

DEPARTMENT OF HEALTH AND HUMAN SERVICES
CENTERS FOR MEDICARE & MEDICAID SERVICES

PRINTED: 05/28/2019
FORM APPROVED
OMB NO. 0938-0391

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 34G228	(X2) MULTIPLE CONSTRUCTION A. BUILDING _____ B. WING _____		(X3) DATE SURVEY COMPLETED C 05/16/2019
NAME OF PROVIDER OR SUPPLIER VOCA-CREEKWAY			STREET ADDRESS, CITY, STATE, ZIP CODE 424 CREEKWAY DRIVE FUQUAY VARINA, NC 27526		
(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)	(X5) COMPLETION DATE	
W 140	<p>CLIENT FINANCES CFR(s): 483.420(b)(1)(i)</p> <p>The facility must establish and maintain a system that assures a full and complete accounting of clients' personal funds entrusted to the facility on behalf of clients.</p> <p>This STANDARD is not met as evidenced by: Based on interviews and record reviews, facility failed to establish and maintain a system to ensure a full and complete accounting of personal funds relative to money for 1 of 1 sampled clients (#4) as evidenced by interviews and review of records. The finding is:</p> <p>Client #4 's personal funds were not completely reconciled.</p> <p>Review on 5/16/19 of client #4's "Resident Statement Landscape" dated 5/16/19 revealed that a large deposit from Social Security Administration was deposited into client #4's account on 9/13/18.</p> <p>Further review on 5/16/19 of the "Resident Statement Landscape" revealed the following:</p> <p>1. On 3/7/19, the home manager (HM) made a request to the business office to withdraw \$4,000 from client 4's financial account to purchase a television and personal items for the client. On 4/9/19, the HM submitted to the business office manager a "NDC Special Request Tracking Form" that itemized purchases from the \$4,000 check.</p> <p>a. On 3/27/19, \$80.00 was spent on laundry. The receipt lacked details on how the money was</p>	W 140	<p>All money and items purchased (totaling \$25,000) for Client #4 are accounted for. At the time of the survey, some receipts had not been processed by the Business Manager due to when they were turned in. Since then, those receipts have been processed by the Business Manager and show that all money requested was spent and any leftover money was turned back into the Business Manager.</p> <p>This deficiency will be corrected by the following actions:</p> <p>A.) The Business Manager will monitor consumer accounts and provide documentation to the Program Managers and Executive Director for review purposes monthly. Copies of statements for each consumer will also be kept at the group homes and provided to parents/guardians.</p> <p>B.) All Home Managers were provided training on May 22, 2019 dealing with the process and procedure for managing consumer funds to include petty cash and special requests for funds. The Home Managers were also provided with clear instructions on what day of the week any requests for funds should be made on and when any checks from those requests will be available to pick up. Lastly, the importance of turning in receipts on time was stressed in this training.</p>	6/14/2019	

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

TITLE

(X8) DATE

Any deficiency statement ending with an asterisk (*) denotes a deficiency which the institution may be excused from correcting providing it is determined that other safeguards provide sufficient protection to the patients. (See instructions.) Except for nursing homes, the findings stated above are disclosable 90 days following the date of survey whether or not a plan of correction is provided. For nursing homes, the above findings and plans of correction are disclosable 14 days following the date these documents are made available to the facility. If deficiencies are cited, an approved plan of correction is requisite to continued program participation.

