STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION	(X3) DATE SURVEY COMPLETED
	MHL034-381	A. BUILDING: _____ B. WING _____	C 06/26/2019

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NOA HUMAN SERVICES, INC	4328 STOKESDALE AVENUE WINSTON SALEM, NC 27101

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V 000	INITIAL COMMENTS A complaint survey was completed on 6/26/19. The complaints were substantiated (Intake# NC00152739 & NC00152733). Deficiencies were cited. This facility is licensed for the following service category: 10A NCAC 27G .5600A Supervised Living for Adults whose primary diagnosis is Mental Illness.	V 000	DHSR - Mental Health JUL 18 2019 Lic. & Cert. Section	
V 108	27G .0202 (F-I) Personnel Requirements 10A NCAC 27G .0202 PERSONNEL REQUIREMENTS (f) Continuing education shall be documented. (g) Employee training programs shall be provided and, at a minimum, shall consist of the following: (1) general organizational orientation; (2) training on client rights and confidentiality as delineated in 10A NCAC 27C, 27D, 27E, 27F and 10A NCAC 26B; (3) training to meet the mh/dd/sa needs of the client as specified in the treatment/habilitation plan; and (4) training in infectious diseases and bloodborne pathogens. (h) Except as permitted under 10a NCAC 27G .5602(b) of this Subchapter, at least one staff member shall be available in the facility at all times when a client is present. That staff member shall be trained in basic first aid including seizure management, currently trained to provide cardiopulmonary resuscitation and trained in the Heimlich maneuver or other first aid techniques such as those provided by Red Cross, the American Heart Association or their equivalence for relieving airway obstruction. (i) The governing body shall develop and	V 108		

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V 108	Continued From page 1 implement policies and procedures for identifying, reporting, investigating and controlling infectious and communicable diseases of personnel and clients. This Rule is not met as evidenced by: Based on records review, observation and interview the facility failed to ensure that staff was trained in Basic First Aid and Cardiopulmonary Resuscitation (FA & CPR) for 1 of 3 staff (Staff #1). The Findings are: Review on 6/26/19 of Staff #1's record revealed: - Date of Hire: 6/1/19 - High School Graduation date: 6/17/17 - No documentation of FA & CPR training - Observation on 6/25/19 at approximately 9:30 am Staff #1 was the only staff present in the home with Client #1, Client #2, Client #3 and Client #4 present in the home. Interview on 6/25/19 with Staff #1 revealed: - "I took it (FA &CPR) in high school. I don't know where it is at now."	V 108	The Administrator will ensure that every new Staff goes Through FA x CPR) before resuming duties. Certificate must be on file at the time new Staff starts work. FA/CPR Completed and Certificate on file. 7/10/19	
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.	V 118		

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V 118	Continued From page 2 (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 with a physician. This Rule is not met as evidenced by: Based on records review, interviews and observations the facility failed to follow physician orders for 1 of 5 clients (Client #1). The findings are: Review on 6/25/19 of Client #1's record revealed: -Date of Admission: 8/1/18 -Diagnoses: Schizoaffective Disorder, Bipolar and Anxiety Review on 6/25/19 of Client #1's MAR dated for	V 118	The administrator will monitor closely the staffs and house manager ~~closely~~	

