

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: mhl018-050	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED R 08/14/2019
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NAME OF PROVIDER OR SUPPLIER VOCA-8TH AVENUE	STREET ADDRESS, CITY, STATE, ZIP CODE 212 8TH AVENUE N W HICKORY, NC 28601
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V 000	<p>INITIAL COMMENTS</p> <p>An annual, complaint and follow up survey was completed on 8/14/19. The complaint was unsubstantiated (Intake #NC00154053). Deficiencies were cited.</p> <p>This facility is licensed for the following service category: 10A NCAC 27G .5600C Supervised Living for Individuals of all disability groups/Intellectual Developmental Disabilities.</p>	V 000		
V 108	<p>27G .0202 (F-I) Personnel Requirements</p> <p>10A NCAC 27G .0202 PERSONNEL REQUIREMENTS</p> <p>(f) Continuing education shall be documented.</p> <p>(g) Employee training programs shall be provided and, at a minimum, shall consist of the following:</p> <p>(1) general organizational orientation;</p> <p>(2) training on client rights and confidentiality as delineated in 10A NCAC 27C, 27D, 27E, 27F and 10A NCAC 26B;</p> <p>(3) training to meet the mh/dd/sa needs of the client as specified in the treatment/habilitation plan; and</p> <p>(4) training in infectious diseases and bloodborne pathogens.</p> <p>(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.</p> <p>(i) The governing body shall develop and</p>	V 108		

Division of Health Service Regulation LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE	TITLE	(X6) DATE
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V 108	<p>Continued From page 1</p> <p>implement policies and procedures for identifying, reporting, investigating and controlling infectious and communicable diseases of personnel and clients.</p> <p>This Rule is not met as evidenced by: Based on record review and interview the facility failed to ensure each employee received training to meet the needs of the client for mental health and intellectual development disabilities as specified in the treatment plan for 1 of 3 staff audited (Staff #2). The findings are:</p> <p>Review on 8/8/19 of the personnel record for Staff #2 revealed: -Hire date of 2/22/19 as direct support staff. -No training on client specifics based on the treatment plan for Client's 1-3.</p> <p>Interview on 8/12/19 with the Program Manger revealed: -The Former Qualified Professional could not locate the client specific training for Staff #2. -The client specific training was completed on 8/13/19.</p>	V 108		
V 118	<p>27G .0209 (C) Medication Requirements</p> <p>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.</p>	V 118		

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V 118	<p>Continued From page 2</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 privileged to prepare and administer medications.</p> <p>(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 interview, and record review the facility failed to maintain the MAR current and ensure prescription drugs were administered as ordered by the physician for 2 of 3 audited clients (#2, #3). The findings are:</p> <p>Review on 8/7/19 of the record for Client #2 revealed: -Admission date of 10/31/91 with diagnoses of Moderate Intellectual Development Disability, Obsessive Control Disorder, Dementia with</p>	V 118		

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V 118	<p>Continued From page 3</p> <p>Behavioral Disturbance, Neuroleptic Induced Parkinson, Schizoaffective Disorder-unspecified and Hypercholesterolemia. -Physician order dated 5/9/19 for Olanzapine 15mg ½ tablet in the morning and 1 ½ tablets at night.</p> <p>Review on 8/7/19 of the record for Client #3 revealed: -Admission date of 6/29/19. -Diagnoses of Mild Intellectual Developmental Disability, Bipolar Disorder, Attention Deficit Hyperactivity Disorder, Mood Disorder, Seizure Disorder, Hearing Loss, Chronic Obstructive Pulmonary Disease, Hypertension, Asthma and Chronic Obtrusive Reflux with Esophagitis.</p> <p>Review on 8/7/19 of the physician orders for Client #3 included: -Aripiprazole 30mg ½ tablet 2 times daily. -Buspirone 10mg 1 tablet 3 times daily. -Cetirizine 10mg 1 tablet at bedtime. -Citrucel Powder, mix 1 tablespoon in 8 ounces of water 2 times daily. -Omeprazole DR 20mg 1 capsule 2 times daily. -Oxcarbazepine 300mg 1 tablet 3 times daily. -Symbicort HFA Inhaler 160/4.5mcg, inhale 2 puffs 2 times daily.</p> <p>Review on 8/7/19 of the May - August MAR 2019 for Client #2 revealed: -The 8am and 8pm dose of Olanzapine were not administered on 8/1/19. -The 8am dose of Olanzapine was not administered on 8/2/19. -The documentation on the back of the August 2019 indicated the medication had not arrived.</p> <p>Review on 8/7/19 of the May-August MAR 2019 for Client #3 revealed:</p>	V 118		

