

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: MHL092-857	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED C 09/22/2020
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NAME OF PROVIDER OR SUPPLIER ANN'S HAVEN OF REST II	STREET ADDRESS, CITY, STATE, ZIP CODE 1919 BOAZ ROAD RALEIGH, NC 27610
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V 105	<p>27G .0201 (A) (1-7) Governing Body Policies</p> <p>10A NCAC 27G .0201 GOVERNING BODY POLICIES</p> <p>(a) The governing body responsible for each facility or service shall develop and implement written policies for the following:</p> <p>(1) delegation of management authority for the operation of the facility and services;</p> <p>(2) criteria for admission;</p> <p>(3) criteria for discharge;</p> <p>(4) admission assessments, including:</p> <p>(A) who will perform the assessment; and</p> <p>(B) time frames for completing assessment.</p> <p>(5) client record management, including:</p> <p>(A) persons authorized to document;</p> <p>(B) transporting records;</p> <p>(C) safeguard of records against loss, tampering, defacement or use by unauthorized persons;</p> <p>(D) assurance of record accessibility to authorized users at all times; and</p> <p>(E) assurance of confidentiality of records.</p> <p>(6) screenings, which shall include:</p> <p>(A) an assessment of the individual's presenting problem or need;</p> <p>(B) an assessment of whether or not the facility can provide services to address the individual's needs; and</p> <p>(C) the disposition, including referrals and recommendations;</p> <p>(7) quality assurance and quality improvement activities, including:</p> <p>(A) composition and activities of a quality assurance and quality improvement committee;</p> <p>(B) written quality assurance and quality improvement plan;</p> <p>(C) methods for monitoring and evaluating the quality and appropriateness of client care, including delineation of client outcomes and utilization of services;</p> <p>(D) professional or clinical supervision, including</p>	V 105		

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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE _____ TITLE _____ (X6) DATE _____

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V 105	<p>Continued From page 1</p> <p>a requirement that staff who are not qualified professionals and provide direct client services shall be supervised by a qualified professional in that area of service;</p> <p>(E) strategies for improving client care;</p> <p>(F) review of staff qualifications and a determination made to grant treatment/habilitation privileges;</p> <p>(G) review of all fatalities of active clients who were being served in area-operated or contracted residential programs at the time of death;</p> <p>(H) adoption of standards that assure operational and programmatic performance meeting applicable standards of practice. For this purpose, "applicable standards of practice" means a level of competence established with reference to the prevailing and accepted methods, and the degree of knowledge, skill and care exercised by other practitioners in the field;</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews, the facility failed to ensure an accurate admission date for one of two clients (#2). The findings are:</p> <p>Review on 9/17/20 of the facility's admission policy revealed: "Admission assessment will be completed within 30 days of admission by a Qualified Professional (QP) or other designated persons".</p> <p>Record review on 8/28/20 of client #2's</p>	V 105		

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V 105	<p>Continued From page 2</p> <p>assessment revealed: - admitted on 6/10/20 - diagnosis of Schizoaffective Disorder, Bipolar type -assessment signed by QP</p> <p>Record review on 8/28/20 of a police call service log for client #2 revealed: "On Saturday, May 30, 2020, at approximately 0900 hours (9:00am), I responded to 1919 Boaz Road, in reference to an endangered missing person. The night prior (5/29/20) at approximately 1900 hours, [client #2]... was seen walking around the residence. Around that time [client #2] was on his unsupervised time since he currently resides in the group home with [staff#2] as his caretaker. [Client #2]...was last seen walking away from the residence and did not return by the time I responded the next day at 0900 hours. [Client #2]... was located shortly after at 1016 East Millbrook Road which is his previous group home."</p> <p>Interview on 8/25/20 with client #2 revealed: -been with the company for almost 3 years -been in this residence for about 2-3 months because of difficulty with clients at the previous facility (sister facility)</p> <p>Interview on 8/25/20 staff #2 reported: -client #2 has been at this facility for a couple of months after transferring from a sister facility -he (staff #2) recently returned to the facility a week ago after being assigned to a sister facility in June 2020</p> <p>Interview on 9/16/20 the QP reported: -client #2's admission date was 6/10/20</p>	V 105		

