

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>MHL026-964</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING: _____	(X3) DATE SURVEY COMPLETED  <b>R</b> <b>12/10/2019</b>
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NAME OF PROVIDER OR SUPPLIER  <b>COLLEGE LAKES</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>5104 FLATROCK DRIVE FAYETTEVILLE, NC 28311</b>
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V 000	<p><b>INITIAL COMMENTS</b></p> <p>An annual and follow up survey was completed on December 10, 2019. Deficiencies were cited.</p> <p>This facility is licensed for the following service category: 10A NCAC 27G .5600C Supervised Living for Adults with Developmental Disabilities.</p>	V 000		
V 118	<p><b>27G .0209 (C) Medication Requirements</b></p> <p><b>10A NCAC 27G .0209 MEDICATION REQUIREMENTS</b></p> <p>(c) Medication administration:</p> <p>(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> <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> <p>(A) client's name;</p> <p>(B) name, strength, and quantity of the drug;</p> <p>(C) instructions for administering the drug;</p> <p>(D) date and time the drug is administered; and</p> <p>(E) name or initials of person administering the drug.</p> <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>	V 118	<p style="text-align: center;"><b>DHSR - Mental Health</b></p> <p style="text-align: center;"><b>JAN 6 2020</b></p> <p style="text-align: center;"><b>Lic. &amp; Cert. Section</b></p>	

Division of Health Service Regulation

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

*[Handwritten Signature]* TITLE *[Handwritten Initials]*

(X6) DATE *12/30/19*

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V 118	<p>Continued From page 1</p> <p>This Rule is not met as evidenced by: Based on record reviews and interview, the facility failed to ensure medications were administered as ordered and maintain a current MAR affecting 3 of 3 clients audited (clients #1, #2, #4). The findings are:</p> <p>Finding #1: Review on 12/6/19 and 12/10/19 of client #2's record revealed: -27 year old male admitted 6/26/06. -Diagnoses included autism, moderate intellectual developmental disorder, intermittent explosive disorder. -Order dated 9/10/19 for Zoloft 50 mg (milligrams) daily (Used to treat depression, panic attacks, obsessive compulsive disorder, post-traumatic stress disorder, social anxiety.) -Order dated 10/17/19 for Zoloft 100 mg daily. -Order dated 10/17/19 for Latuda 20 mg at bedtime. (Used to treat certain mental/mood disorders i.e. schizophrenia, depression associated with bipolar disorder.) -Order dated 10/7/19 for Levetiracetam 250 mg, 4 tablets every morning and 3 tablets at bedtime. (Used to treat seizures.)</p> <p>Review of client #2's October and November 2019 MARs revealed: -The 10/17/19 order to increase Zoloft from 50 mg to 100 mg had not been transcribed to the October 2019 MAR. -Zoloft 50 mg was documented daily from 10/18/19 - 10/31/19 at 8 am. -Latuda 20 mg at bedtime had not been</p>	V 118		
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V 118	<p>Continued From page 2</p> <p>documented as administered on 11/19/19. -Levetiracetam 250 mg, 4 tablets, had not been documented as administered at 8 am on 11/29/19.</p> <p>Finding #2: Review on 12/6/19 and 12/10/19 of client #1's record revealed: -28 year old male admitted 2006. -Diagnoses included autistic disorder, severe intellectual developmental disorder, attention deficit hyperactive disorder (ADHD). -Order dated 7/29/19 for Zoloft 50 mg, 1½ tabs in the morning.</p> <p>Review on 12/6/19 and 12/10/19 of client #1's September 2019 MAR revealed: -Sertraline (Zoloft) 50 mg, 1 ½ tabs in the morning had been transcribed electronically and by a hand written entry and scheduled to be administered at 8 am. -Sertraline 50 mg, 1½ tabs, had been documented as given twice daily from 9/1/19 - 9/30/19 at 8 am.</p> <p>Finding #3: Review on 12/6/19 and 12/10/19 of client #4's record revealed: -24 year old male admitted 3/9/06. -Diagnoses included autism, moderate intellectual developmental disorder, seizure disorder, hyperactivity, citrullinemia. -Order dated 10/31/19 for Oxcarbazepine, 300 mg/ml (milliliter), 19 ml's twice daily. (Used to treat seizures.)</p> <p>Review on 12/6/19 of client #4's December 2019 MAR revealed: -Oxcarbazepine, 300 mg/ml (milliliter), 19 ml's twice daily had been transcribed electronically</p>	V 118		