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V 118	Continued From page 3 6/1/19 through 6/26/19 revealed documentation that included the following medication: -Clozapine 100 mg - 1 tab twice daily (8:00 am & 8:00 pm) treatment of Schizophrenia. MAR was blank for this medication on the following dates: 6/5 through 6/19 Review on 6/25/19 of Client #1's MAR dated for 5/1/19 through 5/31/19 revealed documentation that included the following medication: -Clozapine 100 mg - 1 tab twice daily (8:00 am & 8:00 pm). MAR was blank for this medication on the following dates: 5/30 (am & pm dose) & 5/31 (am & pm dose) Review on 6/26/19 of Client #1's Physician order dated 5/10/19 revealed: -Weekly blood draws for Clozapine, prescription refill 5/10/19. Review on 6/25/19 of the Mental Health Provider/Laboratory blood draws for Client #1 for 5/2019 and 6/2019 revealed: - A Blood Draw was completed on 5/3/19 -A Blood Draw was completed on 5/10/19 -Further review failed to reveal blood draws for Client #1 for the weeks of 5/17, 5/24, 5/31, 6/7 and 6/14. Review on 6/25/19 of Client #1's hospital admission (to emergency department only)/discharge documents revealed: -Client #1 admitted on 6/12/19 for hallucinations and medication stabilization. -Was having auditory hallucinations. -Discharged on 6/13/19, follow up with Primary Care Physician in 1 to 2 days Interview on 6/25/19 with Client #1 revealed: - "I kept asking why I'm not going to get my blood	V 118	to ensure new Staffs are Oriented well to the importence of most Pysche-tropic Medications and the need to have Clients go for lab work Ordered The house manager will Monitor para-professionals on duty to ensure that Clients on Clozapine or other medications with lab-orders goes to their Scheduled appointments. The house manager will ensure if possible to have one of his/her Staff present at all doctors appointment/lab work.	

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V 118	Continued From page 4 drawn? I kept asking where my medication was? I gotta have that Clozapine or my thinking goes all funny. -I don't refuse to have my blood drawn." Interview on 6/26/19 with the family member of Client #1 revealed: - She was concerned and could tell Client #1 was not receiving his medication of Clozapine two weeks before the hospitalization on 6/12/19. -Client #1's speech was sluggish; his thoughts were obsessively about numbers. -Talked about the FBI (Federal Bureau of Investigation)was after him and different police were after him and those around him. -She reported to the Qualified Professional and Client #1 's Guardian two weeks prior to his hospitalization that she thought he was not receiving his Clozapine. -Reported that Client #1's thought process was "very off" when she spoke with him. Interview on 6/25/19 with Staff #1 revealed: -"I was there that day (6/12/19, the day he was admitted to the hospital). I stayed overnight (6/11 to 6/12). I had worked the last three days (6/10, 6/11 and 6/12). -He (Client#1) woke up that morning (6/12/19) and seemed ok. He looked ok, but he was talking out of the ordinary. He was talking about IBM computer and the Army. He was hallucinating. I listened to him go from regular talking to delusional. Normal to talking in his head. -I called the Qualified Professional (QP) 6/12/19) and he came over and called EMS (emergency medical service) -[Client #1] walked out to the ambulance on his own." -Staff #1 was asked who she reports to that a client is out of medications? "I asked [QP] why he	V 118	House manager/Para-Professionals will immediately inform QP or administrator when and if any client refuses treatment at any doctor's appointment at the house. 7/10/19	

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V 118	Continued From page 5 (Client #1) didn't have medication (Clozapine). He called the pharmacy to see what the problem was. -You will have to ask him (QP). I don't know why he didn't have medication." Interview on 6/25/18 with the Pharmacy Personnel responsible for Clozapine prescription fills for Client #1 revealed: - "We can't refill any Clozapine medication without a physician order and the blood draw documentation for each prescription. -The blood draws and doctor visit are important for him (Client #1) to remain stable. -He (Client#1) has missed a few blood draws. -The last blood draw we have on file for [Client #1] would be May tenth (5/10/19). - We would have then processed the order and sent Clozapine medication to the group home on May thirteenth (5/13/19). That prescription would be for a seven-day supply. - We do not show any further blood draws after that. Therefore, we would not send any medication. -If they (Group Home Staff) had Clozapine for him (Client #1) it wasn't from this pharmacy. -The next blood draw we show is on June fourteenth (6/14/19) and medication was sent." Interview on 6/25/19 with Mental Health Provider/Laboratory revealed: - "His (Client #1) Clozapine is very important and requires blood draws to have the prescription filled. -He had refused some blood draws (could not remember dates and had no documentation to show refusals). We wouldn't have documented that (refusals for blood draws). We might have called the group home about his refusal. We can't make him (Client #1) get his blood drawn. That is	V 118	The administrator and the house manager will ensure that all Clients Medications are in the house from the first day of the month. Pharmacy should be Contacted if any is missing and the QP should be informed if any refills from the doctor is needed. Medications should be called in days before running out to allow time for processing and delivery. 7/10/19 Record form to be Completed Should accompany Clients to lab - Completed by Lab-Tech. and Signed. 7/10/19	

