

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: MHL054-125	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED 09/27/2018
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NAME OF PROVIDER OR SUPPLIER PINEWOOD FACILITY	STREET ADDRESS, CITY, STATE, ZIP CODE 2002 A & B SHACKLEFORD ROAD KINSTON, NC 28502
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V 000	<p>INITIAL COMMENTS</p> <p>An annual, complaint, and follow-up survey was completed on 9/27/18. The complaint was substantiated (Intake #NC 00143216.) Deficiencies were cited.</p> <p>This facility is licensed for the following service category: 10A NCAC 27G .1900 Psychiatric Residential Treatment Facility for Children and Adolescents.</p>	V 000		
V 105	<p>27G .0201 (A) (1-7) Governing Body Policies</p> <p>10A NCAC 27G .0201 GOVERNING BODY POLICIES</p> <p>(a) The governing body responsible for each facility or service shall develop and implement written policies for the following:</p> <p>(1) delegation of management authority for the operation of the facility and services;</p> <p>(2) criteria for admission;</p> <p>(3) criteria for discharge;</p> <p>(4) admission assessments, including:</p> <p>(A) who will perform the assessment; and</p> <p>(B) time frames for completing assessment.</p> <p>(5) client record management, including:</p> <p>(A) persons authorized to document;</p> <p>(B) transporting records;</p> <p>(C) safeguard of records against loss, tampering, defacement or use by unauthorized persons;</p> <p>(D) assurance of record accessibility to authorized users at all times; and</p> <p>(E) assurance of confidentiality of records.</p> <p>(6) screenings, which shall include:</p> <p>(A) an assessment of the individual's presenting problem or need;</p> <p>(B) an assessment of whether or not the facility can provide services to address the individual's needs; and</p> <p>(C) the disposition, including referrals and</p>	V 105		

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

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V 105	<p>Continued From page 1</p> <p>recommendations;</p> <p>(7) quality assurance and quality improvement activities, including:</p> <p>(A) composition and activities of a quality assurance and quality improvement committee;</p> <p>(B) written quality assurance and quality improvement plan;</p> <p>(C) methods for monitoring and evaluating the quality and appropriateness of client care, including delineation of client outcomes and utilization of services;</p> <p>(D) professional or clinical supervision, including a requirement that staff who are not qualified professionals and provide direct client services shall be supervised by a qualified professional in that area of service;</p> <p>(E) strategies for improving client care;</p> <p>(F) review of staff qualifications and a determination made to grant treatment/habilitation privileges:</p> <p>(G) review of all fatalities of active clients who were being served in area-operated or contracted residential programs at the time of death;</p> <p>(H) adoption of standards that assure operational and programmatic performance meeting applicable standards of practice. For this purpose, "applicable standards of practice" means a level of competence established with reference to the prevailing and accepted methods, and the degree of knowledge, skill and care exercised by other practitioners in the field;</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews the facility failed to develop and implement a written</p>	V 105		

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V 105	<p>Continued From page 2</p> <p>policy for adoption of standards of practice related to federal requirements for the reporting of events that result in the use of restraint or seclusion for 3 of 3 clients audited (#1, 3, and 5.) The findings are:</p> <p>Review on 9/27/18 of LME-MCO (Local Management Entity-Managed Care Organization) communication Bulletin J287, "Clarifying the Reporting Standards for Psychiatric Residential Treatment Facilities[PRTF]" dated 5/11/18 revealed:</p> <ul style="list-style-type: none"> - "As a reminder, Serious Occurrences are any event that result in Restraint or Seclusion, Resident's Death, Any Serious Injury to a Resident, and a Resident's Suicide Attempt. NC [North Carolina] 483.374 specifies that facilities must report each Serious Occurrence to both the State Medicaid agency (Division of Medical Assistance - DMA) . . . " - "DMA receives reports of Serious Occurrences via the Incident Response and Improvement System (IRIS) managed by the Division of Mental Health, Developmental Disabilities and Substance Abuse Services . . . " <p>Review on 9/27/18 of the facility's "INCIDENT AND DEATH RESPONSE SYSTEM" policy last revised 11/1/17 revealed: "Upon learning of a Level II/III incident involving a consumer currently receiving services, [Licensee] shall document the event within the time frames specified in this policy using the DHHS [Department of Health and Human Services] Incident Response Improvement System (IRIS). Level II/III DHHS Incident and Death Report include:...b) Restrictive Intervention: additional documentation is required on the restrictive intervention details report. Level II any emergency, unplanned use or any planned use</p>	V 105		

