PRINTED: 01/12/2020
FORM APPROVED

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION	(X3) DATE SURVEY COMPLETED
	MHL092-669	A. BUILDING: _____ B. WING _____	R 01/06/2020

NAME OF PROVIDER OR SUPPLIER	STREET ADDRESS, CITY, STATE, ZIP CODE
ANN'S HAVEN OF REST	1016 EAST MILLBROOK ROAD RALEIGH, NC 27609

(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) COMPLETE DATE
V 000	INITIAL COMMENTS An Annual and Follow Up Survey was completed on 01/06/20. Deficiencies were cited. This facility is licensed for the following service category: 10A NCAC 27G .5600A Supervised Living for Adults with Mental Illness	V 000		
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 with a physician.	V 118	The Fluphenazine + Nurotin orders were Corrected / reviewed w/ our pharmacy + dr order to change the Nurotin to 300mg were not sent to the pharmacy or received by staff @ the facility. 1/6/20 The correction orders was received on the facility on 1/6/20 after the surveyor left upon the return of the physician staff will continue to manage the medications & refills to ensure they are filled.	1/3/20

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V 118	Continued From page 1	V 118		

This Rule is not met as evidenced by:
Based on observation, record review and interview, the facility failed to assure one of three audited clients (#3)'s medications were administered on the written authorization of a physician as well as assure medications were administered as prescribed and assure one of three audited client's (#5) medication was available to administer. The findings are:

I. Failure to have physician's orders and adhere to physician's orders...

Review on 01/03/20 of client #3's record revealed:
-Admitted: 09/02/05
-Diagnoses: Schizoaffective Disorder Bipolar Type, Major Depressive Disorder, Intellectual Developmental Disability and Diabetes

a. Observation on 01/03/20 of client #3's medications revealed the following:
-Simvastatin 20 mg one tablet daily (used to lower bad cholesterol)
-Metformin HCL 500 mg one tablet daily (used to treat Diabetes)
-Poglitazone HCL 30 mg one tablet at night (used to treat Diabetes)
-Cogentin .5 mg one tablet twice a day (used to treat side effects of certain psychiatric medications)
-Fluphenazine 10 mg one tablet twice a day (antipsychotic medication used to treat schizophrenia and psychotic symptoms)
-Neurotin 300 mg one tablet at night (used to

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V 118	Continued From page 2 treat seizures and pain) Review on 01/03/20 of client #3's record revealed no physician's order dated prior to 01/03/20 for Simvastatin, Metformin, Poglitazone, Cogentin, Fluphenazine and Neurotin. During interview on 01/03/20, staff #1 reported: -On 01/03/20 he contacted the physician's office to obtain orders because he could not locate prior documentation b. Observation on 01/03/20 at 1:00 PM of client #3's medications revealed the following: -Neurotin 400 mg one tablet at night, -Fluphenazine 10 mg one tablet twice a day Review on 01/03/20 of client #3's records revealed: -Physician's order obtained from the physician's office on 01/03/20 listed Neurotin 300 mg one tablet at night and Fluphenazine 5 mg one tablet daily and the blood sugar level should be checked twice a day -December 2019-January 2020 MAR listed Neurotin 400 mg one tablet daily, Fluphenazine 10 mg one tablet twice a day and blood sugar level checked once a day During interview on 01/06/20, staff #1 reported: -He was not aware of the discrepancy between the 01/03/20 physician's orders obtained, the December 2019/January 2020 MAR and information on the medications -He had made an appointment to see the physician the week of 01/06/20 to obtain clarification for the physician's orders and how often blood sugar levels should be checked. II. Failure to have medications...	V 118		

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V 118	Continued From page 3 Review on 01/03/20 of client #5's record revealed: -Admitted: 09/07/18 -Diagnoses: Attention Deficit Hyperactivity Disorder, Intermittent Explosive Disorder, Oppositional Defiant Disorder and Anxiety Disorder -07/03/19 Physician's order Cogentin .5 mg one tablet daily -January 2020 MAR listed initials Cogentin administered 1st-2nd Observation on 01/03/20 at 2:30 PM of client #5's medication revealed: -No Cogentin During interviews between 01/03/20 and 01/06/20, staff #1 reported the following about client #5's physician: -Had just returned to the country and an appointment had been scheduled for the week of 01/06/20. -Was not reachable when he was out of the country. The pharmacist needed the physician's approval to authorize the Cogentin to be dispensed. During interview on 01/06/20, the Director of Special Services reported the following: -To address the medication system, he agency had implemented an internal audit system conducted periodically (at least every 2 months) to review medications, physician's orders to assure compliance -At this home, the last audit was conducted in December 2019. She was not sure why the issues identified during this survey was not identified by the internal audit system. -	V 118		

