

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: MHL100-024	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED R 06/04/2019
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NAME OF PROVIDER OR SUPPLIER HAWTHORNE HOUSE	STREET ADDRESS, CITY, STATE, ZIP CODE 281 WHEELER HILLS ROAD BURNSVILLE, NC 28714
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V 000	INITIAL COMMENTS An annual and follow up survey was completed on 6/4/19. Deficiencies were cited. This facility is licensed for the following service category: 10A NCAC 27G .5600C Supervised Living for Individuals of all Disability Groups/Intellectual Developmental Disability.	V 000	DHSR - Mental Health JUN 24 2019 Lic. & Cert. Section	
V 118	27G .0209 (C) Medication Requirements 10A NCAC 27G .0209 MEDICATION REQUIREMENTS (c) Medication administration: (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. (2) Medications shall be self-administered by clients only when authorized in writing by the client's physician. (3) Medications, including injections, shall be administered only by licensed persons, or by unlicensed persons trained by a registered nurse, pharmacist or other legally qualified person and privileged to prepare and administer medications. (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: (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. (5) Client requests for medication changes or checks shall be recorded and kept with the MAR file followed up by appointment or consultation	V 118	Nursing to in-service the team on protocol for new medication. Medication orders are to be immediately filled by the pharmacy and physician's orders promptly translated to the MAR by the Program Specialist. In the future, Nursing will check the MARs monthly. The Program Specialist and QP will monitor the MARs, check medication stock and monitor for expired medications twice monthly. Program Specialist and QP will provide daily oversight to all personnel who are medication admin certified to ensure that medication is administered as prescribed.	07/24/2019

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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

TITLE

(X6) DATE

Lurray Rominger

Regional Administrator 6/15/19

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V 118	<p>Continued From page 1 with a physician.</p> <p>This Rule is not met as evidenced by: Based on observation, interview, and record review the facility failed to maintain the MAR current and ensure prescription drugs were administered as ordered by the physician for 1 of 3 audited clients (#2). The findings are:</p> <p>Observation on 6/3/19 at 10:40am of the medications for Client #2 included: -Fexofenadine 180mg 1 tablet daily.</p> <p>Review on 6/3/19 of the record for Client #2 revealed: -Admission date of 11/22/14 with diagnoses of White Matter Disease, Intellectual Development Disability, Episodic Mood Disorder, Leukemia in remission, Anxiety Disorder, Gastroesophageal Reflux Disorder and Heavy Menses. -Physician order dated 1/23/19 change Fexofenadine 180mg to daily as needed. -Physician order dated 3/20/19 to change Fexofenadine 180mg to daily.</p> <p>Review on 6/3/19 and 6/4/19 of the February and March 2019 MAR for Client #2 revealed: -Fexofenadine 180mg administered daily 1/23/19-2/21/19. -Fexofenadine 180mg changed on the February 2019 MAR to administer as needed on 2/21/19. -Fexofenadine 180mg was not changed to administer daily on the March 2019 until 3/28/19.</p> <p>Interview on 6/4/19 with the Qualified Professional (QP) revealed:</p>	V 118		