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V 118	Continued From page 6 not our responsibility. -Without the Clozapine you might see hallucinations, possibly manic, off balance and verbally speaks of things he may not normally speak of." Interview on 6/26/19 with the QP revealed: "Staff (Staff #1) called me (6/12/19) and told me [Client #1] was not acting right and I went into the group home. I called the EMS (emergency medical service). -Prior to his (Client #1) hospitalization (6/12/19) I found out he was not given his medication (Clozapine). -I called the pharmacy and found out he hadn't had blood draws. I called the laboratory and they said he hadn't been coming in. He is supposed to go on the transit system." -QP was asked who makes sure Client #1 gets on transit system and who verifies his blood draws. QP reported "[Client #1] goes his self on transit system." There was no answer from the QP as to who confirms his blood draws and that Client #1 gets to laboratory. Review on 6/26/19 of the Plan of Protection dated 6/26/19 and written by the Qualified Professional revealed: "The facility will ensure that consumer will be monitored closely. Also, all his appointments to the lab and doctor's appointments, a staff will be assigned to accompany him always. The facility will encourage consumer to abide by the doctor's orders. Staff will also ensure that administrative staff mostly the QP, will be informed when consumer reuses treatment. QP and the administrative staff will monitor papa-professional on duty to enforce consumers going to all appointments and then go with them."	V 118	Record, ~~Doctor's~~ form to be Completed by Lab Tech. and Signed must be reviewed on Clients return from Lab work by Staff ~~on~~ on duty to ensure blood draws House ~~master~~ manager will ensure Staff accompanies client to all appointments. 7/10/19 This plan was in effect 6/26/19	

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V 118	Continued From page 7 Client#1 is diagnosed with Schizoaffective and Bipolar Disorder. He is prescribed clozapine for his disturbed thinking. Client #1 was ordered weekly blood draws for the medication Clozapine to be refilled. The facility failed to have a system in place for monitoring Client #1's compliance with needed labs and confirming that blood draws were completed. Client #1 missed 5 appointments for blood draws and 17 days of Clozapine dosing. Staff #1 reported observing Client #1's disturbed thinking on 6/10, 6/11 and on 6/12. Staff #1 called the QP to assist with Client #1's behavior. The QP reported that on 6/12/19 you could tell something was wrong with Client #1 and then called EMS to have Client #1 hospitalized. The QP gave no explanation other than Client #1 refused his blood draws as to why Client #1 missed 17 days of his antipsychotic medication Clozapine. This deficiency constitutes a Type A1 rule violation for serious neglect and must be corrected within 23 days. An administrative penalty of $2000.00 is imposed. If the violation is not corrected within 23 days, an additional administrative penalty of $500.00 per day will be imposed for each day the facility is out of compliance beyond the 23rd day.	V 118	Client is Stabilized and Continues to go for lab work as ordered with Staff present. 6/26/19	
V 133	G.S. 122C-80 Criminal History Record Check G.S. §122C-80 CRIMINAL HISTORY RECORD CHECK REQUIRED FOR CERTAIN APPLICANTS FOR EMPLOYMENT. (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	V 133		

