

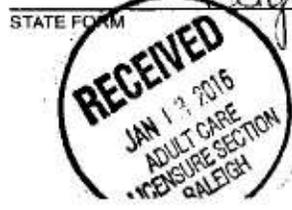
Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>HAL092146</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING: _____	(X3) DATE SURVEY COMPLETED  <b>12/17/2015</b>
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NAME OF PROVIDER OR SUPPLIER  <b>BROOKRIDGE ASSISTED LIVING</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>312 LYNCH STREET APEX, NC 27502</b>
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(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
D 000	Initial Comments  The Adult Care Licensure Section and the Wake County Department of Social Services conducted an annual survey and complaint investigation on December 15 - 17, 2015. The complaint investigation was initiated by the Wake County Department of Social Services on November 12, 2015.	D 000		
D 139	10A NCAC 13F .0407(a)(7) Other Staff Qualifications  10A NCAC 13F .0407 Other Staff Qualifications (a) Each staff person at an adult care home shall: (7) have a criminal background check in accordance with G.S. 114-19.10 and 131D-40;  This Rule is not met as evidenced by: Based on observation, interview and record review, the facility failed to assure 1 of 5 sampled staff (Staff A) had a criminal background check in accordance with G. S. 114-19.10 and 131D-40.  The findings are:  Review of Staff A, Personal Care Aide/Activities Coordinator (AC/PCA) personnel record revealed: -Staff A was hired on 02/28/2014. -Staff A was hired as the Activities Coordinator. -Staff A started working as a Personal Care Aide (PCA) on 11/19/2014. -Documentation Staff A signed a consent on 02/21/2014 for a Criminal Background Check to be completed. -There was a copy of fingerprinting dated 02/21/2014 that was obtained by a local agency for Staff B. -There was no documentation that a Criminal Background Check had been completed.	D 139	Brookridge Assisted Living Administrator has put in place to make sure all staff hired will have a criminal background check completed by the Administrator before date of hire. Attached hire request sheet #6. This will be completed at the cost of the facility.	12/16/15

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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE: *Edythe J. McMillan* TITLE: Administrator (X6) DATE: 1/12/16



Reviewed and accepted - # 1/19/2016

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D 139	<p>Continued From page 1</p> <p>Interview with Staff A on 12/16/2015 at 12:15pm revealed:</p> <ul style="list-style-type: none"> <li>-Staff A had the criminal background check completed before she was hired at the facility.</li> <li>-Staff A went to a local agency to have the criminal background check completed.</li> <li>-Staff A remembered the agency performing the fingerprinting.</li> <li>-Staff A was given paperwork by the agency and returned the paperwork to the facility Administrator.</li> </ul> <p>Interview with the Administrator on 12/16/2015 at 12:30pm revealed:</p> <ul style="list-style-type: none"> <li>-The Administrator let new hire staff get their own background check where ever the staff wanted to get it done.</li> <li>-When Staff A was hired, the Administrator did not have a criminal background check completed for Staff A but had done a criminal background check on Staff A in the past through an online service.</li> <li>-The Administrator did not have any documentation for the online criminal background search she had performed for Staff A.</li> <li>-The Administrator thought seeing the copy that the fingerprinting had been done meant to the Administrator the criminal background check had been done and the fingerprinting was sufficient.</li> <li>-The only copy of a criminal background check for Staff A was the copy of the national criminal records report the Administrator had printed on 12/16/2015.</li> <li>-The Administrator was responsible for ensuring criminal background checks were completed on all staff.</li> </ul> <p>Review of personnel records for Staff A presented by the Administrator on 12/17/2015 revealed:</p> <ul style="list-style-type: none"> <li>-A national criminal records report dated 12/16/2015 had been completed with no criminal</li> </ul>	D 139	<p>Staff A: completed a criminal background check by the Administrator on 12-16-15</p> <p>Staff A: completed a fingerprint on 12-17-15, Administrator mailed off to the address given and results was returned to Staff A Attached copy. December 30 received results.</p> <p>The following guidelines of the Adult care licensure section Brookridge Assisted Living will continue to follow rules as stated by the N.C. Dept. of Health and Human Services</p> <p>A review of all personell files has been completed as of 12-20-15. The Health and Wellness Coordinator will check all personell files behind the Administrator. Any New Hires the Administrator will check the Orientation Checklist for completion. The Health and Wellness Coordinator will also check behind the Administrator</p>	<p>12-16-15</p> <p>12/30/15</p> <p>12/16/15 Immediate</p> <p>12-20-15</p> <p>1/12/16</p>



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D 139

Continued From page 2

records found for Staff A.

- The Administrator presented a document indicating a national criminal background check had been reviewed on 02/16/2014 with no criminal record found for Staff A.
- A state criminal background check for another county had been completed on 03/01/2013.
- Staff A had fingerprinting performed on 12/16/2015.

Interview with the Administrator on 12/17/2015 at 9:40am revealed:

- The Administrator had completed the document indicating a national criminal background check had been reviewed on 02/16/2014 with no criminal record found for Staff A, on the evening of 12/16/2015 because she had not printed a copy of the online check she had done in the past.
- Staff A went to the local agency on 12/16/2015 to inquire about a previous criminal background check and found out the local agency did not have a record of completing a criminal background check so Staff A did the fingerprinting again and returned the paperwork to the Administrator for the criminal background check to be requested and completed.

D 139

*For Completion and Every 6 months to check for CEUs and to make sure all things on the Orientation Checklist is completed and available.*