

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: MHL049-157	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED 03/06/2023	
NAME OF PROVIDER OR SUPPLIER BLUE HORIZONS		STREET ADDRESS, CITY, STATE, ZIP CODE 130 SAINT JILL CIRCLE STATESVILLE, NC 28625		
(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	<p>INITIAL COMMENTS</p> <p>An annual and complaint survey was completed on 3/6/23. The complaint was unsubstantiated (intake #NC00195928). Deficiencies were cited.</p> <p>This facility is licensed for the following service category: 10A NCAC 27G .1700 Residential Treatment Staff Secure for Children or Adolescents.</p>	V 000		
V 118	<p>This facility is licensed for 4 and currently has a census of 4. The survey sample consisted of audits of 3 current clients and 2 former client.</p> <p>27G .0209 (C) Medication Requirements</p> <p>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;</p>	V 118		

	(B) name, strength, and quantity of the drug; (C) instructions for administering the drug; (D) date and time the drug is administered; and			
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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE TITLE (X6) DATE STATE FORM 6899 M9RL11 If continuation sheet 1 of 11

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V 118	<p>Continued From page 1</p> <p>(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.</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews, the facility failed to ensure medications were administered by persons trained by a registered nurse, pharmacist, or other legally qualified person and privileged to prepare and administer medications for 2 of 3 audited staff (Associate Professional (AP) and Qualified Professional (QP)). The findings are:</p> <p>Review on 3/3/23 of the AP's record revealed: - Hire date: 2/27/23 - A Medication Administration training certificate was not in her file.</p> <p>Review on 3/3/23 of the QP's record revealed: - Hire date: 10/16/22 - A Medication Administration training certificate was not in her file.</p> <p>Interview on 3/6/23 with the AP revealed: - Her Medication Administration training was scheduled for 3/8/23</p> <p>Interview on 3/6/23 with the Executive Director revealed: - The QP reviewed the Medication Administration</p>	V 118	<p>Horizons Kids Human Resource Manager has/will implement a training calendar addressing the following rule Medication Administration to ensure all new employees received training prior to entering the facility for their first official date of employment. Horizons Kids Human Resource Manager has/will update their policy to address any training timelines to ensure that all required trainings has been completed by the new hire prior to entering the facility.</p> <p>Quality Assurance Manager(QP) will audit the Employee file before the official start date to ensure all required paperwork & training have been completed. This is an on-going process and be monitor weekly, monthly and quarterly depending on the employee need.</p> <p>Quality Assurance Manager(QP) will submit notification to Human Resource Manager that the employee file is complete and ready to start in the facility.</p>	<p>03/13/23-05/13/23 Ongoing</p> <p>03/13/23-05/13/23 Ongoing</p> <p>03/13/23-05/13/23 Ongoing</p>
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V 118	Continued From page 2 Review sheets each month. - The QP did not administer medications to the clients; therefore, he thought she did not need the Medication Administration training. - The AP's Medication Administration training was supposed to be completed this past weekend (3/4/23-3/5/23). "I don't know if it (Medication Administration training) was done."	V 118		
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	V 536		

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V 536	<p>Continued From page 3</p> <p>annually).</p> <p>(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.</p> <p>(g) Staff shall demonstrate competence in the following core areas:</p> <ol style="list-style-type: none"> (1) knowledge and understanding of the people being served; (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). <p>(h) Service providers shall maintain documentation of initial and refresher training for at least three years.</p> <p>(1) Documentation shall include:</p> <ol style="list-style-type: none"> (A) who participated in the training and the outcomes (pass/fail); (B) when and where they attended; and (C) instructor's name; 	V 536		