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V 118	<p>Continued From page 2</p> <ul style="list-style-type: none"> -The home manger was responsible for the oversite of the medications. -The QP would periodically double check the medications and MAR. -The facility was currently without a house manager and she was doing more oversite until a new house manager was hired. -If an error was found with the medications the nurse should be notified and staff would review the process to prevent the problem from happening again. <p>Interview on 6/4/19 with the Program Manager revealed:</p> <ul style="list-style-type: none"> -The house manager did not communicate the changes on the MAR for the Fexofenadine in January for Client #2. -She noticed the error with the Fexofenadine in February and the change was made for the medication to be administered as needed. -There was a delay of 7 days in March to change the order back to being administered daily. 	V 118		
V 133	<p>G.S. 122C-80 Criminal History Record Check</p> <p>G.S. §122C-80 CRIMINAL HISTORY RECORD CHECK REQUIRED FOR CERTAIN APPLICANTS FOR EMPLOYMENT.</p> <p>(a) Definition. - As used in this section, the term "provider" applies to an area authority/county program and any provider of mental health, developmental disability, and substance abuse services that is licensable under Article 2 of this Chapter.</p> <p>(b) Requirement. - An offer of employment by a provider licensed under this Chapter to an applicant to fill a position that does not require the applicant to have an occupational license is conditioned on consent to a State and national</p>	V 133	<p>The Program Specialist/Hiring Manager will in-service the Business Manager/HR Coordinator on submitting requests for Criminal History record check to include fingerprints no later than 5 days after the new hire begins conditional employment, for all employees who have lived in North Carolina for less than 5 years.</p> <p>In the future, Program Specialist/Hiring Manager will ensure that all new-hires requiring fingerprinting go to the local authority with provided fingerprint card before his/her first day of work. Program Specialist/Hiring Manager will provide Business Manager/HR Coordinator with the completed fingerprint card to be sent to the State Bureau of Investigation within the first 5 days of the new hires conditional employment.</p>	08/03/2019

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V 133	<p>Continued From page 3</p> <p>criminal history record check of the applicant. If the applicant has been a resident of this State for less than five years, then the offer of employment is conditioned on consent to a State and national criminal history record check of the applicant. The national criminal history record check shall include a check of the applicant's fingerprints. If the applicant has been a resident of this State for five years or more, then the offer is conditioned on consent to a State criminal history record check of the applicant. A provider shall not employ an applicant who refuses to consent to a criminal history record check required by this section. Except as otherwise provided in this subsection, within five business days of making the conditional offer of employment, a provider shall submit a request to the Department of Justice under G.S. 114-19.10 to conduct a criminal history record check required by this section or shall submit a request to a private entity to conduct a State criminal history record check required by this section. Notwithstanding G.S. 114-19.10, the Department of Justice shall return the results of national criminal history record checks for employment positions not covered by Public Law 105-277 to the Department of Health and Human Services, Criminal Records Check Unit. Within five business days of receipt of the national criminal history of the person, the Department of Health and Human Services, Criminal Records Check Unit, shall notify the provider as to whether the information received may affect the employability of the applicant. In no case shall the results of the national criminal history record check be shared with the provider. Providers shall make available upon request verification that a criminal history check has been completed on any staff covered by this section. A county that has adopted an</p>	V 133		

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V 133	<p>Continued From page 4</p> <p>appropriate local ordinance and has access to the Division of Criminal Information data bank may conduct on behalf of a provider a State criminal history record check required by this section without the provider having to submit a request to the Department of Justice. In such a case, the county shall commence with the State criminal history record check required by this section within five business days of the conditional offer of employment by the provider. All criminal history information received by the provider is confidential and may not be disclosed, except to the applicant as provided in subsection (c) of this section. For purposes of this subsection, the term "private entity" means a business regularly engaged in conducting criminal history record checks utilizing public records obtained from a State agency.</p> <p>(c) Action. - If an applicant's criminal history record check reveals one or more convictions of a relevant offense, the provider shall consider all of the following factors in determining whether to hire the applicant:</p> <ol style="list-style-type: none"> (1) The level and seriousness of the crime. (2) The date of the crime. (3) The age of the person at the time of the conviction. (4) The circumstances surrounding the commission of the crime, if known. (5) The nexus between the criminal conduct of the person and the job duties of the position to be filled. (6) The prison, jail, probation, parole, rehabilitation, and employment records of the person since the date the crime was committed. (7) The subsequent commission by the person of a relevant offense. <p>The fact of conviction of a relevant offense alone shall not be a bar to employment; however, the</p>	V 133		

