

Date: May 11, 2020
To: Scott Good, State Director
Provider: Dungarvin New Mexico, LLC
Address: 2309 Renard Place SE, Suite 205
State/Zip: Albuquerque, New Mexico 87106

E-mail Address: scgood@dungarvin.com
clopezbeck@dungarvin.com
kmarshall@dungarvin.com
bmyers@dungarvin.com

Region: Metro & Northwest (Grants)
Routine Survey: November 1 – 7, 2019
Verification Survey: April 20 – 29, 2020
Program Surveyed: Developmental Disabilities Waiver

Service Surveyed: **2018:** Supported Living, Family Living, Intensive Medical Living; Customized In-Home Supports; Customized Community Supports, Community Integrated Employment Services

Survey Type: Verification

Team Leader: Kayla R. Benally, BSW, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau

Team Members: Lora Norby, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Elisa C. Perez Alford, MSW, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Bernadette Baca, MPA, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau

Dear Mr. Scott Good;

The Division of Health Improvement/Quality Management Bureau has completed a Verification survey of the services identified above. The purpose of the survey was to determine compliance with your Plan of Correction submitted to DHI regarding the *November 1 – 7, 2019*.

The Division of Health Improvement, Quality Management Bureau has determined your agency is now in:

Compliance: This determination is based on your agency's compliance with Condition of Participation level and Standard level requirements. Deficiencies found only affect a small percentage of the Individuals on the survey sample (*refer to Attachment D for details*). The attached QMB Report of Findings indicates Standard Level deficiencies identified and requires implementation of a Plan of Correction.

The following tags are identified as Standard Level:

- Tag # 1A32 Administrative Case File: Individual Service Plan Implementation (***New / Repeat Findings***)
- Tag # 1A32.1 Administrative Case File: Individual Service Plan Implementation (*Not Completed at Frequency*) (***New / Repeat Findings***)
- Tag # 1A09 Medication Delivery Routine Medication Administration (***New / Repeat Findings***)

DIVISION OF HEALTH IMPROVEMENT

5301 Central Avenue NE, Suite 400 • Albuquerque, New Mexico • 87108
(505) 222-8623 • FAX: (505) 222-8661 • <https://nmhealth.org/about/dhi/>



QMB Report of Findings – Dungarvin New Mexico, LLC – Metro & Northwest (Grants)– April 20 – 29, 2020

Survey Report #: Q.20.4.DDW.D1696.1,5.VER.01.20.132

- Tag #1A09.1 Medication Delivery PRN Medication Administration (***New / Repeat Findings***)

However, due to the new/repeat deficiencies your agency will be required to contact your DDS Regional Office for technical assistance and follow up and complete the Plan of Correction document attached at the end of this report. Please respond to the Plan of Correction Coordinator within 10 business days of receipt of this letter.

Plan of Correction:

The attached Report of Findings identifies the new/repeat Standard Level deficiencies found during your agency's verification compliance review. You are required to complete and implement a Plan of Correction. Your agency has a total of 10 business days from the receipt of this letter. The Plan of Correction must include the following:

1. Evidence your agency has contacted your DDS Regional Office for technical assistance;
2. A Plan of Correction detailing Quality Assurance/Quality Improvement processes to prevent your agency from receiving deficiencies in the future. Please use the format provided at the end of this report;
3. Documentation verifying that newly cited deficiencies have been corrected.

Submission of your Plan of Correction:

Please submit your agency's Plan of Correction and documentation verifying correction of survey deficiencies within 10 business days of receipt of this letter to the parties below:

1. **Quality Management Bureau, Attention: Plan of Correction Coordinator**
5301 Central Ave. NE Suite 400, New Mexico 87108
MonicaE.Valdez@state.nm.us

2. **Developmental Disabilities Supports Division Regional Office for region of service surveyed**

Failure to submit your POC within the allotted 10 business days may result in the imposition of a \$200 per day Civil Monetary Penalty until it is received, completed and/or implemented.

Please contact the Plan of Correction Coordinator, Monica Valdez at 505-273-1930 or email at: MonicaE.Valdez@state.nm.us if you have questions about the Report of Findings or Plan of Correction. Thank you for your cooperation and for the work you perform.

Sincerely,

Kayla R. Benally, BSW

Kayla R. Benally, BSW
Team Lead/Healthcare Surveyor
Division of Health Improvement
Quality Management Bureau

Survey Process Employed:

Administrative Review Start Date:	April 20, 2020
Contact:	<u>Dungarvin New Mexico, LLC</u> Crystal Lopez Beck, Director <u>DOH/DHI/QMB</u> Kayla R. Benally, BSW, Team Lead / Healthcare Surveyor
Entrance Conference Date:	April 20, 2020
Present:	<u>Dungarvin New Mexico, LLC</u> Crystal Lopez Beck, Director <u>DOH/DHI/QMB</u> Kayla R. Benally, BSW, Team Lead / Healthcare Surveyor
Exit Conference Date:	April 29, 2020
Present:	<u>Dungarvin New Mexico, LLC</u> Scott Good, State Director Crystal Lopez Beck, Director Bernadine Leekela, Director <u>DOH/DHI/QMB</u> Kayla R. Benally, BSW, Team Lead/Healthcare Surveyor Bernadette Baca, MPA, Healthcare Surveyor Wolf Krusemark, BFA, Healthcare Surveyor Supervisor <u>DDSD – Metro Regional Office</u> Tony Fragua, Community Programs Service Coordinator
Administrative Locations Visited:	0 (<i>Note: No administrative locations visited due to COVID- 19 Public Health Emergency</i>)
Total Sample Size:	17 1 - <i>Jackson</i> Class Members 16 - Non- <i>Jackson</i> Class Members 11 - Supported Living 4 - Family Living 1 - Intensive Medical Living Supports 1 - Customized In-Home Supports 13 - Customized Community Supports 1 - Community Integrated Employment
Persons Served Records Reviewed	17
Direct Support Personnel Records Reviewed	139
Direct Support Personnel Interviewed during Routine Survey	16
Substitute Care/Respite Personnel Records Reviewed	4