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V 536	<p>Continued From page 4</p> <p>(2) The Division of MH/DD/SAS may review/request this documentation at any time. (i) Instructor Qualifications and Training Requirements:</p> <p>(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.</p> <p>(2) Trainers shall demonstrate competence by scoring a passing grade on testing in an instructor training program.</p> <p>(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.</p> <p>(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.</p> <p>(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.</p> <p>(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.</p> <p>(7) Trainers shall teach a training program aimed at preventing, reducing and eliminating the need for restrictive interventions at least once annually.</p> <p>(8) Trainers shall complete a refresher</p>	V 536		
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V 536	<p>Continued From page 5</p> <p>instructor training at least every two years.</p> <p>(j) Service providers shall maintain documentation of initial and refresher instructor training for at least three years.</p> <p>(1) Documentation shall include:</p> <p>(A) who participated in the training and the outcomes (pass/fail);</p> <p>(B) when and where attended; and</p> <p>(C) instructor's name.</p> <p>(2) The Division of MH/DD/SAS may request and review this documentation any time. (k) Qualifications of Coaches:</p> <p>(1) Coaches shall meet all preparation requirements as a trainer.</p> <p>(2) Coaches shall teach at least three times the course which is being coached.</p> <p>(3) Coaches shall demonstrate competence by completion of coaching or train-the-trainer instruction.</p> <p>(l) Documentation shall be the same preparation as for trainers.</p> <p>This Rule is not met as evidenced by: Based on record reviews and interviews, the facility failed to ensure staff completed training on alternatives to restrictive interventions at least annually affecting 1 of 3 audited staff (Associate Professional (AP)). The findings are:</p> <p>Review on 3/3/23 of the AP's record revealed: - Hire date: 2/27/23 - An alternatives to restrictive interventions training certificate was not in her file.</p>	V 536	<p>Horizons Kids Human Resource Manager has/will implement a training calendar addressing the following rule TRAINING ON ALTERNATIVES TO RESTRICTIVE INTERVENTIONS to ensure all new employees received training prior to entering the facility for their first official date of employment. Horizons Kids Human Resource Manager has/will update their policy to address any training timelines to ensure that all required training has been completed by the new hire prior to entering the facility.</p> <p>Quality Assurance Manager(QP) will audit the Employee file before the official start date to ensure all required paperwork & training have been completed. This is an on-going process and is monitored weekly, monthly and quarterly depending on the employee's needs.</p> <p>Quality Assurance Manager(QP) will submit notification to Human Resource Manager that the employee file is complete and ready to start in the facility.</p>	<p>03/13/23 05/13/23 On-going</p> <p>03/13/23 05/13/23 On-going</p> <p>03/13/23 05/13/23 On-going</p>

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<p>V 536</p> <p>V 537</p>	<p>Continued From page 6</p> <p>Interview on 3/6/23 with the AP revealed: - She had received training in alternatives to restrictive interventions from her prior place of employment. -She had requested her alternatives to restrictive interventions certificate from her prior place of employment, but she had not received her certificate.</p> <p>27E .0108 Client Rights - Training in Sec Rest & ITO</p> <p>10A NCAC 27E .0108 TRAINING IN SECLUSION, PHYSICAL RESTRAINT AND ISOLATION TIME-OUT</p> <p>(a) Seclusion, physical restraint and isolation time-out may be employed only by staff who have been trained and have demonstrated competence in the proper use of and alternatives to these procedures. Facilities shall ensure that staff authorized to employ and terminate these procedures are retrained and have demonstrated competence at least annually.</p> <p>(b) Prior to providing direct care to people with disabilities whose treatment/habilitation plan includes restrictive interventions, staff including service providers, employees, students or volunteers shall complete training in the use of seclusion, physical restraint and isolation time-out and shall not use these interventions until the training is completed and competence is demonstrated.</p> <p>(c) A pre-requisite for taking this training is demonstrating competence by completion of training in preventing, reducing and eliminating the need for restrictive interventions.</p> <p>(d) The training shall be competency-based, include measurable learning objectives,</p>	<p>V 536</p> <p>V 537</p>	
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V 537	<p>Continued From page 7</p> <p>measurable testing (written and by observation of behavior) on those objectives and measurable methods to determine passing or failing the course.</p> <p>(e) Formal refresher training must be completed by each service provider periodically (minimum annually).</p> <p>(f) Content of the training that the service provider plans to employ must be approved by the Division of MH/DD/SAS pursuant to Paragraph (g) of this Rule.</p> <p>(g) Acceptable training programs shall include, but are not limited to, presentation of:</p> <ol style="list-style-type: none"> (1) refresher information on alternatives to the use of restrictive interventions; (2) guidelines on when to intervene (understanding imminent danger to self and others); (3) emphasis on safety and respect for the rights and dignity of all persons involved (using concepts of least restrictive interventions and incremental steps in an intervention); (4) strategies for the safe implementation of restrictive interventions; (5) the use of emergency safety interventions which include continuous assessment and monitoring of the physical and psychological well-being of the client and the safe use of restraint throughout the duration of the restrictive intervention; (6) prohibited procedures; (7) debriefing strategies, including their importance and purpose; and (8) documentation methods/procedures. <p>(h) Service providers shall maintain documentation of initial and refresher training for at least three years.</p> <p>(1) Documentation shall include:</p> <p>(A) who participated in the training and the</p>	V 537		

