STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION	(X3) DATE SURVEY COMPLETED
	MHL0411237	A. BUILDING: _____ B. WING _____	11/22/2023

DHSR - Mental Health
DEC 19 2023
Lic. & Cert. Section

NAME OF PROVIDER OR SUPPLIER	STREET ADDRESS, CITY, STATE, ZIP CODE
THE VILLAGE OF QMH	4808 MYSTIC OAK DRIVE BROWNS SUMMIT, NC 27214

(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 complaint survey was completed on 11/22/23. The complaint was unsubstantiated (intake # NC0000209809). Deficiencies were cited. This facility is licensed for the following service category: 10A NCAC 27G .5600B Supervised Living for Minors with Developmental Disabilities. This facility is licensed for 3 and currently has a census of 2. The survey sample consisted of audits of 2 current clients.	V 000	Exit comments: QP: [redacted] re-trained for IRIS incident reporting through Sandhills Center. (virtual) Staff 1 [redacted]-Direct Service Saff retrained for incident reporting/NCI through WesCare Professional Services Staff 2 [redacted]-Program Director retrained for: Incident Reporting/ NCI through WesCare Professional Services	12/6/23 12/29/23 11/30/23
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 26B, 42 CFR Parts 2 and 3 and 45 CFR Parts 160 and 164; and (7) maintaining documentation regarding	V 366	V 366: Qualified Professional (QP) and (a)Program Director (PD) hosted a in-service training for staff. This training was in response to the incident on 11/22/23 with client XP. Staff was informed for what classifies as a level I, II, & III altercation. This information came from the Incident Reporting and Response Manual (February 2011) 1) Staff was informed that after a Restrictive Intervention each client must be check on for health and safety of the client involved in the incident of crisis. 2) Staff will debrief with NCI trainer Eric Page within 24 hours of a Restrictive Intervention.	12/7/23 TBD TBD

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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	V 366 continued... 3) QP will review incident documentation 4) QP will debrief with involved client after an incident to find the source of the altercation. 5) Written updates of policy will be advised as needed by: [redacted] and/or [redacted] 6) Immediately after an incident the QP will notify the LME & Guardian	TBD TBD TBD

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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 interview, the facility failed to implement written policies governing	V 366	*This page was internally left blink**	

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V 366	Continued From page 3 their responses to level II incidents affecting 1 of 2 clients (client #1). The findings are: Review on 11/21/23 of client #1's record revealed: - An admission date of 5/12/23 - Diagnoses of Mild Intellectual Developmental Disability; Autism Spectrum Disorder (D/O) and Attention Deficit Hyperactivity D/O Review on 11/21/23 of staff #1's record revealed: - A hire date of 9/25/23 as a paraprofessional - She had received National Crisis Intervention Plus (NCI +) ("preventative, defensive and restrictive") training on 9/27/23 Review on 11/21/23 of an in-house incident report completed by staff #1 on 11/6/23 revealed: - "When [client #1] was asked to go to his room, [client #1] tried leaving the premises. When staff (staff #1) approached [client #1] he began to try to strike staff with punches and kicks. Staff used NCI (National Crisis Intervention) Restraint to prevent [client #1] from attacking staff. After restraint was released [client #1] went to his room. He was screaming he didn't want to be in his room and he did not do anything wrong. He eventually stopped screaming after staff talking to him [Client #1] spent the rest of the evening in his room." Review on 11/20/23 of a "General Event Reports" (GER) completed by staff #1 on 11/7/23 revealed: - "[Client #1] had behaviors the prior day and had quiet time in his room today due to previous behaviors. [Client #1] was asked to go to his room for quiet time and he got upset and angry. When [client #1] was approached by staff (staff #1), [client #1] began to attempt to punch, bit, and kick staff. Staff Restrained [client #1] for about 2-5 minutes. He continued to be physically and	V 366	*This page was internally left blink**	

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V 366	Continued From page 4 verbally aggressive during restraint. When released [client #1] was calm and went to his room." Review on 11/15/23 and on 11/21/23 of the North Carolina Incident Response Improvement System (IRIS) revealed: - No level II incident report regarding client #1 and the events of 11/6/23 which would have included documentation of how the facility had attended to the health and safety needs of the individual involved in the restraint; determined the cause of the incident; if the facility had developed and implemented any corrective measures; if any measures had been developed to prevent similar incidents and had they assigned person(s) to be responsible for implementation of any corrective/preventative measures - No evidence the Local Management Entity/Managed Care Organization and client #1's legal guardian were notified Interview on 11/21/23 with the Qualified Professional revealed: - Was aware that staff #1 had to restrain client #1 when he became physically aggressive towards her on 11/6/23 - Had not submitted an incident report to IRIS regarding the events of 11/6/23	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	V 367	[redacted] will retrain with WesCare IRIS/Incident Reporting [redacted] was issued an IRIS reporting manual for future review of policy and procedures.	TBD 11/26/23

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V 367	Continued From page 5 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; (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	V 367	*This page was internally left blink**	

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V 367	Continued From page 6 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 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.	V 367	*This page was internally left blink**	

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V 367	Continued From page 7 This Rule is not met as evidenced by: Based on record review and interview, the facility failed to report all level II incidents within 72 hours of becoming aware of the incident to the LME (Local Management Entity) responsible for the catchment area where services were provided affecting affecting 1 of 2 clients (client #1). The findings are: Review on 11/21/23 of client #1's record revealed: - An admission date of 5/12/23 - Diagnoses of Mild Intellectual Developmental Disability; Autism Spectrum Disorder (D/O) and Attention Deficit Hyperactivity D/O Review on 11/21/23 of staff #1's record revealed: - A hire date of 9/25/23 as a paraprofessional - She had received National Crisis Intervention Plus (NCI +) ("preventative, defensive and restrictive") training on 9/27/23 Review on 11/21/23 of an in-house incident report completed by staff #1 on 11/6/23 revealed: - "When [client #1] was asked to go to his room, [client #1] tried leaving the premises. When staff (staff #1) approached [client #1] he began to try to strike staff with punches and kicks. Staff used NCI (National Crisis Intervention) Restraint to prevent [client #1] from attacking staff. After restraint was released [client #1] went to his room. He was screaming he didn't want to be in his room and he did not do anything wrong. He eventually stopped screaming after staff talking to him [Client #1] spent the rest of the evening in his room." Review on 11/20/23 of a "General Event Reports" (GER) completed by staff #1 on 11/7/23 revealed:	V 367	*This page was internally left blink**	

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V 367	Continued From page 8 - "[Client #1] had behaviors the prior day and had quiet time in his room today due to previous behaviors. [Client #1] was asked to go to his room for quiet time and he got upset and angry. When [client #1] was approached by staff (staff #1), [client #1] began to attempt to punch, bit, and kick staff. Staff Restrained [client #1] for about 2-5 minutes. He continued to be physically and verbally aggressive during restraint. When released [client #1] was calm and went to his room." Review on 11/15/23 and on 11/21/23 of the North Carolina Incident Response Improvement System (IRIS) revealed: - No incident report submitted on behalf of client #1 and the events of 11/6/23 Interview on 11/21/23 with the Qualified Professional revealed: - Was aware that staff #1 had to restrain client #1 when he became physically aggressive towards her on 11/6/23 - Had not submitted an incident report to IRIS regarding the events of 11/6/23	V 367	**This page was internally left blink**	