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V 105	<p>Continued From page 3</p> <p>that exceeds Licensure Rules is administered by an unauthorized person, requires treatment by a licensed health professional. Level III any restrictive intervention that results in permanent physical or psychological impairment within 7 days. . . "</p> <p>Review on 9/27/18 of the facility's "LEVEL I INCIDENT REPORTING" policy effective 9/1/10 revealed that it did not address reporting of restrictive interventions.</p> <p>Review on 9/27/18 of the facility's "Consumer Death or Serious Occurrence/Sentinel Event" policy, last revised 11/1/17 revealed: "It is the policy of [Licensee] to define a Serious Occurrence/Sentinel Event as the death of a Consumer or any significant impairment of the physical condition of a Consumer as determined by [Licensee's] Primary Care Medical Director or other qualified Medical Personnel. This includes, but shall not be limited to, burns, lacerations, bone fractures, substantial hematomas, and injuries to internal organs, whether self-inflicted or inflicted by another person. Any allegation of abuse, neglect or exploitation shall also be considered a Serious Occurrence and reported and documented accordingly. Each Consumer Death or Serious Occurrence shall be reported and documented in accordance with Federal and State rules . . . "</p> <p>Finding #1:</p> <p>Review on 9/26/18 of Client #1's record revealed: - 10 year old male admitted on 11/16/17. - Diagnoses include Disruptive Mood Dysregulation Disorder; Attention Deficit Hyperactivity Disorder; and Post Traumatic Stress Disorder.</p>	V 105		

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V 105	<p>Continued From page 4</p> <p>-- Comprehensive Clinical Assessment dated 11/16/17 included history of anger issues; mental illness and difficulties with social interactions with peers and adults.</p> <p>- "Crisis Prevention and Intervention Plan" dated 11/16/17, included: "Restrictive Interventions: Every attempt will be made to de-escalate the crisis prior to the use of physical restraint or seclusion. Restrictive Intervention should be used when (Client #1) is at imminent risk of, or in the process of injuring self or others. Type: Physical Restraint 1. Duration Limit: The use of Physical Restraint will be immediately discontinued at any indication of Consumer risk or distress, or immediately when the Consumer gains control over at-risk behaviors, or when 10 minutes has elapsed. . . . Type: Seclusion 1. Duration Limit: The use of Seclusion will be immediately discontinued at any indication of Consumer risk or distress, or immediately when the Consumer gains control over at-risk behaviors, or when 1 hour elapsed. . . ."</p> <p>- "Consumer Safety Plan" signed 11/16/17 included: "PRTF Setting: . . . Staff will utilize restrictive interventions to de-escalate imminent risk situations that place the consumer and/or others in jeopardy once least restrictive interventions have been exhausted and proven ineffective. Restrictive interventions include: NCI [North Carolina Interventions] techniques, seclusion and chemical intervention. . . ."</p> <p>Review on 9/26/18 of facility's Level I and Level II Incident Reports completed 7/1/18 - 9/26/18 revealed:</p> <p>- Level I Incident Report dated 8/4/18: ". . . Consumer (Client #1) was placed in a restraint."</p> <p>- Level I Incident Report dated 9/3/18: ". . . Consumer (Client #1) was placed in a restraint."</p> <p>- Level I Incident Report dated 9/4/18: ". . ."</p>	V 105		

