Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION A. BUILDING: B. WING	(X3) DATE SURVEY COMPLETED
	MHL045-137		08/11/2025

NAME OF PROVIDER OR SUPPLIER: A STEP FORWARD

STREET ADDRESS, CITY, STATE, ZIP CODE: 405 CREST ROAD, EAST FLAT ROCK, NC 28726

(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 survey was completed on 8/11/25. Deficiencies were cited. This facility is licensed for the following service category: 10A NCAC 27G .5600F Supervised Living for Individuals of all Disability Groups/Alternative Family Living. This facility is licensed for 2 and currently has a census of 2. The survey sample consisted of an audit of 2 current clients.	V 000	RECEIVED AUG 28 2025 DHSR-MH Licensure Sect	
V 118	27G .0209 (C) Medication Requirements 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; (B) name, strength, and quantity of the drug; (C) instructions for administering the drug; (D) date and time the drug is administered; and (E) name or initials of person administering the	V 118	The physician's order for Calcitriol was located in the EHR system. The Clinical Supervisor and AFL will be trained on how to access the physician's orders from the EHR. The Regional Director will ensure all clinical supervisors are trained on accessing the physician's orders from the EHR. The physician's order for Vitamin D3 states "Vitamin D3 50 MCG (2000 UT) orally capsule 1 capsule once a day". This is an over the counter medication. The AFL Provider has difficulty locating D3 50 MCGs so she purchased D3 25 MCGs and administers 2 tablets per passage to account for the Dr's order of "50 MCG". The team will coordinate with the physician and pharmacist to ensure the prescription reflects dosages available.The MAR will be reconfigured to accurately reflect the updated prescription. An incident report will be completed to reflect error in documentation. The Clinical Supervisor will train the AFL on how to access the MARs for more than one day	9/1/2025

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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE: [signature] TITLE: Qm Director (X6) DATE: 8/22/25

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V 118	Continued From page 1 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. This Rule is not met as evidenced by: Based on observation, record reviews and interviews, the facility failed to ensure medications were administered on the written order of a physician and failed to keep the MAR current affecting 1 of 2 clients (#1). Observation on 8/7/25 at 12:10pm of Client #1's medications revealed: -One bottle of Calcitriol 0.25 micrograms (mcg) dispensed on 7/20/25. The pharmacy label instructions revealed, give 1 tablet 3 times a week (Monday, Wednesday, Friday). -One bottle of over the counter (OTC) Vitamin D3 1000 international units (iu). Review on 8/8/25 of Client #1's record revealed: -Date of admission: 5/22/06. -Diagnoses: Moderate Intellectual Developmental Disability, Chronic Kidney Disease, Tuberous Sclerosis, Seizure Disorder. -Physician's orders dated 1/27/25 included: -Vitamin D3 2000iu (deficiency) - 1 capsule daily. -There was no physician's order made available for Calcitriol. Review on 8/8/25 of Client #1's MARs from	V 118		

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V 118	Continued From page 2 5/1/25-8/7/25 revealed: -Vitamin D3 1000iu was documented as administered 6/1/25-8/7/25 (68 doses) despite the physician's order for 2000iu. Additionally, instructions on the MARs did not include the strength (iu). -Calcitriol was documented as administered 6/2/24, 6/4/25, 6/6/25, 6/9/25, 6/11/25, 6/13/25, 6/16/25, 6/18/25, 6/20/25, 6/23/25, 6/25/25, 6/27/25, 6/30/25, 7/2/25, 7/4/25, 7/7/25, 7/9/25, 7/11/25, 7/14/25, 7/16/25, 7/18/25, 7/21/25, 7/23/25, 7/25/25, 7/28/25, 7/30/25, 8/1/25, 8/6/25. (28 doses) Interview on 8/7/25 with Client #1 revealed: -Received his medications from AFL provider. -"Not sure exactly what he takes ..." Interview on 8/7/25 with the AFL (alternative family living) provider revealed: -She administered Client #1 Calcitriol on Mondays, Wednesdays and Fridays for his kidney disease. -She did not know how to access documents or review MARs for more than one day, in the electronic record. The Qualified Professional (QP) could send documents (MARs and orders). Interview on 8/11/25 with the QP revealed: -Visited the facility every month but did not always look at the medications. -The Licensee had medical staff ..."a nurse visited quarterly ..." -"(Physician's) orders might be in [electronic record] but not sure what they're under ..."	V 118		
V 131	G.S. 131E-256 (D2) HCPR - Prior Employment Verification	V 131		