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V 537	<p>Continued From page 8</p> <p>outcomes (pass/fail); (B) when and where they attended; and (C) instructor's name.</p> <p>(2) The Division of MH/DD/SAS may review/request this documentation at any time. (i) Instructor Qualification and Training Requirements:</p> <p>(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.</p> <p>(2) Trainers shall demonstrate competence by scoring 100% on testing in a training program teaching the use of seclusion, physical restraint and isolation time-out.</p> <p>(3) Trainers shall demonstrate competence by scoring a passing grade on testing in an instructor training program.</p> <p>(4) 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.</p> <p>(5) 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 (j)(6) of this Rule.</p> <p>(6) Acceptable instructor training programs shall include, but not be limited to, presentation of:</p> <p>(A) understanding the adult learner; (B) methods for teaching content of the course; (C) evaluation of trainee performance; and (D) documentation procedures.</p> <p>(7) Trainers shall be retrained at least annually and demonstrate competence in the use of seclusion, physical restraint and isolation</p>	V 537		

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V 537	<p>Continued From page 9</p> <p>time-out, as specified in Paragraph (a) of this Rule.</p> <p>(8) Trainers shall be currently trained in CPR.</p> <p>(9) Trainers shall have coached experience in teaching the use of restrictive interventions at least two times with a positive review by the coach.</p> <p>(10) Trainers shall teach a program on the use of restrictive interventions at least once annually.</p> <p>(11) Trainers shall complete a refresher instructor training at least every two years.</p> <p>(k) Service providers shall maintain documentation of initial and refresher instructor training for at least three years.</p> <p>(1) Documentation shall include:</p> <p>(A) who participated in the training and the outcome (pass/fail);</p> <p>(B) when and where they attended; and</p> <p>(C) instructor's name.</p> <p>(2) The Division of MH/DD/SAS may review/request this documentation at any time. (l) Qualifications of Coaches:</p> <p>(1) Coaches shall meet all preparation requirements as a trainer.</p> <p>(2) Coaches shall teach at least three times, the course which is being coached.</p> <p>(3) Coaches shall demonstrate competence by completion of coaching or train-the-trainer instruction.</p> <p>(m) Documentation shall be the same preparation as for trainers.</p>	V 537		