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V 105	<p>Continued From page 5</p> <p>Consumer (Client #1) was placed in a restraint." -2 Level I Incident Report dated 9/13/18 : ". . . Consumer (Client #1) was placed in a restraint." - Level I Incident Report dated 9/16/18: ". . . Consumer (Client #1) was placed in a restraint." - No documented Level II Incident Reports of the events that led to the use of the physical restraint for Client #1.</p> <p>Finding #2: Review on 9/27/18 of Client #3's record revealed: - 15 year old male admitted 6/20/18. - Diagnoses included Alcohol Use Disorder; Disruptive Mood Dysregulation Disorder; Attention Deficit Hyperactivity Disorder. - Comprehensive Clinical Assessment dated 6/20/18 included history of anger issues; mental illness and difficulties with social interactions with peers and adults. - "Crisis Prevention and Intervention Plan"dated 6/20/18, included: "Restrictive Interventions: Every attempt will be made to de-escalate the crisis prior to the use of physical restraint or seclusion. Restrictive Intervention should be used when (Client #3) is at imminent risk of, or in the process of injuring self or others. Type: Physical Restraint 1. Duration Limit: The use of Physical Restraint will be immediately discontinued at any indication of Consumer risk or distress, or immediately when the Consumer gains control over at-risk behaviors, or when 10 minutes has elapsed. . . . Type: Seclusion 1. Duration Limit: The use of Seclusion will be immediately discontinued at any indication of Consumer risk or distress, or immediately when the Consumer gains control over at-risk behaviors, or when 1 hour elapsed. . . ." - "Consumer Safety Plan" signed 6/20/18 included: "PRTF Setting: . . . Staff will utilize restrictive interventions to de-escalate imminent</p>	V 105		

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V 105	<p>Continued From page 6</p> <p>risk situations that place the consumer and/or others in jeopardy once least restrictive interventions have been exhausted and proven ineffective. Restrictive interventions include: NCI [North Carolina Interventions] techniques, seclusion and chemical intervention. . . . "</p> <p>Review on 9/26/18 of facility's Level I and Level II Incident Reports completed 7/1/18 - 9/26/18 revealed:</p> <ul style="list-style-type: none"> - Level I Incident Report dated 9/16/18: ". . . Consumer (Client #3) was placed in a restraint." - Level I Incident Report dated 9/18/18: ". . . Consumer (Client #3) was placed in a restraint." - No documented Level II Incident Reports of the events that led to the use of the physical restraint for Client #3. <p>Finding #3: Review on 9/27/18 of Client #5's record revealed:</p> <ul style="list-style-type: none"> - 14 year old male admitted on 8/10/18. - Diagnoses included Disruptive Mood Dysregulation Disorder; Attention Deficit Hyperactivity Disorder; Conduct Disorder; Oppositional Defiance Disorder. -- Comprehensive Clinical Assessment dated 8/9/18 included history of anger issues; mental illness and difficulties with social interactions with peers and adults. - "Crisis Prevention and Intervention Plan" dated 8/1/18, included: "Restrictive Interventions: Every attempt will be made to de-escalate the crisis prior to the use of physical restraint or seclusion. Restrictive Intervention should be used when (Client #5) is at imminent risk of, or in the process of injuring self or others. Type: Physical Restraint 1. Duration Limit: The use of Physical Restraint will be immediately discontinued at any indication of Consumer risk or distress, or immediately when the Consumer gains control 	V 105		

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V 105	<p>Continued From page 7</p> <p>over at-risk behaviors, or when 10 minutes has elapsed. . . . Type: Seclusion 1. Duration Limit: The use of Seclusion will be immediately discontinued at any indication of Consumer risk or distress, or immediately when the Consumer gains control over at-risk behaviors, or when 1 hour elapsed. . . "</p> <p>- "Consumer Safety Plan" signed 8/9/18 included: "PRTF Setting: . . . Staff will utilize restrictive interventions to de-escalate imminent risk situations that place the consumer and/or others in jeopardy once least restrictive interventions have been exhausted and proven ineffective. Restrictive interventions include: NCI [North Carolina Interventions] techniques, seclusion and chemical intervention. . . . "</p> <p>Review on 9/26/18 of facility's Level I and Level II Incident Reports completed 7/1/18 - 9/26/18 revealed:</p> <p>- Level I Incident Report dated 9/16/18: ". . . Consumer (Client #5) was placed in a restraint."</p> <p>- No documented Level II Incident Reports of the events that led to the use of the physical restraint for Client #5.</p> <p>Interview on 9/27/18 the Director of PRTF Services stated Federal guidelines required PRTF reporting of "Serious Occurrences and Sentinel Events". The definition of "Serious Occurrence" did not include the use of restrictive interventions, including physical restraint, chemical restraint, or seclusion. The Licensee was seeking legal clarification of the reporting requirements.</p> <p>This deficiency constitutes a re-cited deficiency and must be corrected within 30 days.</p>	V 105		

