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	MHL0601464	A. BUILDING: _____ B. WING _____	C 08/07/2023

NAME OF PROVIDER OR SUPPLIER	STREET ADDRESS, CITY, STATE, ZIP CODE
ROPES, INC	10721 GLENLUCE AVENUE CHARLOTTE, NC 28213

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V 000	INITIAL COMMENTS An annual, complaint and follow up survey was completed on 8-7-23. The complaint was unsubstantiated (Intake #NC00202156) Deficiencies were cited. This facility is licensed for the following service category: 10A NCAC 27G .5600B Supervised Living for Minors with Developmental Disability. This facility is licensed for 3 and currently has a census of 2. The survey sample consisted of audits of 2 current clients and 1 former client.	V 000		
V 366	27G .0603 Incident Response Requirments 10A NCAC 27G .0603 INCIDENT RESPONSE REQUIREMENTS FOR CATEGORY A AND B PROVIDERS (a) Category A and B providers shall develop and implement written policies governing their response to level I, II or III incidents. The policies shall require the provider to respond by: (1) attending to the health and safety needs of individuals involved in the incident; (2) determining the cause of the incident; (3) developing and implementing corrective measures according to provider specified timeframes not to exceed 45 days; (4) developing and implementing measures to prevent similar incidents according to provider specified timeframes not to exceed 45 days; (5) assigning person(s) to be responsible for implementation of the corrections and preventive measures; (6) adhering to confidentiality requirements set forth in G.S. 75, Article 2A, 10A NCAC	V 366	DHSR - Mental Health SEP 05 2023 Lic. & Cert. Section	

	26B, 42 CFR Parts 2 and 3 and 45 CFR Parts 160 and 164; and (7) maintaining documentation regarding			

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V 366	Continued From page 1 Subparagraphs (a)(1) through (a)(6) of this Rule. (b) In addition to the requirements set forth in Paragraph (a) of this Rule, ICF/MR providers shall address incidents as required by the federal regulations in 42 CFR Part 483 Subpart I. (c) In addition to the requirements set forth in Paragraph (a) of this Rule, Category A and B providers, excluding ICF/MR providers, shall develop and implement written policies governing their response to a level III incident that occurs while the provider is delivering a billable service or while the client is on the provider's premises. The policies shall require the provider to respond by: (1) immediately securing the client record by: (A) obtaining the client record; (B) making a photocopy; (C) certifying the copy's completeness; and (D) transferring the copy to an internal review team; (2) convening a meeting of an internal review team within 24 hours of the incident. The internal review team shall consist of individuals who were not involved in the incident and who were not responsible for the client's direct care or with direct professional oversight of the client's services at the time of the incident. The internal review team shall complete all of the activities as follows: (A) review the copy of the client record to determine the facts and causes of the incident and make recommendations for minimizing the occurrence of future incidents; (B) gather other information needed; (C) issue written preliminary findings of fact within five working days of the incident. The preliminary findings of fact shall be sent to the LME in whose catchment area the provider is	V 366		

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V 366	Continued From page 2 located and to the LME where the client resides, if different; and (D) issue a final written report signed by the owner within three months of the incident. The final report shall be sent to the LME in whose catchment area the provider is located and to the LME where the client resides, if different. The final written report shall address the issues identified by the internal review team, shall include all public documents pertinent to the incident, and shall make recommendations for minimizing the occurrence of future incidents. If all documents needed for the report are not available within three months of the incident, the LME may give the provider an extension of up to three months to submit the final report; and (3) immediately notifying the following: (A) the LME responsible for the catchment area where the services are provided pursuant to Rule .0604; (B) the LME where the client resides, if different; (C) the provider agency with responsibility for maintaining and updating the client's treatment plan, if different from the reporting provider; (D) the Department; (E) the client's legal guardian, as applicable; and (F) any other authorities required by law. **This Rule is not met as evidenced by:** **Based on record review and interviews the facility failed to implement written policies governing**	V 366	Executive director will ensure all qualified and direct staff are re-trained within 60 days of POC (10/25/23) in NC IRIS reporting requirements and timelines. To prevent this from occurring again Lead QP will ensure all direct and qualified staff have completed training and have a certificate of competency in NC IRIS requirements and will meet monthly to discuss incidents that have happened during the past 30 days. Lead QP ([redacted] will monitor compliance with a monthly report to the ED on incidents that have happened during the past 30 days. Lead QP will also ensure that all incidents have been completed, reviewed, signed, printed, and filed within the 72 hour timeframe.	