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V 118	<p>Continued From page 4</p> <p>-No documentation of the 8pm dose being administered on 8/1/19 for the following medications: Aripiprazole, Buspirone, Cetirizine, Citrucel, Omeprazole, Oxcarbazepine or Symbicort.</p> <p>Interview on 8/8/19 with Client #3 revealed: -No concerns regarding medications. -He always received his medications and could not recall missing any medications.</p> <p>Interview on 8/8/19 and 8/12/19 with the Clinical Director revealed: -The staff who checked in the monthly medications did not realize the Olanzapine was not included in the monthly refill order. -The Olanzapine for Client #2 did not arrive at the facility until 8/2/19. -The medications for Client #3 were administered but not documented, it was possibly a problem with the electronic MAR.</p> <p>This deficiency constitutes a re-cited deficiency and must be corrected within 30 days.</p>	V 118		
V 123	<p>27G .0209 (H) Medication Requirements</p> <p>10A NCAC 27G .0209 MEDICATION REQUIREMENTS (h) Medication errors. Drug administration errors and significant adverse drug reactions shall be reported immediately to a physician or pharmacist. An entry of the drug administered and the drug reaction shall be properly recorded in the drug record. A client's refusal of a drug shall be charted.</p>	V 123		

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V 123	<p>Continued From page 5</p> <p>This Rule is not met as evidenced by: Based on record review and interview the facility failed to notify a pharmacist or physician immediately of medication errors for 1 of 3 audited clients (#2). The findings are:</p> <p>Review on 8/7/19 of the record for Client #2 revealed: -Admission date of 10/31/91 with diagnoses of Moderate Intellectual Development Disability, Obsessive Control Disorder, Dementia with Behavioral Disturbance, Neuroleptic Induced Parkinson, Schizoaffective Disorder-unspecified and Hypercholesterolemia. -Physician order dated 5/9/19 for Olanzapine 15mg ½ tablet in the morning and 1.5 at night.</p> <p>Review on 8/7/19 of the May - August MAR 2019 for Client #2 revealed: -The 8am and 8pm dose of Olanzapine were not administered on 8/1/19. -The 8am dose of Olanzapine was not administered on 8/2/19. -The documentation on the back of the August 2019 indicated the medication had not arrived.</p> <p>Interview on 8/8/19 and 8/12/19 with the Clinical Director revealed: -The staff who checked in the monthly medications did not realize the Olanzapine was not included in the monthly refill order. -The Olanzapine for Client #2 did not arrive at the facility until 8/2/19. -The staff should have completed a medication error report. -The pharmacist or physician were not notified of</p>	V 123		

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V 123	Continued From page 6 the missed medication.	V 123		
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 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	V 133		

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V 133	<p>Continued From page 7</p> <p>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 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</p>	V 133		
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V 133	<p>Continued From page 8</p> <p>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 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> <ol style="list-style-type: none"> (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. <p>(e) Relevant Offense. - As used in this section, "relevant offense" means a county, state, or</p>	V 133		

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V 133	Continued From page 9 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, 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	V 133		

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V 133	<p>Continued From page 10</p> <p>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> <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 staff audited (Staff #1). The findings are:</p> <p>Review on 8/8/19 of the personnel record for Staff #1 revealed:</p>	V 133		

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V 133	<p>Continued From page 11</p> <ul style="list-style-type: none"> -Hire date of 2/27/19 as direct support staff. -A resident of the state for less than 5 years. -Background check dated 9/20/18 did not include fingerprints. <p>Interview on 8/12/19 with the Program Manager revealed:</p> <ul style="list-style-type: none"> -The fingerprints were an oversight when the background check was completed. -The fingerprints were submitted during the survey. 	V 133		