

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>MHL086032</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING _____	(X3) DATE SURVEY COMPLETED  <b>C</b> <b>01/05/2021</b>
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NAME OF PROVIDER OR SUPPLIER  <b>PEACE LILY #2</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>101 PEACE LILY LANE</b> <b>DOBSON, NC 27017</b>
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V 000	<p><b>INITIAL COMMENTS</b></p> <p>A complaint survey was completed on 1/5/21. The complaint was unsubstantiated (intake #NC00171974). Deficiencies were cited.</p> <p>This facility is licensed for the following service category: 10A NCAC 27G .5600C Supervised Living for Adults with Developmental Disability.</p>	V 000		
V 110	<p>27G .0204 Training/Supervision Paraprofessionals</p> <p>10A NCAC 27G .0204 COMPETENCIES AND SUPERVISION OF PARAPROFESSIONALS</p> <p>(a) There shall be no privileging requirements for paraprofessionals.</p> <p>(b) Paraprofessionals shall be supervised by an associate professional or by a qualified professional as specified in Rule .0104 of this Subchapter.</p> <p>(c) Paraprofessionals shall demonstrate knowledge, skills and abilities required by the population served.</p> <p>(d) At such time as a competency-based employment system is established by rulemaking, then qualified professionals and associate professionals shall demonstrate competence.</p> <p>(e) Competence shall be demonstrated by exhibiting core skills including:</p> <ol style="list-style-type: none"> <li>(1) technical knowledge;</li> <li>(2) cultural awareness;</li> <li>(3) analytical skills;</li> <li>(4) decision-making;</li> <li>(5) interpersonal skills;</li> <li>(6) communication skills; and</li> <li>(7) clinical skills.</li> </ol> <p>(f) The governing body for each facility shall develop and implement policies and procedures for the initiation of the individualized supervision plan upon hiring each paraprofessional.</p>	V 110		

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

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V 110	<p>Continued From page 1</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews, the facility failed to ensure 5 of 5 staff were supervised by a Qualified Professional (QP). The findings are:</p> <p>Interview on 12/14/20 with the Administrator in Charge revealed the facility employed a QP.</p> <p>Review on 12/31/20 of a list of contact numbers for all staff revealed no information for the QP.</p> <p>Review on 12/31/20 of the contact information for the QP revealed an email address only.</p> <p>Review on 12/31/20 of an email from the QP revealed that she was not employed by the facility as a QP.</p> <p>Interview on 1/4/21 with the Owner revealed: -The individual named as the QP provided training on alternatives to restrictive interventions to facility staff; -She also used to complete treatment plans for the facility but hadn't done so recently; -When she stopped completing treatment plans, they had asked another individual that worked at the day program that the clients attended to complete the treatment plans; -That individual left the day program so attempts had been made to contact the Owner of the day program to request another qualified staff member complete the treatment plans;</p>	V 110		

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V 110	<p>Continued From page 2</p> <ul style="list-style-type: none"> <li>-She was not sure how long it had been since the individual had left the day program and stopped completing treatment plans but knew that all treatment plans were current;</li> <li>-She was not sure why but they were having a difficult time finding a replacement QP;</li> <li>-Contact had been made with the Local Management Entity/Managed Care Organization but they had offered no support.</li> </ul> <p>Interview on 1/4/21 with the Owner of the Day Program the clients attended revealed:</p> <ul style="list-style-type: none"> <li>-The individual that was named as the facility QP worked at the Day Program and was concerned that her name had been provided;</li> <li>-He didn't think the Owner of the facility understood what the duties of the QP included;</li> <li>-He allowed his staff to add goals for clients regarding the facility but that didn't mean they were a QP for the facility;</li> <li>-The individual that had most recently added goals to the treatment plans for the facility had resigned over 7 months ago;</li> <li>-He wouldn't allow his staff to provide QP services to the facility because he felt that was a conflict of interest.</li> </ul>	V 110		
V 133	<p>G.S. 122C-80 Criminal History Record Check</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</p>	V 133		

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V 133	Continued From page 3  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 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	V 133		

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V 133	<p>Continued From page 4</p> <p>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 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> </ol>	V 133		

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V 133	<p>Continued From page 5</p> <p>(7) The subsequent commission by the person of a relevant offense. 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. (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</p>	V 133		

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V 133	<p>Continued From page 6</p> <p>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 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</p>	V 133		

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V 133	<p>Continued From page 7</p> <p>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. (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 request a state criminal background check within five business days of making the conditional offer of employment for 1 of 1 audited staff (staff #1). The findings are:</p> <p>Interviews on 12/14/20 with staff #1 revealed: -She had worked for the Owner of the facility for 8 years; -She had worked at the facility since 6/27/19 and prior to that at an adult care home; -She did have a criminal history but she refused to provide details; -She was going to consult with her attorney because she didn't want the results of her criminal history discussed.</p> <p>Interviews on 12/14/20 with the Administrator in Charge revealed: -Staff #1 was hired as the Group Home Manager of the facility on 6/27/19; -Staff #1 had previously worked in an adult care home with the same Owner as the facility;</p>	V 133		



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V 133	<p>Continued From page 8</p> <p>-She had been instructed by the facility Owner to consult with their attorney prior to releasing any criminal history record requests.</p> <p>Interview on 12/15/20 with the Administrator in Charge revealed: -They had not been able to consult with their attorney yet; -She was not going to unseal the criminal history record request unless staff #1 provided consent or their attorney advised her to do so.</p> <p>Review on 12/29/20 of an email from the facilities attorney revealed: -An attachment with an email dated 7/1/14 from a company that completes background checks to an employee of the Owner included a handwritten note of..."07/01/2014 Received/Reviewed/Interviewed/Sealed;" -An attachment with a handwritten note on an envelope, "Background Check 07/01/2014 Received/Reviewed/Interviewed/Sealed;" -An attachment with an email dated 8/2/17 from a company that completes background checks to the Administrator in Charge included handwritten notes of..."08/02/2017 Received/Reviewed/Sealed - No changes;" -An attachment with a handwritten note on an envelope, "[Staff #1] 08/02/2017 Received/Reviewed/Sealed;" -An attachment with an email dated 12/4/20 from a company that completes background checks to an employee of the Owner included a handwritten note of, "12/04/2020 Received/Reviewed/Sealed *Background check pulled every 3 years* No Changes;" -An attachment with a handwritten note on an envelope, "[Staff #1] Background Check 12/04/2020: Received/Sealed Updated every 3 Years."</p>	V 133		

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V 133	Continued From page 9  Interview on 1/5/20 with the Owner revealed: -Staff member #1 worked primarily at the adult care home but worked as needed at the facility from 7/1/14 until she was hired full time at the facility in 2019; -She was not sure why staff #1 was never listed on the staff census provided during state surveys on 8/28/14, 4/8/15, 6/16/16, 10/26/16, 10/20/17, 12/28/17, and 11/28/18.	V 133		