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V 114	Continued From page 8	V 114		
V 114	<p>27G .0207 Emergency Plans and Supplies</p> <p>10A NCAC 27G .0207 EMERGENCY PLANS AND SUPPLIES</p> <p>(a) A written fire plan for each facility and area-wide disaster plan shall be developed and shall be approved by the appropriate local authority.</p> <p>(b) The plan shall be made available to all staff and evacuation procedures and routes shall be posted in the facility.</p> <p>(c) Fire and disaster drills in a 24-hour facility shall be held at least quarterly and shall be repeated for each shift. Drills shall be conducted under conditions that simulate fire emergencies.</p> <p>(d) Each facility shall have basic first aid supplies accessible for use.</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews the facility failed to implement their disaster plan during a four day electrical outage that rendered the facility being unusable. The findings are:</p> <p>Review on 9/26/18 of the Facility's Health and Safety Event Plans revealed:</p> <ul style="list-style-type: none"> - Policy Health and Safety Event Plans - "...Purpose: To provide Staff and Consumers clear and concise directions for responding to Health and Safety Events..." - "...Policy:... A Health and Safety Event shall be any circumstance that poses an imminent risk to the health and safety and general welfare of the Consumers and Staff. Health and Safety Events shall include, but not be limited to:... utility or other physical plant failures or emergencies..." - "...Utility or Other Physical Plant Failures or Emergencies...During a power outage, staff must 	V 114		

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V 114	<p>Continued From page 9</p> <p>move all consumers to the living area or largest classroom, using flashlights for illumination. Do not use candles, lighters, or matches (all of which are prohibited). Once in living area or classroom staff must account for all consumers and staff. Then keep consumers calm with conversation or activities...If the physical plant emergency results in the facility being unusable or if the safety officer, administrator-on-call or supervisor on call orders an evacuation..."</p> <ul style="list-style-type: none"> - No direction for extended power failure guidelines in the Facility Health and Safety Plan. - No definition of unusable facility noted in the Facility Health and Safety Plan. <p>Review on 9/26/18 of Facility Inservice Training Report revealed:</p> <ul style="list-style-type: none"> - "...Departments:..All.." - "...Date: 9/12/18..." - "...Subject(s) Covered: Hurricane Prep (Flo) [Hurricane Florence Preparation]..." - "...Conducted by: [Facility Program Director]...." - "...Power Outage: In the event of a power outage, each unit will be equipped with at least one flashlight per staff. Lanterns will be provided for each unit, kitchen and nursing office. Weather radio and batteries will also be provided for each group home in the front, the nurse and the RSS (Residential Supervisor on Staff) in [Facility]. Our Power source is ...To report outage, call" - "...Parents/Stakeholders:...we do expect power outages and are preparing for that. We will not likely have telephones if the power is out..." - No documentation found in inservice notes for extended power outage preparation. <p>Review on 9/26/18 of Facility Health and Safety Event Report dated 9/16/18:</p> <ul style="list-style-type: none"> - "...Time of event:...9/13/2018 10:10 pm - 4:50 pm 9/16/18. 	V 114		

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V 114	<p>Continued From page 10</p> <p>- "...Type of Event:...Weather Emergency or Other Natural Disaster...Utility or Other physical Plant Failure or Emergency..."</p> <p>- "...Description of Event (including Staff and Consumer actions):...Hurricane Florence including severe weather warnings with facility wide power outage. Staff and consumers followed event plans for utility failure..."</p> <p>Review on 9/26/18 of Facility Event Plan Drill Report for 9/13/18 - 9/16/18 revealed:</p> <p>- "...Date: 9/13/18...Time: 10:10 pm...Staff move all Consumers to the Living Area or largest classroom (depending on facility)...No...Consumer were sleep and calm...Staff return to the facility only after clear permission is given by the Safety Officer...No...No evacuation...Observation/Recommendations...Facility lost power at 10:10 pm...Event plans followed and each facility equipped with alternative light source..."</p> <p>- "...Date: 9/14/18...Time: 5:00 am...Comments: No evacuation...Observation/Recommendations:..Power remains out, event plan remains in effect. Consumer's remained calm and tolerating situation well..."</p> <p>- "...Date:9/15/18...Time: 5:00 am...Comments: No evacuation...Power restored at 4:15 pm 9-16-18...Observation/Recommendations:Power remains out, event plan still in effect. Consumers tolerate situation well but some restless noted. Consumer's expressed desire for warm meals./tired of sandwiches..."</p> <p>Interview on 9/27/18 the Facility Program Director stated: - We lost power from 9/13/18 to 9/16/18 due to a weather event.</p>	V 114		