	<p>This Rule is not met as evidenced by: Based on record reviews and interviews, the</p>		
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<p>V 537</p>	<p>Continued From page 10</p> <p>facility failed to ensure staff completed training in restrictive interventions for 1 of 3 audited staff (Associate Professional (AP)). The findings are:</p> <p>Review on 3/3/23 of the AP's record revealed: - Hire date: 2/27/23 - A restrictive interventions training certificate was not in her file.</p> <p>Interview on 3/6/23 with the AP revealed: - She had received training in restrictive interventions from her prior place of employment. -She had requested her restrictive interventions training certificate from her prior place of employment, but she had not received her certificate.</p>	<p>V 537</p>	<p>Horizons Kids Human Resource Manager has/will implement a training calendar addressing the following rule TRAINING IN SECLUSION, PHYSICAL RESTRAINT AND ISOLATION TIME-OUT to ensure all new employees received training prior to entering the facility for their first official date of employment.</p> <p>Horizons Kids Human Resource Manager has/will update their policy to address any training timelines to ensure that all required training has been completed by the new hire prior to entering the facility.</p> <p>Quality Assurance Manager(QP) will audit the Employee file before the official start date to ensure all required paperwork & training have been completed. This is an on-going process and is monitored weekly, monthly and quarterly depending on the employee's needs.</p> <p>Quality Assurance Manager(QP) will submit notification to Human Resource Manager that the employee file is complete and ready to start in the facility.</p>	<p>03/13/23 05/13/23 On-going</p> <p>03/13/23 05/13/23 On-going</p> <p>03/13/23 05/13/23 On-going</p>
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Horizons Kids LLC April 2023

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
						1 CPR/FIRST AID 9AM-2PM
2	3	4 ORIENTATION 9am-5pm	5 Blood Borne Med Admin/Seizure Manage 2PM-6PM	6 NCI Training 2pm-6pm	7	8
9	10	11	12	13	14	15
16	17	18 ORIENTATION 9am-5pm	19 Blood Borne Med Admin/Seizure Manage 2PM-6PM	20 NCI Training 2pm-6pm	21	22 CPR/FIRST AID 9AM-1PM
23	24	25	26	27	28	29
30						

ALL TRAINING PROVIDED AT
1410 BOSTON RD NEWTON NC
CONFERENCE ROOM

Horizons Kids LLC June 2023

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
				1 NCI Training 2pm-6pm	2	3 CPR/ FIRST AID 9am-1pm
4	5	6	7	8	9	10
11	12	13 ORIENTATION 9am-5pm	14 Blood Borne Med Admin/Seizure Manage 2PM-6PM	15 NCI Training 2pm-6pm	16	17 CPR/ FIRST AID 9am-1pm
18	19	20	21	22	23	24
25	26	27 ORIENTATION 9am-5pm	28 Blood Borne Med Admin/Seizure Manage 2PM-6PM	29 NCI Training 2pm-6pm	30	

ALL TRAININGS PROVIDED AT
1410 BOSTON RD. NEWTON NC
CONFERENCE ROOM

Horizons Kids LLC March 2023

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
			1	2	3	4
5	6	7 ORIENTATION 9am-5pm	8 Blood Borne Med Admin/Seizure Manage 2PM-6PM	9 NCI TRAINING 2pm-6pm	10	11
12	13	14	15	16	17	18
19	20	21 ORIENTATION 9am-5pm	22 Blood Borne Med Admin/Seizure Manage 2PM-6PM	23 NCI TRAINING 2pm-6pm	24	25
26	27	28	29	30	31	

ALL TRAININGS PROVIDED AT 1410 BOSTON RD
NEWTON NC CONFERENCE ROOM

Horizons Kids LLC May 2023

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
	1	2 ORIENTATION 9am-5pm	3 Blood Borne Med Admin/Seizure Manage 2PM-6PM	4 NCI Training 2pm-6pm	5	6 CPR/ FIRST AID 9AM-2PM
7	8	9	10	11	12	13
14	15	16 ORIENTATION 9am-5pm	17 Blood Borne Med Admin/Seizure Manage 2PM-6PM	18 NCI Training 2pm-6pm	19	20 CPR/ FIRST AID 9AM-2PM
21	22	23	24	25	26	27
28	29	30 ORIENTATION 9am-5pm	31 Blood Borne Med Admin/Seizure Manage 2PM-6PM	NCI Training 2pm-6pm		

ALL TRAININGS PROVIDED AT
1410 BOSTON RD. NEWTON NC
CONFERENCE ROOM

From: [REDACTED]
Sent: Thursday, March 9, 2023 7:59 AM
To: [REDACTED]
Subject: RE: Lentz Wastewater

Caution! This message was sent from outside your organization.

[Allow sender](#) | [Block sender](#)

I spoke to the guys this morning and confirmed that the tank was replaced, and they filled the dirt back in and recovered the tank.

