STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION	(X3) DATE SURVEY COMPLETED
	MHL001-257	A. BUILDING: _____ B. WING _____	05/08/2019

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V 000	INITIAL COMMENTS An annual survey was completed on May 8, 2019. Deficiencies were cited. This facility is licensed for the following service category: 10A NCAC 27G .5600C Supervised Living for Adults with Developmental Disabilities.	V 000		
V 112	27G .0205 (C-D) Assessment/Treatment/Habilitation Plan 10A NCAC 27G .0205 ASSESSMENT AND TREATMENT/HABILITATION OR SERVICE PLAN (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. (d) The plan shall include: (1) client outcome(s) that are anticipated to be achieved by provision of the service and a projected date of achievement; (2) strategies; (3) staff responsible; (4) a schedule for review of the plan at least annually in consultation with the client or legally responsible person or both; (5) basis for evaluation or assessment of 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.	V 112		

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V 112	Continued From page 1 This Rule is not met as evidenced by: Based on record reviews and interview, the facility failed to have a Person Centered Plan with 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 affecting three of three audited clients (#1, #2 and #3). The findings are: Review on 5/8/19 of Client #1's record revealed the following: -Admission date of 8/3/10. -Diagnosis of Intellectual Disability, Moderate to Severe. -Client #1's Person Centered Plan had expired. -Client #1 had transferred from sister facility on 1/1/19. -There was no evidence that a new Person Centered Plan had been completed. Review on 1/9/19 of Client #2's record revealed the following: -Admission date of 7/15/15. -Diagnoses of Impulsive Control Disorder; Intellectual Impairment; Cognitive behavior Disorder; Hypertension; Hypersensitive Lung Disease. -Client #2 had a Person Centered Plan dated 9/5/17 -Client #2 had transferred from sister facility on 1/1/19. -There was no evidence that a new Person Centered Plan had been completed. Review on 1/9/19 of Client #3's record revealed the following: -Admission date of 8/1/17. -Diagnosis of Autistic Disorder. -Client #3 had a Person Centered Plan dated	V 112		

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V 112	Continued From page 2 10/1/17. -Client #3 had transferred from sister facility on 1/1/19. -There was no evidence that a Person Centered Plan had been completed. Interview on 1/9/19 with the Director/Qualified Professional revealed: -She was responsible for completing the Person Center Plans. -She was in the process of updating the Person Centered Plans for Clients #1, #2 and #3. -She confirmed that Clients #1, #2, and #3 had no updated Person Centered Plans in their charts.	V 112		
V 536	27E .0107 Client Rights - Training on Alt to Rest. Int. 10A NCAC 27E .0107 TRAINING ON ALTERNATIVES TO RESTRICTIVE INTERVENTIONS (a) Facilities shall implement policies and practices that emphasize the use of alternatives to restrictive interventions. (b) Prior to providing services to people with disabilities, staff including service providers, employees, students or volunteers, shall demonstrate competence by successfully completing training in communication skills and other strategies for creating an environment in which the likelihood of imminent danger of abuse or injury to a person with disabilities or others or property damage is prevented. (c) Provider agencies shall establish training based on state competencies, monitor for internal compliance and demonstrate they acted on data gathered. (d) The training shall be competency-based, include measurable learning objectives,	V 536		

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V 536	Continued From page 3	V 536		

measurable testing (written and by observation of behavior) on those objectives and measurable methods to determine passing or failing the course.
(e) Formal refresher training must be completed by each service provider periodically (minimum annually).
(f) Content of the training that the service provider wishes to employ must be approved by the Division of MH/DD/SAS pursuant to Paragraph (g) of this Rule.
(g) Staff shall demonstrate competence in the following core areas:
(1) knowledge and understanding of the people being served;
(2) recognizing and interpreting human behavior;
(3) recognizing the effect of internal and external stressors that may affect people with disabilities;
(4) strategies for building positive relationships with persons with disabilities;
(5) recognizing cultural, environmental and organizational factors that may affect people with disabilities;
(6) recognizing the importance of and assisting in the person's involvement in making decisions about their life;
(7) skills in assessing individual risk for escalating behavior;
(8) communication strategies for defusing and de-escalating potentially dangerous behavior; and
(9) positive behavioral supports (providing means for people with disabilities to choose activities which directly oppose or replace behaviors which are unsafe).
(h) Service providers shall maintain documentation of initial and refresher training for

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V 536	Continued From page 4 at least three years. (1) Documentation shall include: (A) who participated in the training and the outcomes (pass/fail); (B) when and where they attended; and (C) instructor's name; (2) The Division of MH/DD/SAS may review/request this documentation at any time. (i) Instructor Qualifications and Training Requirements: (1) Trainers shall demonstrate competence by scoring 100% on testing in a training program aimed at preventing, reducing and eliminating the need for restrictive interventions. (2) Trainers shall demonstrate competence by scoring a passing grade on testing in an instructor training program. (3) The training shall be competency-based, include measurable learning objectives, measurable testing (written and by observation of behavior) on those objectives and measurable methods to determine passing or failing the course. (4) The content of the instructor training the service provider plans to employ shall be approved by the Division of MH/DD/SAS pursuant to Subparagraph (i)(5) of this Rule. (5) Acceptable instructor training programs shall include but are not limited to presentation of: (A) understanding the adult learner; (B) methods for teaching content of the course; (C) methods for evaluating trainee performance; and (D) documentation procedures. (6) Trainers shall have coached experience teaching a training program aimed at preventing, reducing and eliminating the need for restrictive interventions at least one time, with positive	V 536		

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V 536	Continued From page 5 review by the coach. (7) Trainers shall teach a training program aimed at preventing, reducing and eliminating the need for restrictive interventions at least once annually. (8) Trainers shall complete a refresher instructor training at least every two years. (j) Service providers shall maintain documentation of initial and refresher instructor training for at least three years. (1) Documentation shall include: (A) who participated in the training and the outcomes (pass/fail); (B) when and where attended; and (C) instructor's name. (2) The Division of MH/DD/SAS may request and review this documentation any time. (k) Qualifications of Coaches: (1) Coaches shall meet all preparation requirements as a trainer. (2) Coaches shall teach at least three times the course which is being coached. (3) Coaches shall demonstrate competence by completion of coaching or train-the-trainer instruction. (l) Documentation shall be the same preparation as for trainers. This Rule is not met as evidenced by: Based on record review and interview, the facility failed to ensure two of two staff (#1 and #2) had current training on the use of alternatives to restrictive interventions prior to providing services. The findings are:	V 536		

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V 536	Continued From page 6 Review on 5/8/19 of the Director/Qualified Professional records revealed: -Hire date of 3/18/14. -She was hired as a Director/Qualified Professional. -Training on alternatives to restrictive intervention had expired on 3/2/19. Review on 5/8/19 of Staff #2's personnel records revealed: -Hire date of 4/21/11. -Staff #2 was hired as a Direct Care Staff. -Training on alternatives to restrictive intervention had expired on 3/2/19. Interview on 5/7/19 with the Director/Qualified Professional revealed: -The group home had a "no hands on" policy. -Group home only applied alternatives to restrictive interventions. -Agency used NCI + Interventions as training curriculum for alternatives to restrictive interventions. -The Director/Qualified Professional and Staff #2 were scheduled to attend training on alternatives to restrictive interventions on 6/1/19. -She confirmed Staff#2 and her did not have current training on the use of alternatives to restrictive interventions.	V 536		