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V 369	G.S. 122C-6 Smoking Prohibited § 122C-6 SMOKING PROHIBITED; PENALTY (a) Smoking is prohibited inside facilities licensed under this Chapter. As used in this section, "smoking" means the use or possession of any lighted cigar, cigarette, pipe, or other lighted smoking product. As used in this section, "inside" means a fully enclosed area. (b) The person who owns, manages, operates, or otherwise controls a facility subject to this section shall: (1) Conspicuously post signs clearly stating that smoking is prohibited inside the facility. The signs may include the international "No Smoking" symbol, which consists of a pictorial representation of a burning cigarette enclosed in a red circle with a red bar across it. (2) Direct any person who is smoking inside the facility to extinguish the lighted smoking product. (3) Provide written notice to individuals upon admittance that smoking is prohibited inside the facility and obtain the signature of the individual or the individual's representative acknowledging receipt of the notice. (c) The Department may impose an administrative penalty not to exceed two hundred dollars ($200.00) for each violation on any person who owns, manages, operates, or otherwise controls a facility licensed under this Chapter and fails to comply with subsection (b) of this section. A violation of this section constitutes a civil offense only and is not a crime. (d) This section does not apply to State psychiatric hospitals. (2007-459, s. 3.)	V 369	Staff will maintain cleanliness of the client rooms in the home. 1/6/20 a.m. & p.m. Clients who were identified w/ wrappers in the floor has been reminded of the homes rules. The client has received a discharge notice which has appeal. I filed an APS report against the guardian for not removing the client from the home. Alliance Behavioral Health was notified of the discharge & resulting in future placement. Client is consistently violates home rules & continues to appeal Alliance & the defecance	

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V 369	Continued From page 5 This Rule is not met as evidenced by: Based on observation and interview , the facilty failed to ensure that smoking was prohibited inside the facility. The findings are: Observation and tour on 01/06/20 at 11:00 AM revealed -Client #3's bedroom- ashes on the floor, empty packets of black and mild cigar wrappers on the floor. -Client #2's bedroom- ashes located on the dresser During interview on 01/06/20, staff #1 reported: -Prior to the tour, he was not aware of the ashes noted on the floor. -Client #3 had been exhibited non compliant behaviors as he was soon to be discharged from the facility -Clients were not allowed to smoke in the facility During interview on 01/06/20, client #2's Mentor reported the: -Ashes on the dressers were because the client burned incense -Clients were not allowed to smoke but he was not sure if they were not allowed to burn incense During interview on 01/06/19, the Licensee/Qualified Professional stated: -No staff or clients were allowed to smoke inside the facility. -Client #2 was allowed to burn incense because to reduce the odor in his room caused by his shoes	V 369	The client is refusing treatment & the guardian lives in Atlanta, GA & is being updated as well. The IPS manager was able to verify the defiance & provided options & following up w/ Alliance Behavioral Health for placement, which we continue to do, Crandell's has discontinued to encourage monitor & provide services.	

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V 536	Continued From page 6	V 536		
V 536	27E .0107 Client Rights - Training on Alt to Rest. Int. 10A NCAC 27E .0107 TRAINING ON ALTERNATIVES TO RESTRICTIVE INTERVENTIONS (a) Facilities shall implement policies and practices that emphasize the use of alternatives to restrictive interventions. (b) Prior to providing services to people with disabilities, staff including service providers, employees, students or volunteers, shall demonstrate competence by successfully completing training in communication skills and other strategies for creating an environment in which the likelihood of imminent danger of abuse or injury to a person with disabilities or others or property damage is prevented. (c) Provider agencies shall establish training based on state competencies, monitor for internal compliance and demonstrate they acted on data gathered. (d) The training shall be competency-based, include measurable learning objectives, measurable testing (written and by observation of behavior) on those objectives and measurable methods to determine passing or failing the course. (e) Formal refresher training must be completed by each service provider periodically (minimum annually). (f) Content of the training that the service provider wishes to employ must be approved by the Division of MH/DD/SAS pursuant to Paragraph (g) of this Rule. (g) Staff shall demonstrate competence in the following core areas: (1) knowledge and understanding of the people being served;	V 536	Candelli's has decided to use NC1 plus as our training on Alternatives & Restrictive Interventions. We were unaware one had to be used upon the Surveyors visit. We have made the correction/ addition to our hiring + training process and will be managed + maintained by the E.D. 3/1/20	

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V 536	Continued From page 7	V 536		