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V 105	Continued From page 3 -admission assessment has to be completed within 24-48 hours upon admission - unaware of any police coming to the facility for client #2 in May 2020 since he was not at facility until 6/10/20 Interview on 8/25/20 with the Chief Information officer revealed: -client #2 transferred from the sister facility about 4-5 months ago (around March/April)	V 105		
V 290	27G .5602 Supervised Living - Staff 10A NCAC 27G .5602 STAFF (a) Staff-client ratios above the minimum numbers specified in Paragraphs (b), (c) and (d) of this Rule shall be determined by the facility to enable staff to respond to individualized client needs. (b) A minimum of one staff member shall be present at all times when any adult client is on the premises, except when the client's treatment or habilitation plan documents that the client is capable of remaining in the home or community without supervision. The plan shall be reviewed as needed but not less than annually to ensure the client continues to be capable of remaining in the home or community without supervision for specified periods of time. (c) Staff shall be present in a facility in the following client-staff ratios when more than one child or adolescent client is present: (1) children or adolescents with substance abuse disorders shall be served with a minimum of one staff present for every five or fewer minor clients present. However, only one staff need be present during sleeping hours if specified by the emergency back-up procedures determined by the governing body; or	V 290		

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V 290	<p>Continued From page 4</p> <p>(2) children or adolescents with developmental disabilities shall be served with one staff present for every one to three clients present and two staff present for every four or more clients present. However, only one staff need be present during sleeping hours if specified by the emergency back-up procedures determined by the governing body.</p> <p>(d) In facilities which serve clients whose primary diagnosis is substance abuse dependency:</p> <p>(1) at least one staff member who is on duty shall be trained in alcohol and other drug withdrawal symptoms and symptoms of secondary complications to alcohol and other drug addiction; and</p> <p>(2) the services of a certified substance abuse counselor shall be available on an as-needed basis for each client.</p> <p>This Rule is not met as evidenced by: Based on record review and interview the facility failed to ensure one of two clients (#2) treatment plan was reviewed as needed to remain in the community without supervision for specified periods of time. The findings are:</p> <p>Review on 8/25/20 of client #2's facility's assessment revealed:</p> <ul style="list-style-type: none"> - admitted to the facility on 6/10/20 - diagnosis of Schizophrenia, Bipolar Type <p>Review on 8/25/20 of a treatment plan dated 11/19/19 for client #2 revealed:</p> <ul style="list-style-type: none"> - 4 hours of unsupervised in the community...staff reserves the right to revoke his unsupervised time... - "...will be supervised by a staff member while 	V 290		

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V 290	<p>Continued From page 5</p> <p>in the facility and in the community for the remainder of the day..."</p> <ul style="list-style-type: none"> - updated goal dated: 3/22/20 "...admitted to staff he engaged in drug use this month...smoked something out of a plastic pipe...has urges to contact his drug connect when he has money to obtain drugs..." - "...[client #2] continues to display impulsive behaviors as he has been banned from the shopping plaza center near the facility as he continues to make inappropriate and sexual comments to female customers & panhandling. The police came to the facility and informed staff if he is caught up at the shopping center he will be arrested. "[Client #2] spent 2 days in jail for trespassing and now has a court date...for 7/2/20..." <p>Record review on 8/28/20 of a police call service log for client #2 revealed:</p> <ul style="list-style-type: none"> - "On Saturday, May 30, 2020, at approximately 0900 hours (9:00am), I responded to 1919 Boaz Road, in reference to an endangered missing person. The night prior (5/29/20) at approximately 1900 hours, [client #2]... was seen walking around the residence. Around that time [client #2] was on his unsupervised time since he currently resides in the group home with [staff#2] as his caretaker. [Client #2]...was last seen walking away from the residence and did not return by the time I responded the next day at 0900 hours. [Client #2]... was located shortly after at 1016 East Millbrook Road, Raleigh, which is his previous group home." <p>During interview on 8/25/20 client #2 reported:</p> <ul style="list-style-type: none"> - he has unsupervised time - has not used it due to the pandemic 	V 290		