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W 140	<p>Continued From page 1</p> <p>spent on laundry.</p> <p>b. On 3/29/19, \$80.00 was spent on laundry. The receipt lacked details on how the money was spent on laundry.</p> <p>c. On 3/31/19, \$80.00 was spent on laundry. The receipt lacked details on how the money was spent on laundry.</p> <p>d. On 3/31/19, \$1,996.03 was spent for new washer and dryer, hauling fees and installation parts.</p> <p>e. On 4/2/19, \$550.00 was used as a deposit for photography.</p> <p>f. On 4/4/19, \$100.00 was spent at bowling alley; no details were attached.</p> <p>g. On 4/8/19, \$965.18 was spent at electronics store for 6 kid-proof 10" tablets.</p> <p>h. On 4/8/19, \$178.47 was spent at clothing store.</p> <p>Total Cost = \$3999.68</p> <p>2. On 4/9/19, the HM made a request to the business office to withdraw \$10,000 from client #4's financial account in order to spend down account. The money would go towards furniture, clothes, televisions and vacations. On 4/22/19, the HM submitted to the business office manager a "NDC Special Request Tracking Form that itemized purchases from the \$10,000 check.</p> <p>a. On 4/16/19, \$100.00 was spent at restaurant to purchase five meals. The receipt lacked details on who the meals were spent on.</p> <p>b. On 4/16/19, \$100.00 was spent on 13 items at unknown store; the receipt lacked details.</p> <p>c. On 4/19/19, \$40.60 was spent at fast food restaurant on 4 combo meals; the receipt lacked details on who the meals were spent on.</p> <p>d. On 4/19/19, \$7,518.73 was spent at an electronics store on two televisions, 55" and 65"</p>	W 140	<p>C.) Home Manager and/or Clinical Supervisor will ensure that guardians sign off on any special spending requests prior to the funds being requested from the Business Manager.</p> <p>D.) Community Alternatives NC has also instituted a new requirement in which two Program Managers are required to sign off on any requests for consumer funds.</p>	6/14/2019	

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W 140	<p>Continued From page 2</p> <p>along with wall mount equipment and extended warranties.</p> <p>e. On 4/19/19, \$1,295.40 was spent at an electronics store on electronic equipment, accessories and earphones.</p> <p>f. On 4/20/19, \$440.00 was spent at unknown location on clothes.</p> <p>g. On 4/20/19, \$464.15 was spent at clothing store.</p> <p>Total Cost = \$9,958.88</p> <p>3. On 4/17/19, the HM made a request to the business office to withdraw \$15,000.00 from client #4's financial account to buy furniture, clothes, television and vacations. On 5/16/19, the HM submitted receipts for purchases to the business office manager.</p> <p>a. On 4/23/19, \$600.86 was spent at clothing store.</p> <p>b. On 4/24/19, \$552.06 was spent at shoes store.</p> <p>c. On 4/24/19, \$974.45 was spent at an electronics store on 2 cameras, DVD player, a tablet, and three extended warranties.</p> <p>d. On 4/25/19, \$285.09 was spent at clothing store.</p> <p>e. On 4/26/19, \$463.98 was spent on leasing a vehicle for 3 days.</p> <p>f. On 4/26/19, \$17.52 was spent at fast food restaurant on 2 meals.</p> <p>g. On 4/27/19, \$45.00 was spent at gas station.</p> <p>h. Between 4/26/19 and 4/28/19, \$2,467.88 was spent at water park resort, plus \$100.00 on paw points, at the arcade, \$15.00 spent on a kiosk card and \$44.93 on 2 insulated totes.</p> <p>i. On 4/29/19, \$6001.55 was spent at an electronics store on a 55" television, plus</p>	W 140			

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W 140	<p>Continued From page 3</p> <p>mounting equipment and 5 year warranty.</p> <p>j. On 4/29/19, \$9.19 was spent at fast food for a meal.</p> <p>k. On 4/30/19, \$40.00 was spent at gas station.</p> <p>l. On 5/13/19, \$1,453.24 was spent at a medical supply store on a full electric hospital bed, multi-layer mattress and \$19.20 was spent on furniture protection pad.</p> <p>Total costs: \$11,841.17</p> <p>No receipts were provided to account for a cash balance of \$3,200.27.</p> <p>During an interview with client #4's guardian on 5/16/19, he revealed he had a meeting with the facility in March 2019 to discuss the money client #4 had received from social security. The guardian requested that no money be spent until he went to the local social security office. The guardian added that he does not control client #4 money, but wanted to ensure there was no fraud involved with the spending. The guardian expressed that he learned that \$15,000 had been requested for a vacation for client #4 which raised his concerns about how that amount could be spent on a vacation at a water park resort. When asked if he was happy about that amount of money being spent at the water park resort he stated he has been there and there is no way that amount could be spent by just two people. Further interview revealed the guardian received monthly statements which details client #4 money transactions. The guardian revealed another \$10,000 was taken out for petty cash, but does not know where that money went. During the meeting in March 2019 the guardian only agreed to the purchase of the washing machine and dryer for the home, an upgrade to client #4's</p>	W 140			