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V 133	Continued From page 8 Chapter. (b) Requirement. - An offer of employment by a provider licensed under this Chapter to an applicant to fill a position that does not require the applicant to have an occupational license is conditioned on consent to a State and national criminal history record check of the applicant. If the applicant has been a resident of this State for less than five years, then the offer of employment is conditioned on consent to a State and national criminal history record check of the applicant. The national criminal history record check shall include a check of the applicant's fingerprints. If the applicant has been a resident of this State for five years or more, then the offer is conditioned on consent to a State criminal history record check of the applicant. A provider shall not employ an applicant who refuses to consent to a criminal history record check required by this section. Except as otherwise provided in this subsection, within five business days of making the conditional offer of employment, a provider shall submit a request to the Department of Justice under G.S. 114-19.10 to conduct a criminal history record check required by this section or shall submit a request to a private entity to conduct a State criminal history record check required by this section. Notwithstanding G.S. 114-19.10, the Department of Justice shall return the results of national criminal history 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	V 133		

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of the applicant. In no case shall the results of the national criminal history record check be shared with the provider. Providers shall make available upon request verification that a criminal history check has been completed on any staff covered by this section. A county that has adopted an appropriate local ordinance and has access to the Division of Criminal Information data bank may conduct on behalf of a provider a State criminal history record check required by this section without the provider having to submit a request to the Department of Justice. In such a case, the county shall commence with the State criminal history record check required by this section within five business days of the conditional offer of employment by the provider. All criminal history information received by the provider is confidential and may not be disclosed, except to the applicant as provided in subsection (c) of this section. For purposes of this subsection, the term "private entity" means a business regularly engaged in conducting criminal history record checks utilizing public records obtained from a State agency.

(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:

(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,

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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.
The fact of conviction of a relevant offense alone shall not be a bar to employment; however, the listed factors shall be considered by the provider. If the provider disqualifies an applicant after consideration of the relevant factors, then the provider may disclose information contained in the criminal history record check that is relevant to the disqualification, but may not provide a copy of the criminal history record check to the applicant.
(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:
(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.
(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.
(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

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V 133	Continued From page 11 Sex Offenses; Article 8, Assaults; Article 10, Kidnapping and Abduction; Article 13, Malicious Injury or Damage by Use of Explosive or Incendiary Device or Material; Article 14, Burglary and Other Housebreakings; Article 15, Arson and Other Burnings; Article 16, Larceny; Article 17, Robbery; Article 18, Embezzlement; Article 19, False Pretenses and Cheats; Article 19A, Obtaining Property or Services by False or Fraudulent Use of Credit Device or Other Means; Article 19B, Financial Transaction Card Crime Act; Article 20, Frauds; Article 21, Forgery; Article 26, Offenses Against Public Morality and Decency; Article 26A, Adult Establishments; Article 27, Prostitution; Article 28, Perjury; Article 29, Bribery; Article 31, Misconduct in Public Office; Article 35, Offenses Against the Public Peace; Article 36A, Riots and Civil Disorders; Article 39, Protection of Minors; Article 40, Protection of the Family; Article 59, Public Intoxication; and Article 60, Computer-Related Crime. These crimes also include possession or sale of drugs in violation of the North Carolina Controlled Substances Act, Article 5 of Chapter 90 of the General Statutes, and alcohol-related offenses such as sale to underage persons in violation of G.S. 18B-302 or driving while impaired in violation of G.S. 20-138.1 through G.S. 20-138.5. (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. (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	V 133		

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NOA HUMAN SERVICES, INC	4328 STOKESDALE AVENUE WINSTON SALEM, NC 27101

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V 133	Continued From page 12 following requirements are met: (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. (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.) This Rule is not met as evidenced by: Based on records review the facility failed to request a criminal background check prior to hire for 1 of 3 staff (Staff #1). The findings are: Review on 6/26/19 of Staff #1's record revealed: -Date of Hire: 6/1/19 -No documentation of Staff #1's criminal background check. Interview on 6/26/19 with the Qualified Professional revealed: -The check was ran and should be in the file.	V 133	The administrator will ensure that the hiring Staff Conducts all background Checks prior to Staff Starting work and evidence of Check filled. 6/26/19.	