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V 290	<p>Continued From page 6</p> <ul style="list-style-type: none"> - he panhandled for cigarettes not money - he will walk next door and ask the neighbor to go to the store for him - he gives them \$10.00 for cigarettes and chips...tells them to keep the change <p>During interview on 8/25/20 staff #1 reported:</p> <ul style="list-style-type: none"> - client #2 has not used his unsupervised time due to the pandemic - he (client #2) does not have behaviors of panhandling <p>During interview on 8/25/20 the Chief Information Officer reported:</p> <ul style="list-style-type: none"> - client #2 has 8 hours unsupervised time in the community. - staff encourages him not to use all 8 hours due to the pandemic - the 8 hours have not been reduced - he is his own guardian...has lived on his own - he liked to be in the community - no police involvement since client #2 was admitted to the facility - client #2 has panhandled while in the community but not since the pandemic - reasons he has not panhandled: because: additional hours of peer support; he's more cautious & he's more aware of the danger of being out alone <p>During interview on 9/16/20 the Qualified Professional reported:</p> <ul style="list-style-type: none"> - prior to the pandemic she visited the facility once a week - since the pandemic she visited biweekly or by zoom - client #2 has a court date tomorrow (9/17/20) for trespassing at a shopping center - he currently has 4 hours of unsupervised time - his unsupervised time has not been restricted 	V 290		

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V 290	<p>Continued From page 7</p> <ul style="list-style-type: none"> - he's his own guardian - client #2 left the facility even we staff asked him to stay - the treatment team has met & the therapist requested he keeps the 4 hours of unsupervised time - since he left the facility anyway when staff asked him to remain - curfew was at 8pm...he mostly walked to the store and back - since July 2020 all clients are being drug tested - she was not sure of client #2's drug results but would contact the Licensee - staff called her (QP) Labor day weekend to speak with client #2 - the neighbors complained client #2 bothered them for jobs (landscaping, mow lawn, etc.) - management started this week seeking a guardian for client #2, he has a 1:1 peer, attends NA/AA meetings online <p>Attempted telephone calls were made to staff #2: 9/10/20 & 9/11/20...no return calls by close of survey</p> <p>During interview on 9/22/20 the Chief Information Officer reported:</p> <ul style="list-style-type: none"> - client #2 was on an outing with staff - he went missing for 3 hours - staff contacted the police - she doesn't recall when the incident happened - the QP notified her of the incident on Friday (9/18/20) - staff shouldn't have contacted the police since he has unsupervised time - the drug results were faxed for client #2, she will refax - drug results were not received by exit date 	V 290		

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V 290	Continued From page 8 (9/22/20)	V 290		
V 367	<p>27G .0604 Incident Reporting Requirements</p> <p>10A NCAC 27G .0604 INCIDENT REPORTING REQUIREMENTS FOR CATEGORY A AND B PROVIDERS</p> <p>(a) Category A and B providers shall report all level II incidents, except deaths, that occur during the provision of billable services or while the consumer is on the providers premises or level III incidents and level II deaths involving the clients to whom the provider rendered any service within 90 days prior to the incident to the LME responsible for the catchment area where services are provided within 72 hours of becoming aware of the incident. The report shall be submitted on a form provided by the Secretary. The report may be submitted via mail, in person, facsimile or encrypted electronic means. The report shall include the following information:</p> <ol style="list-style-type: none"> (1) reporting provider contact and identification information; (2) client identification information; (3) type of incident; (4) description of incident; (5) status of the effort to determine the cause of the incident; and (6) other individuals or authorities notified or responding. <p>(b) Category A and B providers shall explain any missing or incomplete information. The provider shall submit an updated report to all required report recipients by the end of the next business day whenever:</p> <ol style="list-style-type: none"> (1) the provider has reason to believe that information provided in the report may be erroneous, misleading or otherwise unreliable; or 	V 367		