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W 140	<p>Continued From page 4</p> <p>pre-need arrangements, an iPad only for client #4, clothes, a new bed and shoes for client #4, nothing else. Also during the March meeting guardian had requested all receipts on how the money was being spent. Additional interview revealed the guardian was not aware of the two flat screen televisions in the home and tablets for client #4's peers who reside in the home had been purchased. Currently, the guardian is not happy with the way client #4's money has been spent; he does not think the facility is being transparent enough. He further stated that the spend down is not "sitting right with him"; he would like to know how client #4's money is being spent and who is making those decisions.</p> <p>Interview with the HM on 5/16/19 at 8:08am confirmed that she was coordinating spending down client #4's inherited survivor benefits before the 6/30/19 deadline in order for client to remain Medicaid eligible. The HM had purchased electronic equipment, appliances, clothing, shoes, and took client on a vacation last month to the water park resort. The HM stated that client #4 communicates by gestures and pointing to items that she wanted. The guardian had reportedly approved of other clients in the home sharing the washer and dryer units with client #4.</p> <p>Interview with the qualified intellectual disability professional (QIDP) on 5/16/19 at 8:45am revealed that at a meeting in March, 2019 with the legal guardian of client #4, the guardian expressed concerns about how the money would be spent and did not want it spent on other clients, such as on clothes. The QIDP also shared that he was aware that the HM went on the vacation with client #4. Staff were not required to accompany clients on trips however client #4</p>	W 140			

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W 140	<p>Continued From page 5</p> <p>did need 1:1 staff assistance. The QIDP was not sure if all the expenses paid by client #4 on the water park resort trip, which included the HM's expenses could be conveyed as gift purchases. The QIDP believed the company had a zero tolerance policy for staff receiving gifts for clients.</p> <p>Interview with the business office manager (BOM) on 5/16/19 at 10:30am revealed client #4 received \$76,485.58 from Social Security Administration on 9/13/18. The BOM shared that any funds requests for over \$100 had to be approved by their Executive Director. The check was released to the HM after every request. The BOM said that the HM "Must account for any penny received, any leftover funds would be redeposit into the account." The BOM was currently waiting for the HM to bring in receipts for the \$15,000.00 check. The deadline to submit the receipts were on 5/15/19 but she was expecting the receipts today.</p> <p>Interview with the HM on 5/16/19 at 3:45pm revealed that client #4 sometimes would treat the other clients in the homes to meals and bowling. The HM believed the two unmarked receipts were for shopping trips at two clothing stores. The HM stated that the home did not have working washer and dryer in March, 2019 so staff had to take the client's clothes to the laundromat. Client #4 spent \$240 at the laundromat between 3/27/19 to 3/31/19. The HM stated that client #4 needed to have clothing changed often due to incontinence. The HM did not know which laundromat was used or the costs for services, since she assumed that laundromats were unable to furnish receipts. Client #4's new inventory was reviewed with HM during the interview. HM could not account for one of the insulated tote bags and never received</p>	W 140			

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W 140	<p>Continued From page 6</p> <p>any pictures from the photographer from the 4/13/19 photo session. Also missing was a \$149 tablet that HM did not remember buying but acknowledged it was scanned on the electronics store receipt. HM commented that she would be responsible for reimbursing client #4 for any new merchandise purchased that she does not have in her possession. HM was also asked if she had redeposit any unspent money and stated that if leftover money was available after a transaction, it was rolled over to make additional purchases. HM commented that all of the money that she had received had been spent.</p> <p>Interview with the Program Director (PD) on 5/16/19 at 3:30pm revealed that he was not familiar with their policy on gifts or if the client should have paid for the HM to accompany client. The PD stated "In the event the client does not pay for employee to accompany them on trip, they would cut a check to her (client #4) account. The PD found their Human Resources Policy and Practice Manual, dated 3/1/2001, where Policy 6.15 on Gratuities stated that "ResCare (facility) prohibits acceptance of gratuities, in the form of gifts and/or money, from the individuals we serve, family members/guardians, or vendors. Gifts and/or money are to be returned with an explanation that ResCare's policy does not permit acceptance."</p>	W 140			