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V 366	Continued From page 3 their response to level I or II incidents. The findings are: Review on 7-10-23 of former client (FC) #3's record revealed: Date of Admission: 8-30-22. Age: 10. Date of discharge: 12-28-22. Diagnoses: Attention Deficit Disorder level II with aggression, Autism Spectrum Disorder, Moderate Intellectual Disability. Review on 7-10-23 of facility records for November 1, 2022-December 28, 2022 revealed: -No IRIS (North Carolina Incident Reporting Improvement Response System) reports or LME/MCO (Local Management Entity/Managed Care Organization) notification for FC #3's hospitalizations on 12-8-22, 12-13-22 and 12-28-22. Review on 7-10-23 of IRIS for November 1, 2022-December 31, 2022 revealed: -No IRIS, risk cause analysis or documentation to support submission of written preliminary findings of fact to the LME/MCO within 5 working days of FC #3's hospitalizations on 12-8-22, 12-13-22 and 12-28-22. Interview on 7-10-23 with the Director revealed: -FC #3 had an increase in behaviors beginning in November of 2022. -FC #3 was hospitalized 3 times (12-8-22, 12-13-22 and 12-28-22) due to his behaviors which included suicidal ideations. -Qualified Professional (QP) completed IRIS reports. -He would have the QP provide the IRIS	V 366		

	reports. Review on 7-12-23 at approximately 3:45pm of			

Division of Health Service Regulation

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V 366	Continued From page 4 IRIS reports provided by the QP revealed; -Two IRIS reports dated 7-12-23 documenting incidents occuring on 12-13-22 and 12-27-22 for FC #3. Interview on 7-12-23 with the QP revealed: -FC #3's behaviors escalated towards the middle of November 2022. -He thought FC #3's behaviors were documented in the clinical notes. -He would check with the Director to see if the Director had any other incident reports. Interview on 7-12-23 with the Director revealed: "That's all (incident reports) we have."	V 366		
V 367	27G .0604 Incident Reporting Requirements 10A NCAC 27G .0604 INCIDENT REPORTING REQUIREMENTS FOR CATEGORY A AND B PROVIDERS (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: (1) reporting provider contact and identification information; (2) client identification information;	V 367		

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V 367	Continued From page 5 (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. (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: (1) the provider has reason to believe that information provided in the report may be erroneous, misleading or otherwise unreliable; or (2) the provider obtains information required on the incident form that was previously unavailable. (c) Category A and B providers shall submit, upon request by the LME, other information obtained regarding the incident, including: (1) hospital records including confidential information; (2) reports by other authorities; and (3) the provider's response to the incident. (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). (e) Category A and B providers shall send a report quarterly to the LME responsible for the	V 367		

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V 367	Continued From page 6 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: (1) medication errors that do not meet the definition of a level II or level III incident; (2) restrictive interventions that do not meet the definition of a level II or level III incident; (3) searches of a client or his living area; (4) seizures of client property or property in the possession of a client; (5) the total number of level II and level III incidents that occurred; and (6) a statement indicating that there have 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. This Rule is not met as evidenced by: Based on record review and interviews the facility failed to report all level II incidents as required. Review on 7-10-23 of former client (FC) #3's record revealed: Date of Admission: 8-30-22. Age: 10. Date of discharge: 12-28-22. Diagnoses: Attention Deficit Disorder level II with aggression, Autism Spectrum Disorder, Moderate Intellectual Disability.	V 367	Executive director will ensure all qualified and direct staff are aware of Level II incident reporting requirements and timelines and are re-trained within 60 days of POC (10/25/23). To prevent this from occurring again Lead QP will ensure all direct and qualified staff have completed training and have a certificate of competency in NC IRIS requirements. All staff will be given a hard copy of training along with NC IRIS reporting requirements manual available on site at all times. Lead QP and staff will meet monthly to discuss incidents that have happened during the past 30 days. Lead QP [redacted] will monitor compliance with a monthly report to the ED on incidents that have happened during the past 30 days. Lead QP will also ensure that all incidents have been completed, reviewed, signed, printed, and filed within the 72 hour timeframe.	

PRINTED: 08/22/2023
FORM APPROVED

Division of Health Service Regulation

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V 367	Continued From page 7 Review on 7-10-23 of facility records revealed: -No IRIS (Incident Response Improvement System) reports or LME/MCO (Local Management Entity/Managed Care Organization) notification for FC #3's hospitalizations on 12-8-22, 12-13-22 and 12-28-22. Review on 7-10-23 of the IRIS for the period of November 2022 through December 2022 revealed: -No IRIS report submitted documenting FC #3's hospitalizations on 12-8-22, 12-13-22 or 12-28-22. Interview on 7-10-23 with the Director revealed: -FC #3 had an increase in behaviors beginning in November of 2022. -FC #3 was hospitalized 3 times (12-8-22, 12-13-22 and 12-28-22) due to his behaviors which included suicidal ideations. -No documentation of notification to the LME/MCO of FC #3's hospitalizations on 12-8-22, 12-13-22 or 12-28-22.	V 367		

Signed: [signature], QP, ED Date: 08/25/2023