(2) recognizing and interpreting human behavior;
(3) recognizing the effect of internal and external stressors that may affect people with disabilities;
(4) strategies for building positive relationships with persons with disabilities;
(5) recognizing cultural, environmental and organizational factors that may affect people with disabilities;
(6) recognizing the importance of and assisting in the person's involvement in making decisions about their life;
(7) skills in assessing individual risk for escalating behavior;
(8) communication strategies for defusing and de-escalating potentially dangerous behavior; and
(9) positive behavioral supports (providing means for people with disabilities to choose activities which directly oppose or replace behaviors which are unsafe).
(h) Service providers shall maintain documentation of initial and refresher training for at least three years.
(1) Documentation shall include:
(A) who participated in the training and the outcomes (pass/fail);
(B) when and where they attended; and
(C) instructor's name;
(2) The Division of MH/DD/SAS may review/request this documentation at any time.
(i) Instructor Qualifications and Training Requirements:
(1) Trainers shall demonstrate competence by scoring 100% on testing in a training program aimed at preventing, reducing and eliminating the need for restrictive interventions.
(2) Trainers shall demonstrate competence

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V 536	Continued From page 8	V 536		

by scoring a passing grade on testing in an instructor training program.
(3) The training shall be competency-based, include measurable learning objectives, measurable testing (written and by observation of behavior) on those objectives and measurable methods to determine passing or failing the course.
(4) The content of the instructor training the service provider plans to employ shall be approved by the Division of MH/DD/SAS pursuant to Subparagraph (i)(5) of this Rule.
(5) Acceptable instructor training programs shall include but are not limited to presentation of:
(A) understanding the adult learner;
(B) methods for teaching content of the course;
(C) methods for evaluating trainee performance; and
(D) documentation procedures.
(6) Trainers shall have coached experience teaching a training program aimed at preventing, reducing and eliminating the need for restrictive interventions at least one time, with positive review by the coach.
(7) Trainers shall teach a training program aimed at preventing, reducing and eliminating the need for restrictive interventions at least once annually.
(8) Trainers shall complete a refresher instructor training at least every two years.
(j) Service providers shall maintain documentation of initial and refresher instructor training for at least three years.
(1) Documentation shall include:
(A) who participated in the training and the outcomes (pass/fail);
(B) when and where attended; and
(C) instructor's name.

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V 536	Continued From page 9 (2) The Division of MH/DD/SAS may request and review this documentation any time. (k) Qualifications of Coaches: (1) Coaches shall meet all preparation requirements as a trainer. (2) Coaches shall teach at least three times the course which is being coached. (3) Coaches shall demonstrate competence by completion of coaching or train-the-trainer instruction. (l) Documentation shall be the same preparation as for trainers. This Rule is not met as evidenced by: Based on record reviews and interview, the facility failed to ensure three of three audited staff (staff #1, staff #2, staff #3) had training in the same alternatives to restrictive interventions prior to providing services. The findings are: a. Review on 01/06/20 of the facility's personnel files revealed the following for staff #2 -Hired: 04/19/19 -Primarily worked the morning shift with staff #1. -MANDT training certificate-03/21/20 date of expiration. b-. Review on 01/06/20 of the facility's personnel files revealed the following for staff #1: -Hired: 04/06/10 -Primarily worked as live in staff the overnight shift and the morning shift with staff #2. -North Carolina Intervention (NCI) Plus	V 536		

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V 536	Continued From page 10 certificate issued on 07/29/19. c. Review on 01/06/20 of the facility's personnel files revealed the following for staff #3: -Hired: 04/23/18 -Primarily worked evening and overnight shift. -Had a Evidence Based Protective Interventions Training certificate issued 03/09/19. During interview on 01/06/20, the Director of Special Services revealed: -Over the past few months, the agency had switched restrictive intervention programs. -Currently, the agency trained staff in NCI plus -She was not aware all staff had to be trained in the same alternative to restrictive intervention curriculum	V 536		
V 736	27G .0303(c) Facility and Grounds Maintenance 10A NCAC 27G .0303 LOCATION AND EXTERIOR REQUIREMENTS (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. This Rule is not met as evidenced by: Based on observation and interview, the governing body failed to maintain the facility in a safe, clean, attractive and orderly manner. The findings are: Observation and tour* on 01/06/20 at 11:00 AM of the home revealed the following:	V 736	Client identified as the same client mentioned above. The exterior of the home repairs have been made according to surveyors notes and 1/31/20	1/31/20

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V 736	Continued From page 11 -Downstairs Bathroom- floor soft and uneven with strong smell of urine. -Client #3's bedroom (located on lowest level of the group home)-trash on floor, food particles in the bed and clothes laying on the floor -Client #2's bedroom (located near the living room)- "x" markings on wall, dressers, doorways and throughout bedroom -Client #4's bedroom (located upstairs, first bedroom on left)- extremely cluttered with excessive items throughout the room -Emergency exit spindles missing or broken on handrails. Exit ramp dirty. -Trash and debris including a white gate, weight equipment noted in the back yard area -Mattress and other trash noted on the side of the home (*Note: observations was not made of the upstairs bathroom as client was in the shower and client #5's bedroom as he was asleep. This room was located on the upper level, second room on the left) During interview on 01/06/20, staff #1 stated: -Some repairs had been completed at the group home. During interview on 01/06/20, the Director of Special Services reported: -Her mother, who served as the Licensee, visited the group home the weekend of 01/03/20. -The agency was aware of some of the identified violations and would resolve the maintenance concerns This deficiency constitutes a re-cited deficiency and must be corrected within 30 days	V 736	repairs were being made prior to the surveyors visit. Staff will continue to monitor the cleanliness of the home. We have implemented and promoted an external staff as an MH Team Lead to assist of the House Manager Responsibilities. The MH Team Lead will report to the QP. A job description of the MH Team Lead is attached. Pictures of the repairs are attached.	