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V 114	Continued From page 11 - The facility had managed the days the power was out. - The facility plan did not specifically address extensive power outage and evacuation guidelines. - The facility would follow-up with the issue.	V 114		
V 366	27G .0603 Incident Response Requirments 10A NCAC 27G .0603 INCIDENT RESPONSE REQUIREMENTS FOR CATEGORY A AND B PROVIDERS (a) Category A and B providers shall develop and implement written policies governing their response to level I, II or III incidents. The policies shall require the provider to respond by: (1) attending to the health and safety needs of individuals involved in the incident; (2) determining the cause of the incident; (3) developing and implementing corrective measures according to provider specified timeframes not to exceed 45 days; (4) developing and implementing measures to prevent similar incidents according to provider specified timeframes not to exceed 45 days; (5) assigning person(s) to be responsible for implementation of the corrections and preventive measures; (6) adhering to confidentiality requirements set forth in G.S. 75, Article 2A, 10A NCAC 26B, 42 CFR Parts 2 and 3 and 45 CFR Parts 160 and 164; and (7) maintaining documentation regarding Subparagraphs (a)(1) through (a)(6) of this Rule. (b) In addition to the requirements set forth in Paragraph (a) of this Rule, ICF/MR providers shall address incidents as required by the federal regulations in 42 CFR Part 483 Subpart I. (c) In addition to the requirements set forth in	V 366		

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NAME OF PROVIDER OR SUPPLIER PINEWOOD FACILITY	STREET ADDRESS, CITY, STATE, ZIP CODE 2002 A & B SHACKLEFORD ROAD KINSTON, NC 28502
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V 366	<p>Continued From page 12</p> <p>Paragraph (a) of this Rule, Category A and B providers, excluding ICF/MR providers, shall develop and implement written policies governing their response to a level III incident that occurs while the provider is delivering a billable service or while the client is on the provider's premises. The policies shall require the provider to respond by:</p> <p>(1) immediately securing the client record by:</p> <p>(A) obtaining the client record; (B) making a photocopy; (C) certifying the copy's completeness; and (D) transferring the copy to an internal review team;</p> <p>(2) convening a meeting of an internal review team within 24 hours of the incident. The internal review team shall consist of individuals who were not involved in the incident and who were not responsible for the client's direct care or with direct professional oversight of the client's services at the time of the incident. The internal review team shall complete all of the activities as follows:</p> <p>(A) review the copy of the client record to determine the facts and causes of the incident and make recommendations for minimizing the occurrence of future incidents; (B) gather other information needed; (C) issue written preliminary findings of fact within five working days of the incident. The preliminary findings of fact shall be sent to the LME in whose catchment area the provider is located and to the LME where the client resides, if different; and (D) issue a final written report signed by the owner within three months of the incident. The final report shall be sent to the LME in whose catchment area the provider is located and to the</p>	V 366		

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V 366	<p>Continued From page 13</p> <p>LME where the client resides, if different. The final written report shall address the issues identified by the internal review team, shall include all public documents pertinent to the incident, and shall make recommendations for minimizing the occurrence of future incidents. If all documents needed for the report are not available within three months of the incident, the LME may give the provider an extension of up to three months to submit the final report; and</p> <p>(3) immediately notifying the following:</p> <p>(A) the LME responsible for the catchment area where the services are provided pursuant to Rule .0604;</p> <p>(B) the LME where the client resides, if different;</p> <p>(C) the provider agency with responsibility for maintaining and updating the client's treatment plan, if different from the reporting provider;</p> <p>(D) the Department;</p> <p>(E) the client's legal guardian, as applicable; and</p> <p>(F) any other authorities required by law.</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews, the facility failed to implement its written policy governing its response to level I, II, or III incidents including restrictive interventions. The findings are:</p> <p>During interview on 9/27/18, the Program Director was asked to present the facility's written</p>	V 366		