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V 131	Continued From page 3 G.S. §131E-256 HEALTH CARE PERSONNEL REGISTRY (d2) Before hiring health care personnel into a health care facility or service, every employer at a health care facility shall access the Health Care Personnel Registry and shall note each incident of access in the appropriate business files. This Rule is not met as evidenced by: Based on record review and interviews, the facility failed to ensure each staff member had no substantiated findings of abuse or neglect listed on the North Carolina Health Care Personnel Registry (HCPR) prior to date of hire for 1 of 2 audited staff (Qualified Professional) (QP). The findings are: Record review on 8/8/25 for the QP revealed: -Date of hire: 5/30/24 -HCPR check was completed 6/18/24, not prior to date of hire. Interview on 8/11/25 with the QP revealed: -She had requested the information from Human Resources (HR). "It's really hard to get HR to respond ...she's a very busy woman ..."	V 131	The information provided to the reviewer was incorrect. The CS Start date was 6/28/24, this can be obtained by viewing the job summary on the electronic personnel files. The HCPR check was completed on 6/18/24, prior to HCPR check. Critical information is housed in our electronic personnel system under the job summary tab. In the future we will ensure that the job summary page will be printed out and provided to the auditor. Clinical supervisors will be notified to ask the HR admin support for a printed copy of the job summary which has the date of hire ' and other information listed on it. The Human Rescource Business Partner will monitor implementation of this correction.	9/11/2025
V 133	G.S. 122C-80 Criminal History Record Check G.S. §122C-80 CRIMINAL HISTORY RECORD CHECK REQUIRED FOR CERTAIN APPLICANTS FOR EMPLOYMENT. (a) Definition. - As used in this section, the term	V 133		

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V 133	Continued From page 4 "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. (b) Requirement. - An offer of employment by a 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	V 133		

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V 133	Continued From page 5 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 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. (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: (1) The level and seriousness of the crime. (2) The date of the crime. (3) The age of the person at the time of the conviction. (4) The circumstances surrounding the commission of the crime, if known.	V 133	A background check was conducted on 6/14/24 prior to hire and is located in an archived system. All HR admin staff will be trained to look in both systems for background checks for any inquiries prior to April 2025. The Human Rescources Business Partner will monitor the implementatoin of this correction.	9/11/2025

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V 133	Continued From page 6 (5) The nexus between the criminal conduct of the person and the job duties of the position to be filled. (6) The prison, jail, probation, parole, rehabilitation, and employment records of the person since the date the crime was committed. (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. (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: (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. (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	V 133		

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V 133	Continued From page 7 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 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. (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.	V 133		

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V 133	Continued From page 8 (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: (1) The provider shall not employ an applicant 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.) This Rule is not met as evidenced by: Based on record review and interviews, the facility failed to request a state or national criminal background check within 5 days of making the conditional offer of employment for 1 of 2 audited staff (Qualified Professional) (QP). The findings are: Record review on 8/8/25 for the QP revealed: -Date of hire: 5/30/24 -Criminal background check presented was initiated 5/30/25. Interview on 8/11/25 with the QP revealed: -There may have been additional background checks. -She had requested the information from Human Resources (HR). "It's really hard to get HR to	V 133		

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V 133	Continued From page 9 respond ...she's a very busy woman ..."	V 133		