Crandell's Enterprises Inc.

4406 Wake Forest Road ◆ Suite 201 ◆ Raleigh, NC 27609 ◆ phone: (919) 790-7663 ◆ fax: (919) 790-7139 ◆ email: info@afchweb.com

Job Title:	MH Manager	**Prepared By:**	Carolyn Mayo
Department:	MH	**Approved By:**	Carolyn Mayo
Reports To:	Jessica White, MSW, QMHP	**Date:**	9 / 20 / 2011
FLSA Status:	Exempt x Non-Exempt		

Pay Rate: [redacted]

JOB SUMMARY:

- Full-time position that assesses, plans, implements and evaluates programs for patient activities, which are multi-faceted; meets the patients' functional needs and reflect interests of each client. Provides additional training and assistance to House Mgr. regarding medication documentation, resident charts and the completion of client forms and other documents related to their job daily. Gather and disseminate information to each House Mgr, up to and including bus tickets. Reviews the companion aide timesheets and schedule. Ensures the House Mgr has provided the necessary training to the companion aide. Assists the QMHP with training House Mgr and Companion Aid. On-call for filing Involuntary Commitment (IVC) to the magistrate.

JOB ACCOUNTABILITIES:

- Assists House Mgr with documentation and general problems.
- Distributes information with activities list and supplies
- Performs weekly inspections of facilities and medication.
- Notifies Supervisor of ongoing activities and problems with the solutions.
- Reviews Friday Forms and submits to the Director.
- Accurate recordkeeping.
- Inputs level 2, 3 and 4 Accident/Incident Reports in IRIS.
- Meets with clients weekly to ensure of client care and well being.
- Performs other related duties as assigned or requested.
- NC Driver License and reliable transportation-driving to each of the homes as required for face-to-face interaction with the House Manager and Companion Aid

**The company reserves the right to add or change duties at any time.*

JOB QUALIFICATIONS:

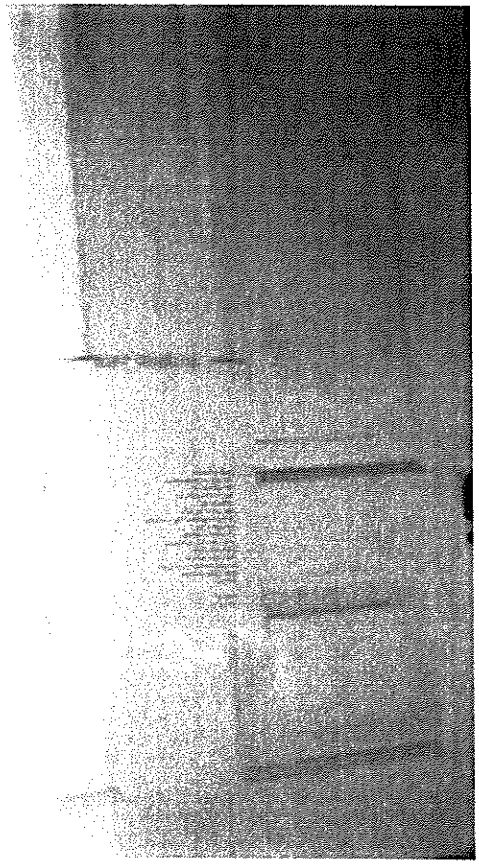
- Minimum Education: High School or equivalent
- Minimum Experience: 2 years combined education/experience as substitute for minimum experience
- Preferred Education: Bachelor's Degree but not required
- Preferred Experience: 3 years preferred but not required.