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V 366	<p>Continued From page 14</p> <p>policy for Response to Incidents. She presented two documents: --"INCIDENT AND DEATH RESPONSE SYSTEM...Effective Date 07/01/03" with most recent revision dated 01/01/14 --"LEVEL I INCIDENT REPORTING...Effective date 09/01/10" Review on 9/27/18 of "INCIDENT AND DEATH RESPONSE SYSTEM" revealed; "Upon learning of a Level II/III incident involving a consumer currently receiving services, [the licensee] shall document the event within the time frames specified in this policy using the DHHS Incident Response Improvement System (IRIS). Level II/III DHHS Incident and Death Report include: b) Restrictive Intervention: additional documentation is required on the restrictive intervention details report. Level II any emergency, unplanned use or any planned use that exceeds Licensure Rules is administered by an unauthorized person, requires treatment by a licensed health professional. Level III any restrictive intervention that results in permanent physical or psychological impairment within 7 days..." Review on 9/27/18 of "LEVEL I INCIDENT REPORTING" revealed that it did not address reporting of restrictive interventions.</p> <p>Review on 9/26/18 of Person Centered Plans (PCPs) for clients #1, #3, and #5 revealed each of the Plans included a "CRISIS PREVENTION AND INTERVENTION PLAN" including a plan for use of restrictive interventions. "...Restrictive Interventions: Every attempt will be made to de-escalate the crisis prior to the use of physical restraint or seclusion. Restrictive Intervention should be used when (Client) is at imminent risk of, or in the process of injuring self or others. Type: Physical Restraint 1. Duration Limit: The use of Physical Restraint will be immediately discontinued at any indication of Consumer risk or distress, or immediately when the Consumer</p>	V 366		

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V 366	<p>Continued From page 15</p> <p>gains control over at-risk behaviors, or when 10 minutes has elapsed. . . . Type: Seclusion 1. Duration Limit: The use of Seclusion will be immediately discontinued at any indication of Consumer risk or distress, or immediately when the Consumer gains control over at-risk behaviors, or when 1 hour elapsed. . . "</p> <p>Review on 9/26/18 of the North Carolina Incident Response Improvement System (IRIS) database revealed only one report filed by the facility in the three months preceding the survey for the audited clients. One, a Level II report filed 9/20/18 for Client # 3 on that date when staff attempted to restrain him for an aggressive outburst.</p> <p>Interview on 9/27/18, the Program Director stated she was aware of the requirements of federal rules regarding restrictive interventions, and had made earnest efforts to comply with both the state and the federal requirements. Since restrictive interventions were included in the clients' PCPs, the facility was compliant with state rules regarding reporting because there was nothing in either state or federal rules that explicitly required reporting "planned" (but also individually ordered) interventions as Level II incidents in IRIS.</p> <p>This deficiency constitutes a re-cited deficiency and must be corrected within 30 days.</p>	V 366		
V 367	<p>27G .0604 Incident Reporting Requirements</p> <p>10A NCAC 27G .0604 INCIDENT REPORTING REQUIREMENTS FOR CATEGORY A AND B PROVIDERS (a) Category A and B providers shall report all level II incidents, except deaths, that occur during</p>	V 367		

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V 367	<p>Continued From page 16</p> <p>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> <p>(1) reporting provider contact and identification information;</p> <p>(2) client identification information;</p> <p>(3) type of incident;</p> <p>(4) description of incident;</p> <p>(5) status of the effort to determine the cause of the incident; and</p> <p>(6) other individuals or authorities notified or responding.</p> <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> <p>(1) the provider has reason to believe that information provided in the report may be erroneous, misleading or otherwise unreliable; or</p> <p>(2) the provider obtains information required on the incident form that was previously 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>	V 367		

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V 367	<p>Continued From page 17</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 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:</p>	V 367		

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V 367	Continued From page 18 Based on record reviews and interviews, the facility failed to implement its written policy governing its response to level I, II, or III incidents including restrictive interventions. The findings are: Refer to Tag v366 for specific details. This deficiency constitutes a re-cited deficiency and must be corrected within 30 days.	V 367		
V 750	27G .0304(b)(3) Maintenance of Elec., Mech., & Water Systems 10A NCAC 27G .0304 FACILITY DESIGN AND EQUIPMENT (b) Safety: Each facility shall be designed, constructed and equipped in a manner that ensures the physical safety of clients, staff and visitors. (3) Electrical, mechanical and water systems shall be maintained in operating condition. This Rule is not met as evidenced by: Based on record review, observations, and interviews the facility failed to maintain electrical, mechanical and water systems in operating condition. The findings are: Review on 9/26/18 of Facility Health and Safety Event Report dated 9/16/18: - "...Time of event:...9/13/2018 10:10 pm - 4:50 pm 9/16/18. - "...Type of Event:...Weather Emergency or Other Natural Disaster...Utility or Other physical Plant Failure or Emergency..." - "...Description of Event (including Staff and	V 750		