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V 118	<p>Continued From page 3</p> <p>and by a hand written entry and scheduled to be administered at 7 am and 7 pm. -Oxcarbazepine 19 ml's had been documented as given twice daily from 12/1/19 - 12/6/19 (7 am dose).</p> <p>Interviews on 12/6/19 and 12/10/19 the Qualified Professional stated: -The duplicate entries for clients #1 and #4 were transcription errors. She did not believe it was possible the clients had received duplicate dosing. -There was no documentation to indicate client #2's Zoloft dosage had changed before 11/1/19.</p> <p>Due to the failure to accurately document medication administration it could not be determined if clients received their medications as ordered by the physician.</p>	V 118		
V 131	<p><b>G.S. 131E-256 (D2) HCPR - Prior Employment Verification</b></p> <p>G.S. §131E-256 HEALTH CARE PERSONNEL REGISTRY (d2) Before hiring health care personnel into a health care facility or service, every employer at a health care facility shall access the Health Care Personnel Registry and shall note each incident of access in the appropriate business files.</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews, the</p>	V 131		

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V 131	<p>Continued From page 4</p> <p>facility failed to document accessing the Health Care Personnel Registry (HCPR) prior to hiring 1 of 3 audited staff (Staff #1). The findings are:</p> <p>Review on 12/6/19 and 12/10/19 of Staff #1's record revealed:</p> <ul style="list-style-type: none"> <li>-Most recent hire date was 10/26/19.</li> <li>-Prior hire date of 4/2/18.</li> <li>-Resignation letter dated 7/29/19.</li> <li>-Division of Employment Security form documented Staff #1 resigned and agreed to work a 2 week notice. He was posted during this time but failed to work, so his last day of employment was 7/27/19.</li> <li>-No HCPR check documented between a 2 week notice period from his resignation letter dated 7/29/19 and his hire date of 10/26/19.</li> </ul> <p>Interview on 12/10/19 the Qualified Professional stated:</p> <ul style="list-style-type: none"> <li>-According to the facility policy, the HCPR check did not have to be repeated if an employee was re-hired within 60 days of termination.</li> <li>-They had not done a HCPR check for Staff #1 when he had been rehired on 10/26/19.</li> </ul>	V 131		
V 133	<p><b>G.S. 122C-80 Criminal History Record Check</b></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</p>	V 133		

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V 133	<p>Continued From page 5</p> <p>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 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</p>	V 133		
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V 133	<p>Continued From page 6</p> <p>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 of the following factors in determining whether to hire the applicant:</p> <ol style="list-style-type: none"> <li>(1) The level and seriousness of the crime.</li> <li>(2) The date of the crime.</li> <li>(3) The age of the person at the time of the conviction.</li> <li>(4) The circumstances surrounding the commission of the crime, if known.</li> <li>(5) The nexus between the criminal conduct of the person and the job duties of the position to be filled.</li> <li>(6) The prison, jail, probation, parole, rehabilitation, and employment records of the person since the date the crime was committed.</li> <li>(7) The subsequent commission by the person of</li> </ol>	V 133		

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V 133	<p>Continued From page 7</p> <p>a relevant offense.</p> <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> <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</p>	V 133		



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V 133	<p>Continued From page 8</p> <p>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.</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</p>	V 133		

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V 133	<p>Continued From page 9</p> <p>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.)</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews the facility failed to complete criminal history record checks within five days of conditional offer of employment for 1 of 3 staff audited (Staff #1). The findings are:</p> <p>Review on 12/6/19 and 12/10/19 of Staff #1's record revealed: -Most recent hire date was 10/26/19. -Prior hire date of 4/2/18. -Resignation letter dated 7/29/19. -Division of Employment Security form documented Staff #1 resigned and agreed to work a 2 week notice. He was posted during this time but failed to work, so his last day of employment was 7/27/19. -No criminal background consent or check documented between his last day of employment and his hire date of 10/26/19.</p> <p>Interview on 12/10/19 the Qualified Professional stated: -According to the facility policy, the criminal background check did not have to be repeated if</p>	V 133		