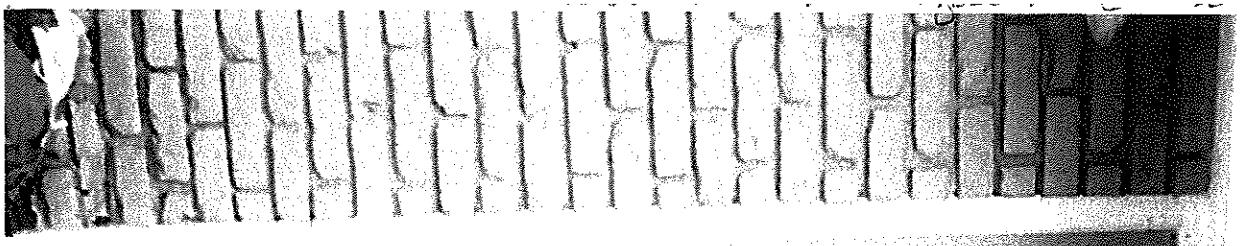
SKILLS:

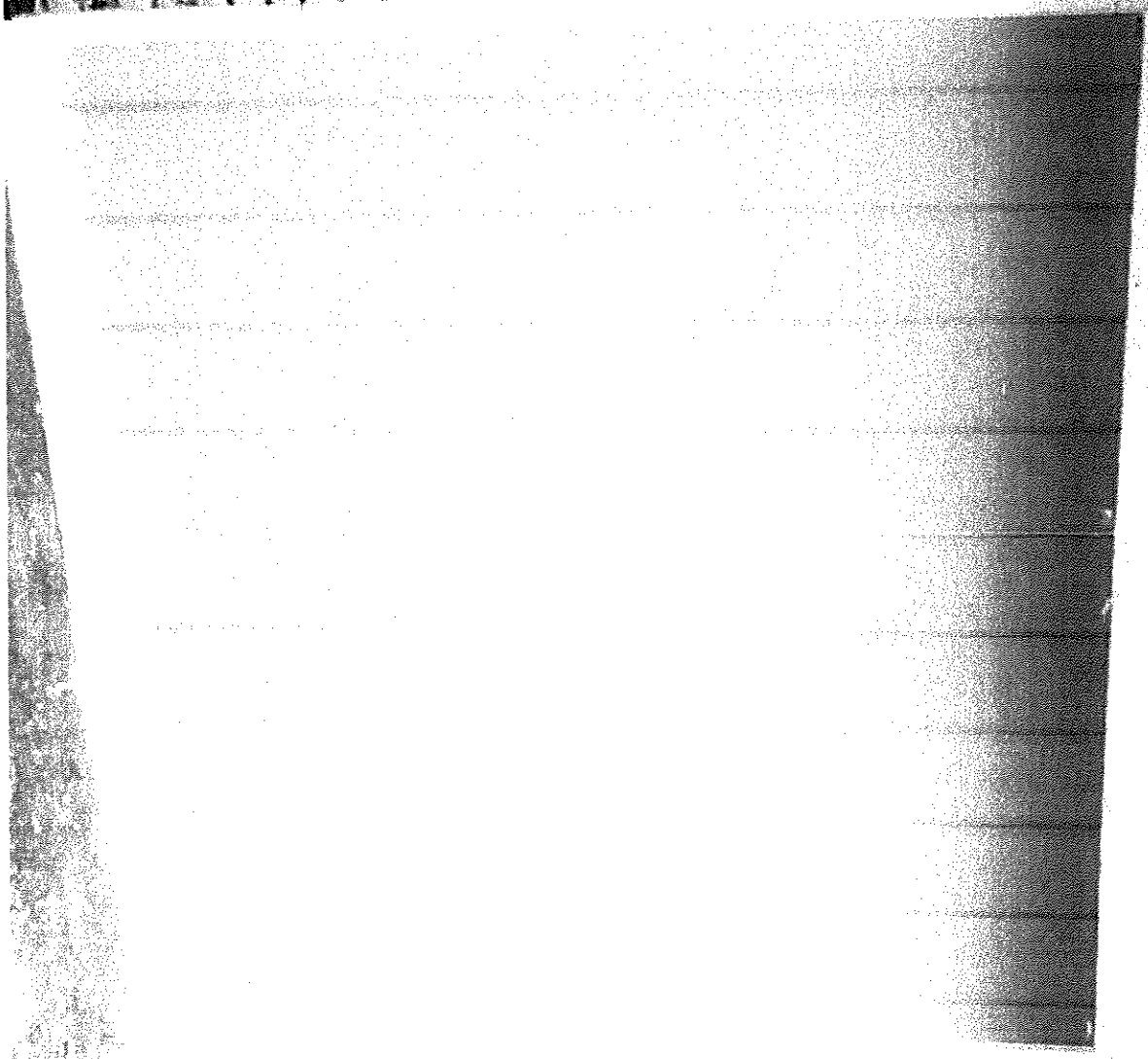
- Leadership coaching and development skills
- Communication skills
- Maintain filing systems
- Research information
- Use computerized spreadsheets
- Honest
- Trustworthy

