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	MHL013-232	A. BUILDING: _____ B. WING _____	10/14/2024

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APOMO-RANKIN STREET	220 RANKIN STREET KANNAPOLIS, NC 28081

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V 000	INITIAL COMMENTS An annual and complaint survey was completed on October 14, 2024. The complaint was unsubstantiated (intake #NC00221596). 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 4 and has a current 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 Requirements 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		

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

Administrative Director | 11/8/2024

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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 reviews and interviews, the facility failed to implement written policies	V 366		

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V 366	Continued From page 3 governing their response to level II incidents as required. The findings are: Review on 10/11/24 of the Local Police Department's Event List for the Facility revealed: -On 7/8/24 Former Client (FC #3) had a behavior and the police were called. -On 7/10/24 FC #3 eloped and was returned by the police. -On 7/11/24 police were called because FC #3 assaulted another client. -On 7/14/24 FC #3 eloped and had to be turned by police. -On 8/6/24 FC #3 eloped and had to be returned by police. -9/6/24 FC # eloped and had to be returned by police. -9/7/24 FC #3 eloped and had to be returned by the police. Review on 9/27/24 of the NC Incident Response Improvement System (IRIS) revealed: -The facility had not reported any level II incidents between July 1, 2024 to September 27, 2024. Review on 9/30/24 of the facility's records revealed: -No Risk/Cause/Analysis (RCA) for the incidents that occurred with FC #3 from 7/8/24 to 9/7/24. Interview on 10/8/24 with Staff #1 revealed: -All internal incident reports were turned in to the Owner/Qualified Professional (QP). Interview on with the Executive Director revealed: -All staff completed incident reports and turn them in to the Owner/QP. -"[Owner/QP] is responsible for turning in IRIS reports."	V 366	Behavior noted on 7/8/24 was a former client eloped. As noted the dates of 7/8/24, 7/10/24,7/14/24, 8/6/24, 9/6/24 and 9/7/24, the client eloped but was not out of sight of staff. Staff is trained to follow the client when he elopes as is was frequent behavior. In the instances mentioned, police were called by parties that the client engaged. While our policy is to follow a resident when they elope and try to get them to return to the house. At times this resident engaged outside parties to call 911. The resident was not out of the presence of APOMO staff but police presence encouraged his return to the home. With the clarification received from the surveyor, APOMO will complete an IRIS Report for all instances where police are called whether called by an associate of APOMO or an outside party. If police presence is on scene at any point, an IRIS report will be completed according to the IRIS Reporting Manual. APOMO has completed internal incident reports and reports via IRIS. In the future, we will use the most conservative method of reporting via IRIS to allow the system to designate level of incident. We will also ensure follow up is documented regarding RCA. In response to "thinking all runaways were a level 1". I believe this is a misquote and not of the QP. The QP indicated that elopement in the IRIS manual is contradictory on places. It mention 0-3 hours. Because our policy is to follow the resident and keep eyes on them, it makes it difficult to assess how these instances should be reported since elopement was with supervision. Based on guidance of the surveyor, it is clear that police intervention whether by APOMO or outside parties, should be level II and reported.	

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V 366	Continued From page 4 Interview on 10/10/24 with the Owner/QP revealed: -She was responsible for completing IRIS reports.	V 366	7/11/24 Police were called by an adjacent neighbor when another resident false reported that he was hit by a resident. Two staff members were present during the incident and although the residents exchanged words, there was no physical contact between the two. One resident ran out of the home and knocked on a neighbors door telling the neighbor that he was beat up. That neighbor called the police. With the clarification received from the surveyor, APOMO will complete an IRIS Report for all instances where police are called whether called by an associate of APOMO or an outside party. If police presence is on scene at any point, an IRIS report will be completed according to the IRIS Reporting Manual. APOMO has completed internal incident reports and reports via IRIS. In the future, we will use the most conservative method of reporting via IRIS to allow the system to designate level of incident. We will also ensure follow up is documented regarding RCA. The response on page 4 and 5 addresses both citations 366 and 367	
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; (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	V 367		

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V 367	Continued From page 5 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 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	V 367		

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V 367	Continued From page 6 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 reviews and interviews, the facility failed to report level II incidents in the Incident Response Improvement System (IRIS) and notify the Local Management Entity/Managed Care Organization (LME/MCO) within 72 hours of becoming aware of an incident. The findings are: Review on 10/11/24 of the Local Police Department's Event List for the Facility revealed: -On 7/8/24 Former Client (FC #3) had a behavior and the police were called. -On 7/10/24 FC #3 eloped and was returned by the police. -On 7/11/24 police were called because FC #3 assaulted another client. -On 7/14/24 FC #3 eloped and had to be turned by police. -On 8/6/24 FC #3 eloped and had to be returned by police. -9/6/24 FC # eloped and had to be returned by police. -9/7/24 FC #3 eloped and had to be returned by the police.	V 367		

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V 367	Continued From page 7 Review on 9/27/24 of the NC Incident Response Improvement System (IRIS) revealed: -The facility had not reported any level II incidents between July 1, 2024 to September 27, 2024. Interview on 10/8/24 with Staff #1 revealed: -All internal incident reports were turned in to the Owner/Qualified Professional (QP). Interview on with the Executive Director revealed: -All staff completed incident reports and turn them in to the Owner/QP. -"[Owner/QP] is responsible for turning in IRIS reports." Interview on 10/10/24 with the Owner/QP revealed: -She was responsible for completing IRIS reports. -Was not aware that calls for service for elopement was a level II incident. -"I thought runaways were all level I incidents." -Would complete an IRIS report for all elopements going forward.	V 367		