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V 133	Continued From page 10  an employee was re-hired within 60 days of termination. -They had not done a criminal background check for Staff #1 when he had been rehired on 10/26/19.	V 133		
V 540	<p><b>27F .0103 Client Rights - Health, Hygiene And Grooming</b></p> <p>10A NCAC 27F .0103 HEALTH, HYGIENE AND GROOMING</p> <p>(a) Each client shall be assured the right to dignity, privacy and humane care in the provision of personal health, hygiene and grooming care. Such rights shall include, but need not be limited to the:</p> <ol style="list-style-type: none"> <li>(1) opportunity for a shower or tub bath daily, or more often as needed;</li> <li>(2) opportunity to shave at least daily;</li> <li>(3) opportunity to obtain the services of a barber or a beautician; and</li> <li>(4) provision of linens and towels, toilet paper and soap for each client and other individual personal hygiene articles for each indigent client. Such other articles include but are not limited to toothpaste, toothbrush, sanitary napkins, tampons, shaving cream and shaving utensil.</li> </ol> <p>(b) Bathtubs or showers and toilets which ensure individual privacy shall be available.</p> <p>(c) Adequate toilets, lavatory and bath facilities equipped for use by a client with a mobility impairment shall be available.</p> <p> </p> <p>This Rule is not met as evidenced by: Based on record review, observation, and interviews, the facility failed to assure the right to</p>	V 540		

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V 540	<p>Continued From page 11</p> <p>dignity in the provision of hygiene and grooming care, and the provision of linens and towels for 1 of 3 audited clients (#4). The findings are:</p> <p>Observations on 12/6/19 at approximately 9:00 am revealed:</p> <ul style="list-style-type: none"> <li>-Client #4 walked with an unsteady gait to the kitchen for a snack. The client's pants were visibly wet.</li> <li>-Client #4 sat at the kitchen table and ate a pudding cup with his hands.</li> <li>-Following his snack, Staff #1 assisted client #4 to the shower in the bath/laundry room.</li> <li>-Staff #1 left the client in the shower to go search for a towel. Staff #1 looked inside the linen closet outside of client #4's bedroom and re-entered client #4's bedroom.</li> <li>-Before Staff #1 returned to the bath/laundry room, client #4 walked from the shower into the family/dining room wearing no clothing. He was visibly dripping wet. The other 3 clients and surveyor were in the family/dining room area.</li> <li>-The surveyor notified Staff #1 and he came from the client #4's bedroom and escorted him to his room. The staff had no towel to provide the client.</li> <li>-Staff #1 left the client in the bedroom and returned to the bath/laundry room. When he returned to the client's bedroom, he still had no towel.</li> </ul> <p>Observations on 12/6/19 at 9:45 am revealed:</p> <ul style="list-style-type: none"> <li>-The shower door in the bath/laundry room was broken and unsteady. (See V736 for additional details.)</li> <li>-There were no towels in the linen closet.</li> <li>-The Qualified Professional looked in the client's room and could not find any towels.</li> </ul> <p>Interview on 12/6/19 Staff #1 stated:</p>	V 540		

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>MHL026-964</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING _____	(X3) DATE SURVEY COMPLETED  <b>R</b> <b>12/10/2019</b>
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NAME OF PROVIDER OR SUPPLIER  <b>COLLEGE LAKES</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>5104 FLATROCK DRIVE FAYETTEVILLE, NC 28311</b>
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V 540	<p>Continued From page 12</p> <ul style="list-style-type: none"> <li>-Client #4 needed more care than the other clients. Client #4 could not dress himself.</li> <li>-Client #4 had wet himself.</li> </ul> <p>Interview on 12/6/19 the Qualified Professional stated:</p> <ul style="list-style-type: none"> <li>-She was aware of the unstable condition of the shower door in the bath/laundry room. Staff had been instructed to not use this shower.</li> <li>-The facility provided linen for the clients.</li> <li>-The towels were stored in the client bedrooms.</li> <li>-Client #4 required his laundry to be washed often. He may not have had towels in his room because they were in the laundry.</li> <li>-If there were no towels available in a client room or linen closet, the staff could find additional linen in another client bedroom.</li> </ul>	V 540		
V 736	<p><b>27G .0303(c) Facility and Grounds Maintenance</b></p> <p><b>10A NCAC 27G .0303 LOCATION AND EXTERIOR REQUIREMENTS</b></p> <p>(c) Each facility and its grounds shall be maintained in a safe, clean, attractive and orderly manner and shall be kept free from offensive odor.</p> <p>This Rule is not met as evidenced by: Based on observation and interview, the facility was not maintained in a safe, clean, attractive and orderly manner. The findings are:</p> <p>Observations on 12/6/19 at 9:45 am revealed:</p> <ul style="list-style-type: none"> <li>-Glass in top of the storm door leading to back yard had been broken. Sharp edges of remaining shards of glass extended around the frame of the</li> </ul>	V 736		