Please let me know if you have any questions or concerns.



[REDACTED]



[REDACTED]



From: [REDACTED]
Sent: Wednesday, March 8, 2023 7:31 PM
To: [REDACTED]
Subject: RE: Lentz Wastewater

Let me know once the dirt is filled back int. 😊

Thanks,

[REDACTED]
LB&J Certified Public Accountants
5936 Monroe Road
Charlotte, NC 28212
www.LBJcpa.com

Office [REDACTED]
Direct [REDACTED]
Fax ([REDACTED]

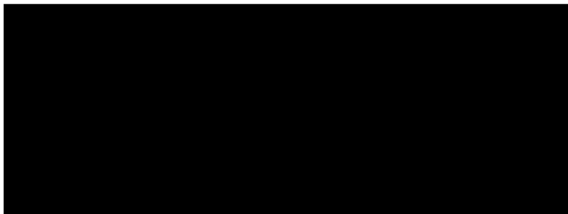
Fro [Redacted]
Sen [Redacted]
To: [Redacted]

Subject: Lentz Wastewater

Good Afternoon,

I just wanted to let you know that we did complete the tank replacement at Horizon kids this morning. I did email you a copy of the paid invoice for your records. In addition, I also wanted to let you know that the inspector was on site and everything is completed.

Thank,



Lentz Wastewater Management, Inc

463 Lentz Road
Statesville, NC 28625
office@entzwastewater.com | www.entzwastewater.com



RECIPIENT:

Horizon Kids, LLC.

130 Saint James Circle
Statesville, North Carolina 28625

Invoice #65846

Issued	03/08/2023
Due	03/08/2023
Paid	03/08/2023

Total **\$4,800.00**

Account Balance \$0.00

Septic Tank Replacement

PRODUCT / SERVICE	DESCRIPTION	TOTAL
03/08/2023		
Septic Tank Replacement	<ul style="list-style-type: none">- Pump, crush and fix existing septic tank- Install 1000 gallon septic tank with filter and risers- Install new 4" Sch 40 PVC 2-way clean out and new 4" Sch 40 PVC supply line from house to tank- Install new distribution box (Set with speed levees to feed grave bed first before overflowing to conventional lines)- Install new distribution box to feed grave bed- Make all necessary connections to existing drain field- Environmental Health Department on site for approval, prior to covering	\$4,800.00*

* Non-taxable

Cert. Installer (Grade Level IV) #3360
Inspector #33601
SS Operator #999423

Lentz Wastewater Management, Inc 20-1899031

Subtotal	\$4,800.00
Iredell County (6.75%)	\$0.00
Total	\$4,800.00
Paid	-\$4,800.00
Invoice balance	\$0.00
Account balance	\$0.00

Horizons Kids LLC

5936 Monroe Road
Charlotte, NC 28212
(980) 434-5328
www.HorizonsK.com

March 14, 2023

Private & Confidential

Mental Health Licensure and Certification Section
NC Division of Health Service Regulation
2718 Mail Service Center
Raleigh, NC 27699-2718

Subject: **Plan of Correction**
Facility: **130 St. Jill Circle, Statesville, NC 28625**
ID: **MHL # 049-157**

Dear [REDACTED]

Please find enclosed the Plan of Correction for Horizons Kids LLC as it relates to our facility located at 130 St. Jill Circle, Statesville, NC 28625.

As you will see in the Plan of Correction, in order to address any future incidents with staff not receiving the proper training, we have pre-scheduled training with our vendors for the next 90-days in case we onboard any new employees or have a need. If this process is effective we will continue to do so. In addition, we will make sure that our Quality Assurance person validates that the employee has received the necessary certifications and training before entering a facility.

On a separate note, please note that the septic system in the back yard has been repaired and the ground covered back up. I have enclosed the invoice and e-mail from the vendor for your records.

If you have any questions, please do not hesitate to contact me at (704) 458-7189.

Very truly yours,

[REDACTED]
Horizons Kids LLC