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V 133	<p>Continued From page 5</p> <p>listed factors shall be considered by the provider. If the provider disqualifies an applicant after consideration of the relevant factors, then the provider may disclose information contained in the criminal history record check that is relevant to the disqualification, but may not provide a copy of the criminal history record check to the applicant.</p> <p>(d) Limited Immunity. - A provider and an officer or employee of a provider that, in good faith, complies with this section shall be immune from civil liability for:</p> <p>(1) The failure of the provider to employ an individual on the basis of information provided in the criminal history record check of the individual.</p> <p>(2) Failure to check an employee's history of criminal offenses if the employee's criminal history record check is requested and received in compliance with this section.</p> <p>(e) Relevant Offense. - As used in this section, "relevant offense" means a county, state, or federal criminal history of conviction or pending indictment of a crime, whether a misdemeanor or felony, that bears upon an individual's fitness to have responsibility for the safety and well-being of persons needing mental health, developmental disabilities, or substance abuse services. These crimes include the criminal offenses set forth in any of the following Articles of Chapter 14 of the General Statutes: Article 5, Counterfeiting and Issuing Monetary Substitutes; Article 5A, Endangering Executive and Legislative Officers; Article 6, Homicide; Article 7A, Rape and Other Sex Offenses; Article 8, Assaults; Article 10, Kidnapping and Abduction; Article 13, Malicious Injury or Damage by Use of Explosive or Incendiary Device or Material; Article 14, Burglary and Other Housebreakings; Article 15, Arson and Other Burnings; Article 16, Larceny; Article 17,</p>	V 133		

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V 133	<p>Continued From page 6</p> <p>Robbery; Article 18, Embezzlement; Article 19, False Pretenses and Cheats; Article 19A, Obtaining Property or Services by False or Fraudulent Use of Credit Device or Other Means; Article 19B, Financial Transaction Card Crime Act; Article 20, Frauds; Article 21, Forgery; Article 26, Offenses Against Public Morality and Decency; Article 26A, Adult Establishments; Article 27, Prostitution; Article 28, Perjury; Article 29, Bribery; Article 31, Misconduct in Public Office; Article 35, Offenses Against the Public Peace; Article 36A, Riots and Civil Disorders; Article 39, Protection of Minors; Article 40, Protection of the Family; Article 59, Public Intoxication; and Article 60, Computer-Related Crime. These crimes also include possession or sale of drugs in violation of the North Carolina Controlled Substances Act, Article 5 of Chapter 90 of the General Statutes, and alcohol-related offenses such as sale to underage persons in violation of G.S. 18B-302 or driving while impaired in violation of G.S. 20-138.1 through G.S. 20-138.5.</p> <p>(f) Penalty for Furnishing False Information. - Any applicant for employment who willfully furnishes, supplies, or otherwise gives false information on an employment application that is the basis for a criminal history record check under this section shall be guilty of a Class A1 misdemeanor.</p> <p>(g) Conditional Employment. - A provider may employ an applicant conditionally prior to obtaining the results of a criminal history record check regarding the applicant if both of the following requirements are met:</p> <p>(1) The provider shall not employ an applicant prior to obtaining the applicant's consent for criminal history record check as required in subsection (b) of this section or the completed fingerprint cards as required in G.S. 114-19.10.</p>	V 133		

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V 133	<p>Continued From page 7</p> <p>(2) The provider shall submit the request for a criminal history record check not later than five business days after the individual begins conditional employment. (2000-154, s. 4; 2001-155, s. 1; 2004-124, ss. 10.19D(c), (h); 2005-4, ss. 1, 2, 3, 4, 5(a); 2007-444, s. 3.)</p> <p>This Rule is not met as evidenced by: Based on record review and interview the facility failed to submit the request for a criminal history record check to include fingerprints no later than five business days after the individual begins conditional employment for 1 of 3 audited staff (#1). The findings are:</p> <p>Review on 6/4/19 of the personnel record for Staff #1 revealed: -Hire date of 11/9/18. -A resident of the state for less than 5 years. -Fingerprints/State Bureau of Investigation report requested on 2/26/19.</p> <p>Interview on 6/4/19 with the Regional Business Manger revealed: -The original request was sent in with the information from a sister facility, but the wrong address was put on the form. -The request had to be re-submitted with the correct address.</p>	V 133		