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V 750	<p>Continued From page 19</p> <p>Consumer actions):...Hurricane Florence including severe weather warnings with facility wide power outage. Staff and consumers followed event plans for utility failure..."</p> <p>Review on 9/26/18 of Facility Event Plan Drill Report for 9/13/18 - 9/16/18 revealed: - "...Date: 9/13/18...Time: 10:10 pm...Facility lost power at 10:10 pm...Event plans followed and each facility equipped with alternative light source..." - "...Date: 9/14/18...Time: 5:00 am...Comments: No evacuation...Observation/Recommendations:..Power remains out, event plan remains in effect. Consumer's remained calm and tolerating situation well..." - "...Date:9/15/18...Time: 5:00 am...Comments: No evacuation...Power restored at 4:15 pm 9-16-18...Observation/Recommendations:Power remains out, event plan still in effect. Consumers tolerated situation well but some restless noted. Consumer's expressed desire for warm meals./tired of sandwiches..."</p> <p>Observation on 9/26/18 at approximately 3 pm of the facility revealed: - Front and back door locked. Staff have keys and doors are not to be left open. - No windows able to be opened for ventilation. - No outside light source noted for bathrooms therefore when power is out, no external light source or ventilation available.</p> <p>Review on 9/27/18 of Staff #11 revealed: - Job Title: Paraprofessional. - Date of hire: 3/27/18.</p> <p>Interview on 9/26/18 Staff #11 stated: - She had worked in the facility during the time</p>	V 750		

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V 750	<p>Continued From page 20</p> <p>the power was out 9/14 - 9/16/18.</p> <ul style="list-style-type: none"> - The facility did lose power for about 3 days. - The consumers were gathered in the living room area while awake. - They took warm baths until the hot water started to run out by day three. The consumers used flashlights when in the bathroom taking a bath. - She did have to stay overnight and take a bath at the facility also which she noted to be warm also. - The food served was sandwiches and items that did not require cooking because of the power outage. The facility fed the same food to the staff. <p>Review on 9/27/18 of Staff #12's record revealed:</p> <ul style="list-style-type: none"> - Job Title: Paraprofessional. - Date Hired: 1/11/16. <p>Interview on 9/26/18 Staff #12 stated:</p> <ul style="list-style-type: none"> - He worked 2 of the 3 days the facility was without power. - The consumers were able to get luke-warm baths and he had talked to them about how to conserve warm water. - The consumers were asked to be in the living room while awake during the power outage. - The food served was cold cuts, hot dogs, and coleslaw and the food was also served to staff too. <p>Interview on 9/27/18 the Facility Licensed Therapist stated:</p> <ul style="list-style-type: none"> - He was aware of complaints from consumers regarding the food and baths during the power outage from clinic notes. - He was aware of the issue of being hot while inside the facility during the power outage. - He affirmed all windows in the facility were unable to be raised or opened for ventilation. 	V 750		

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V 750	<p>Continued From page 21</p> <ul style="list-style-type: none"> - He knew of no alternative energy source for facility during power failures/outages. <p>Interview on 9/27/18 Client #1 stated:</p> <ul style="list-style-type: none"> - He was upset that he had to eat cold food during the power outage. - He also felt that the baths were not warm enough. - He wanted to voice his concerns about the bath and living arrangements while the power was out because he thought the facility should have a better plan when the lights go out. <p>Interview on 9/27/18 Client #5 stated:</p> <ul style="list-style-type: none"> - He had no problems with the food during the power outage. - He had no issue with the baths during the power outage. <p>Interview on 9/27/18 Facility Program Director stated:</p> <ul style="list-style-type: none"> - The facility had experienced a power outage from 9/13/18 - 9/16/18. - The facility did not have any alternative energy sources to manage extended power outages or failures which effected electrical and water for the consumers. - The facility management would review the issue and decide on what action to take. 	V 750		