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V 367	<p>Continued From page 9</p> <p>(2) the provider obtains information required on the incident form that was previously unavailable.</p> <p>(c) Category A and B providers shall submit, upon request by the LME, other information obtained regarding the incident, including:</p> <p>(1) hospital records including confidential information;</p> <p>(2) reports by other authorities; and</p> <p>(3) the provider's response to the incident.</p> <p>(d) Category A and B providers shall send a copy of all level III incident reports to the Division of Mental Health, Developmental Disabilities and Substance Abuse Services within 72 hours of becoming aware of the incident. Category A providers shall send a copy of all level III incidents involving a client death to the Division of Health Service Regulation within 72 hours of becoming aware of the incident. In cases of client death within seven days of use of seclusion or restraint, the provider shall report the death immediately, as required by 10A NCAC 26C .0300 and 10A NCAC 27E .0104(e)(18).</p> <p>(e) Category A and B providers shall send a report quarterly to the LME responsible for the catchment area where services are provided. The report shall be submitted on a form provided by the Secretary via electronic means and shall include summary information as follows:</p> <p>(1) medication errors that do not meet the definition of a level II or level III incident;</p> <p>(2) restrictive interventions that do not meet the definition of a level II or level III incident;</p> <p>(3) searches of a client or his living area;</p> <p>(4) seizures of client property or property in the possession of a client;</p> <p>(5) the total number of level II and level III incidents that occurred; and</p> <p>(6) a statement indicating that there have</p>	V 367		

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V 367	<p>Continued From page 10</p> <p>been no reportable incidents whenever no incidents have occurred during the quarter that meet any of the criteria as set forth in Paragraphs (a) and (d) of this Rule and Subparagraphs (1) through (4) of this Paragraph.</p> <p>This Rule is not met as evidenced by: Based on record review and interviews, the facility failed to ensure level II incident reports were submitted to the Managed Care Organization/Local Management Entity (MCO/LME) within 72 hours. The findings are:</p> <p>Review on 8/19/20 of the Incident Response Improvement System (IRIS) revealed: - no level II incident reports have been entered in the system since November 2018</p> <p>Record review on 8/28/20 of a police call service log for client #2 revealed: "On Saturday, May 30, 2020, at approximately 0900 hours (9:00am), I responded to 1919 Boaz Road, in reference to an endangered missing person. The night prior (5/29/20) at approximately 1900 hours, [client #2]... was seen walking around the residence. Around that time [client #2] was on his unsupervised time since he currently resides in the group home with [staff#2] as his caretaker. [Client #2]...was last seen walking away from the residence and did not return by the time I responded the next day at 0900 hours. [Client</p>	V 367		

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V 367	<p>Continued From page 11</p> <p>#2]... was located shortly after at 1016 East Millbrook Road, Raleigh, which is his previous group home."</p> <p>Interview 9/16/20 with Qualified Professional (QP) revealed: -no Level II reports -no knowledge of any incidents requiring a Level II report -staff is to notify QP of all incidents involving clients -unaware of police being called to the facility for a missing person in May 2020</p> <p>Interview 8/25/20 with Chief Information officer revealed: -no police calls or involvement within the last several months -unaware of any recent incidents at the home -no IRIS reports have been submitted</p> <p>During interview on 9/22/20 the Chief Information Officer reported: - client #2 was on an outing with staff - he went missing for 3 hours - staff contacted the police - she doesn't recall when the incident happened - the QP notified her of the incident on Friday (9/18/20) - an incident reported was not completed - staff shouldn't have contacted the police since client #2 has unsupervised time</p>	V 367		