Division of Health Service Regulation

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NAME OF PROVIDER OR SUPPLIER  <b>COLLEGE LAKES</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>5104 FLATROCK DRIVE FAYETTEVILLE, NC 28311</b>
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V 736	<p>Continued From page 13</p> <p>broken window.</p> <ul style="list-style-type: none"> <li>-Back storm door handle was missing. A string had been tied to the storm door and was pulled through the crack between the metal door and door frame to the interior of the home. A screw was protruding from the interior of the door facing at the level of the storm door missing handle.</li> <li>-A fist sized dent with dark brown smear present on the metal door leading to the back yard.</li> <li>-Shower inside the combination bathroom/laundry room: shower door frame and glass panel separated and unstable. Gap between door frame and glass more than an inch at top. When opened, glass was very loose and wobbly.</li> <li>-Hole in the wall below with back window in family room approximately 12 by 5 inches in size.</li> <li>-Large cracks in upper panels of client #2's bed room door.</li> <li>-Kitchen: Missing drawer in base cabinet near stove. Lazy Susan shelving stained dark brown/rust color.</li> <li>-Square hole in wall approximately 12 by 12 inches in dining area.</li> <li>-1 light bulb missing over sink in client #3's bathroom.</li> <li>-Hole in wall behind the door in hall bathroom.</li> <li>-Sofa in family room had dark gray stains and torn upholstery.</li> </ul> <p>Observations on 12/6/19 at approximately 9:00 am revealed Staff #1 assisted client #4 to take a shower in the bath/laundry room shower. Staff #1 left the client in the shower to go search for a towel. Client #4 exited the shower when Staff #1 was searching his bedroom for linen.</p> <p>Interview on 12/6/19 the Qualified Professional stated:</p> <ul style="list-style-type: none"> <li>-She was aware of the unstable condition of the shower door in the bath/laundry room.</li> </ul>	V 736		

Division of Health Service Regulation

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V 736	<p>Continued From page 14</p> <p>-Staff had been instructed to not use this shower. -She was not sure why there was a hole in the wall in the dining area.</p> <p>This deficiency has been cited 2 times since the original cite on 9/6/18 and must be corrected within 30 days.</p>	V 736		

Findings	Corrective Actions	Preventive Measurements	Responsible Party	Time Frame
10A NCAC 27G .0209 Medication Requirements	Documentation was shown proven at the time of the survey that medication had been and being completed correctly. No medication was being given more than prescribed	A check of the MAR will be conducted upon every shift exchange to verify that all medications were given and were documented correctly. Lead Staff will complete a weekly check of MAR and will make sure all meds listed on new month MAR sheets are correct before staff begin to sign off on them. Lead Staff will report to QP weekly	Lead Staff Support Specialist QP	60 days
G.S. 131E-256 (D2) HCPR – Prior Employment Verification	Policy on the rehire process will be updated	Health Care Registry Check will be performed for any staff who has been rehired regardless of time frame	Administrative Staff	60 days
G.S. 122C-80 Criminal History Record Check	Policy on the rehire process will be updated	Criminal Background Record Check will be performed for any staff who has been rehired regardless of time frame	Administrative Staff	60 days
10A NCAC 27F .0103 Health, Hygiene and Grooming	As stated to the surveyor, linen is accessible but at the time, laundry	Hygiene and grooming supplies are purchased as needed to ensure	Support Specialist	60 days



	was taking place because it was laundry day, at which the individual's laundry was in the dryer at the time.	the individuals needs are met		
10A NCAC 27G .0303 Location and Exterior Requirements	Work orders have a 2 week turn around. Unfortunately, the issue had not been addressed during time of survey	Once work orders are turned in, maintenance will be notified the same day and issue will be solved based on its urgency	Maintenance Administration Staff	30 days