next business day whenever:</p> <ol style="list-style-type: none"> (1) the provider has reason to believe that information provided in the report may be erroneous, misleading or otherwise unreliable; or (2) the provider obtains information required on the incident form that was previously 	V 367		

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V 367	<p>Continued From page 32</p> <p>unavailable.</p> <p>(c) Category A and B providers shall submit, upon request by the LME, other information obtained regarding the incident, including:</p> <p>(1) hospital records including confidential information;</p> <p>(2) reports by other authorities; and</p> <p>(3) the provider's response to the incident.</p> <p>(d) Category A and B providers shall send a copy of all level III incident reports to the Division of Mental Health, Developmental Disabilities and Substance Abuse Services within 72 hours of becoming aware of the incident. Category A providers shall send a copy of all level III incidents involving a client death to the Division of Health Service Regulation within 72 hours of becoming aware of the incident. In cases of client death within seven days of use of seclusion or restraint, the provider shall report the death immediately, as required by 10A NCAC 26C .0300 and 10A NCAC 27E .0104(e)(18).</p> <p>(e) Category A and B providers shall send a report quarterly to the LME responsible for the catchment area where services are provided. The report shall be submitted on a form provided by the Secretary via electronic means and shall include summary information as follows:</p> <p>(1) medication errors that do not meet the definition of a level II or level III incident;</p> <p>(2) restrictive interventions that do not meet the definition of a level II or level III incident;</p> <p>(3) searches of a client or his living area;</p> <p>(4) seizures of client property or property in the possession of a client;</p> <p>(5) the total number of level II and level III incidents that occurred; and</p> <p>(6) a statement indicating that there have been no reportable incidents whenever no incidents have occurred during the quarter that</p>	V 367		

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V 367	<p>Continued From page 33</p> <p>meet any of the criteria as set forth in Paragraphs (a) and (d) of this Rule and Subparagraphs (1) through (4) of this Paragraph.</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews the facility failed to ensure a critical incident report was submitted to the Local Management Entity (LME) within 72 hours as required. The findings are.</p> <p>Review on 06/8/18 of the North Carolina Incident Response Improvement System (IRIS) revealed no incident reports had been submitted from January 2018 - June 2018.</p> <p>Review on 6/8/18 of client #3's record revealed: -an admission date of 2/16/17; -a diagnosis of traumatic brain injury.</p> <p>Interview on 6/11/18 with staff #3 revealed the owner informed him around the end of May 2018 that client #3 had attempted to contact a minor that he met at church.</p> <p>Interview on 6/18/18 with staff #4 revealed: -the owner had informed him that client #3 was a registered sex offender; -they had discovered that he had attempted to contact a minor that he met at church.</p> <p>Interview on 6/8/18 with the Qualified Professional revealed: -there had been no incident reports completed during the months of January 2018 - June 2018; -client #3 was on probation and wasn't supposed to have contact with small children but he came in</p>	V 367		

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V 367	<p>Continued From page 34</p> <p>contact with a young girl; -"he just got out of jail yesterday;" -the owner had taken care of reporting the issue to the MCO and to the post release Correction Officer and he didn't think an incident report needed to be completed.</p> <p>Interview on 6/18/18 with the Owner revealed: -there had been no incident reports completed during the months of January 2018 - June 2018; -client #3 had attempted to visit a minor at her home around the end of May 2018; -he had contacted the clients post release officer and reported the incident; -the client was arrested; -no incident report was completed because "nothing really happened and the police weren't called;" -he didn't realize that post release officers are law enforcement; -"My understanding he didn't do anything so we didn't need to do an incident report."</p>	V 367		
V 738	<p>27G .0303(d) Pest Control</p> <p>10A NCAC 27G .0303 LOCATION AND EXTERIOR REQUIREMENTS (d) Buildings shall be kept free from insects and rodents.</p> <p>This Rule is not met as evidenced by: Based on interviews, the facility staff failed to keep the facility free from insects. The findings are:</p>	V 738		

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V 738	<p>Continued From page 35</p> <p>Interview on 6/11/18 with staff #3 revealed: -he was aware that the facility had bed bugs; -"We've had bed bugs that we're trying to get rid of."</p> <p>Interview on 6/12/18 with the owner revealed: -"We've had a few bed bugs in the mattresses;" -"I don't know if the staff was bringing them in or what;" -"We treated them so they are gone now;" -"I'll have (a pest control company) come in and check."</p> <p>Interview on 6/18/18 with staff #4 revealed: -he was aware that the facility had bed bugs; -"We treated them twice on our own;" -"We got an estimate (from a pest control company) and they came this morning and said they were still in the curtains so they heated the whole house."</p> <p>Interview on 6/20/18 with client #3 revealed he hadn't seen any bugs lately but "they were bad."</p> <p>Interview on 6/20/18 with staff #1 revealed: -he was aware that the facility had bed bugs; -"I sit on a hard chair and not on the furniture."</p> <p>Interview on 6/20/18 with the owner revealed: -"We had them (bed bugs) over at the other house (facility) and the landlord was supposed to have taken care of them;" -"We moved from there to here the first of the year;" -"We noticed them after we moved in and took care of them;" -"Then we noticed them in a different part of the house;" -"I got plastic for the mattresses and used pesticide for them;"</p>	V 738		

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V 738	<p>Continued From page 36</p> <p>-"The only way to really get rid of them is to heat treat everything so that's what we did."</p> <p>Interview on 6/25/18 with a local pest control company revealed:</p> <ul style="list-style-type: none"> -they had provided services to the facility during the month of June 2018; -bed bugs were present in the curtains of the facility; -the bedrooms had been heat treated. 	V 738		