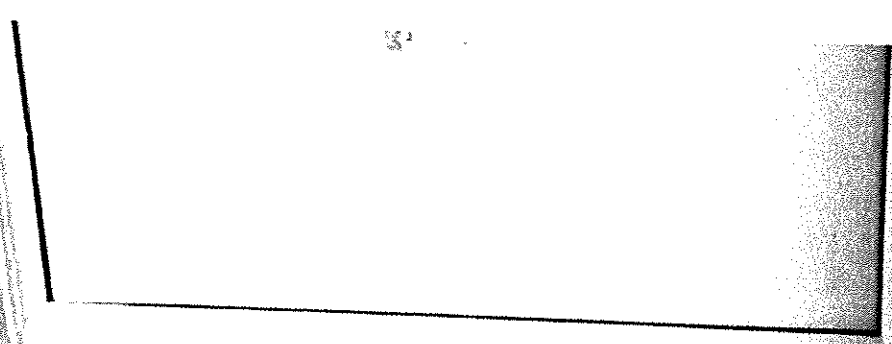
Staff Signature:_____ Date:_____

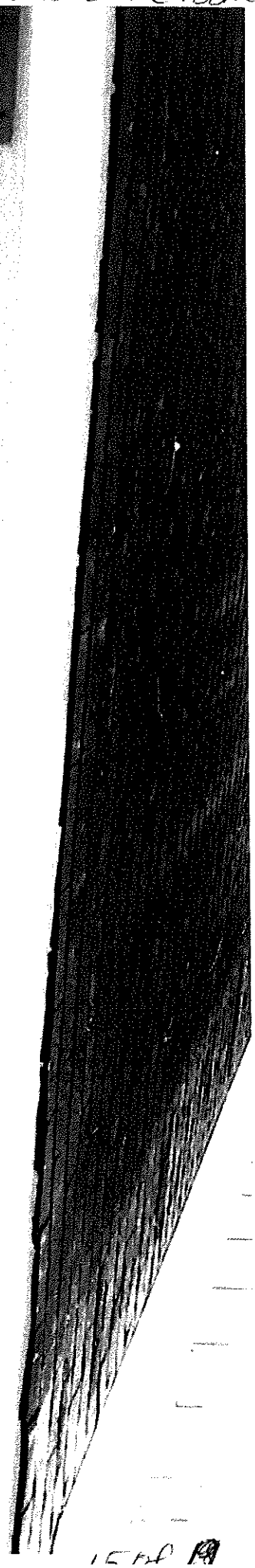
Painted door per stock Request (inside suite room)

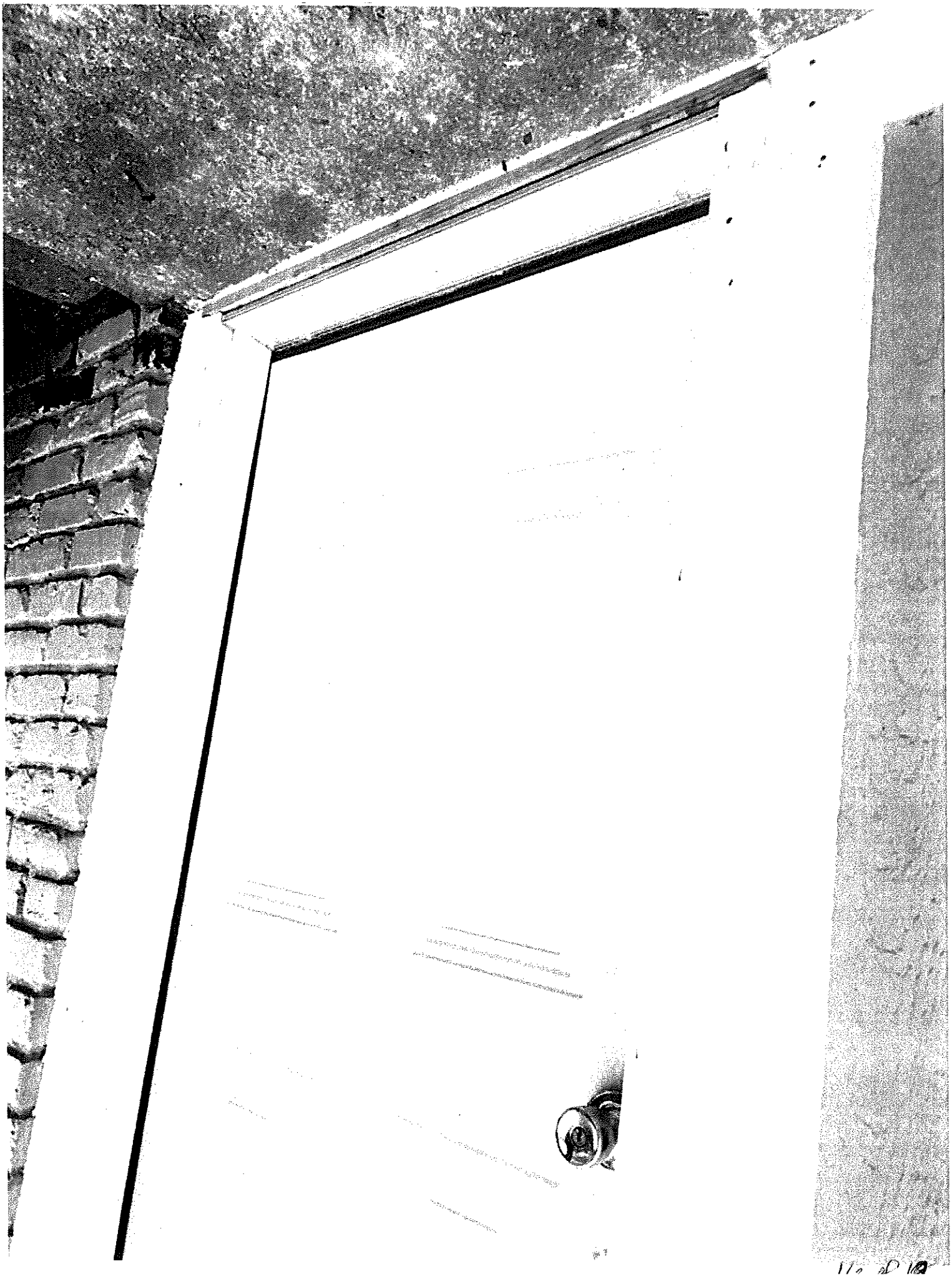


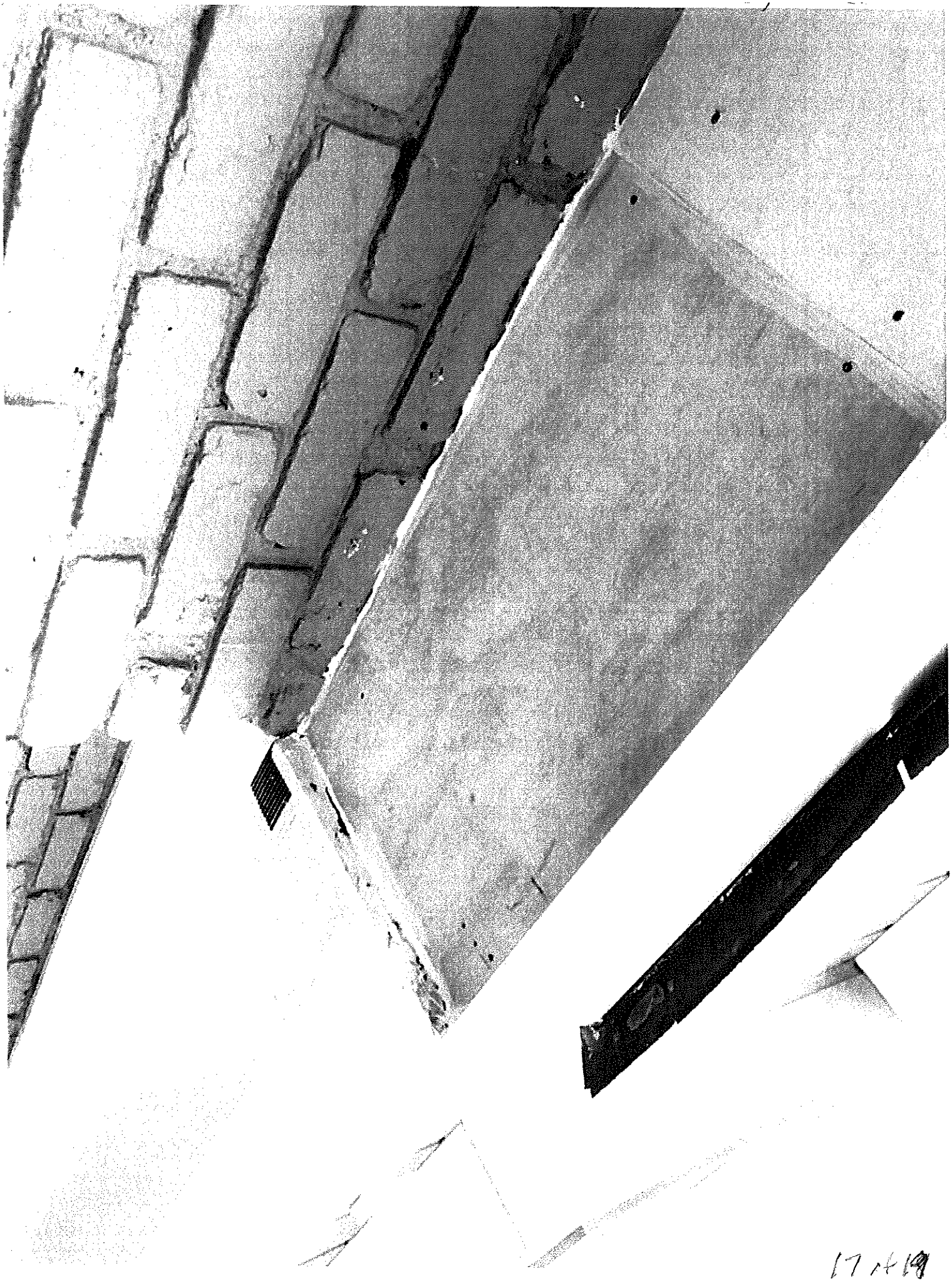












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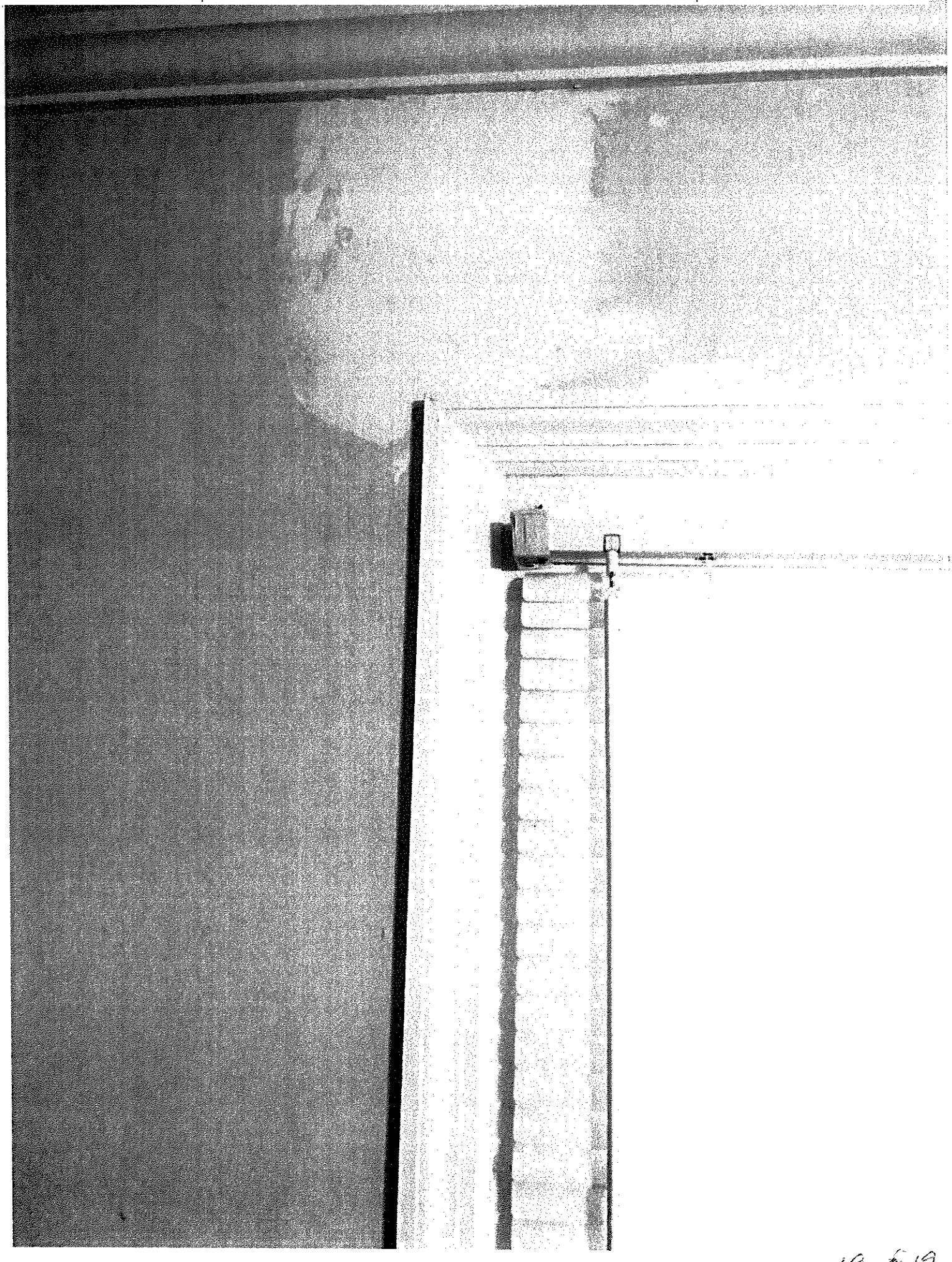
ceiling repaired (ceiling ~~was~~ sagging)



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3/5/20

To: DHSR Response
MHL 092-1669

Fax:
919-715-8028

From: Carolyn Mann
Crandell's Enterprises
Fax: 919-730-6690
phone: 919-730-6739

Re: Original mailed