QMB Report of Findings – Dungarvin New Mexico, LLC – Metro & Northwest (Grants)– April 20 – 29, 2020

Service Coordinator Records Reviewed	6
Nurse Interview completed during Routine Survey	1

Administrative Processes and Records Reviewed:

- Medicaid Billing/Reimbursement Records for all Services Provided
- Accreditation Records
- Oversight of Individual Funds
- Individual Medical and Program Case Files, including, but not limited to:
 - Individual Service Plans
 - Progress on Identified Outcomes
 - Healthcare Plans
 - Medication Administration Records
 - Medical Emergency Response Plans
 - Therapy Evaluations and Plans
 - Healthcare Documentation Regarding Appointments and Required Follow-Up
 - Other Required Health Information
- Internal Incident Management Reports and System Process / General Events Reports
- Personnel Files, including nursing and subcontracted staff
- Staff Training Records, Including Competency Interviews with Staff
- Agency Policy and Procedure Manual
- Caregiver Criminal History Screening Records
- Consolidated Online Registry/Employee Abuse Registry
- Human Rights Committee Notes and Meeting Minutes
- Evacuation Drills of Residences and Service Locations
- Quality Assurance / Improvement Plan

CC: Distribution List: DOH - Division of Health Improvement
 DOH - Developmental Disabilities Supports Division
 DOH - Office of Internal Audit
 HSD - Medical Assistance Division
 NM Attorney General's Office

Attachment B

Department of Health, Division of Health Improvement QMB Determination of Compliance Process

The Division of Health Improvement, Quality Management Bureau (QMB) surveys compliance of the Developmental Disabilities Waiver (DDW) standards and other state and federal regulations. For the purpose of the LCA / CI survey the CMS waiver assurances have been grouped into four (4) Service Domains: Plan of Care (ISP Implementation); Qualified Providers; Health, Welfare and Safety; and Administrative Oversight (note that Administrative Oversight listed in this document is not the same as the CMS assurance of Administrative Authority. Used in this context it is related to the agency's operational policies and procedures, Quality Assurance system and Medicaid billing and reimbursement processes.)

The QMB Determination of Compliance process is based on provider compliance or non-compliance with standards and regulations identified during the on-site survey process and as reported in the QMB Report of Findings. All areas reviewed by QMB have been agreed to by DDSD and DHI/QMB and are reflective of CMS requirements. All deficiencies (non-compliance with standards and regulations) are identified and cited as either a Standard level deficiency or a Condition of Participation level deficiency in the QMB Reports of Findings. All deficiencies require corrective action when non-compliance is identified.

Each deficiency in your Report of Findings has been predetermined to be a Standard Level Deficiency, a Condition of Participation Level Deficiency, if below 85% compliance or a non-negotiable Condition of Participation Level Deficiency. Your Agency's overall Compliance Determination is based on a Scope and Severity Scale which takes into account the number of Standard and Condition Level Tags cited as well as the percentage of Individuals affected in the sample.

Conditions of Participation (CoPs)

CoPs are based on the Centers for Medicare and Medicaid Services, Home and Community-Based Waiver required assurances, in addition to the New Mexico Developmental Disability Waiver (DDW) Service Standards. The Division of Health Improvement (DHI), in conjunction with the Developmental Disability Support Division (DDSD), has identified certain deficiencies that have the potential to be a Condition of Participation Level, if the tag falls below 85% compliance based on the number of people affected. Additionally, there are what are called non-negotiable Conditions of Participation, regardless if one person or multiple people are affected. In this context, a CoP is defined as an essential / fundamental regulation or standard, which when out of compliance directly affects the health and welfare of the Individuals served. If no deficiencies within a Tag are at the level of a CoP, it is cited as a Standard Level Deficiency.

Service Domains and CoPs for Living Care Arrangements and Community Inclusion are as follows:

Service Domain: Service Plan: ISP Implementation - *Services are delivered in accordance with the service plan, including type, scope, amount, duration and frequency specified in the service plan.*

Potential Condition of Participation Level Tags, if compliance is below 85%:

- **1A08.3** – Administrative Case File: Individual Service Plan / ISP Components
- **1A32** – Administrative Case File: Individual Service Plan Implementation
- **LS14** – Residential Service Delivery Site Case File (ISP and Healthcare Requirements)
- **IS14** – CCS / CIES Service Delivery Site Case File (ISP and Healthcare Requirements)

Service Domain: Qualified Providers - *The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements. The State implements its policies and procedures for verifying that provider training is conducted in accordance with State requirements and the approved waiver.*

Potential Condition of Participation Level Tags, if compliance is below 85%:

- **1A20** - Direct Support Personnel Training
- **1A22** - Agency Personnel Competency

QMB Report of Findings – Dugarvin New Mexico, LLC – Metro & Northwest (Grants)– April 20 – 29, 2020

- **1A37** – Individual Specific Training

Non-Negotiable Condition of Participation Level Tags (one or more Individuals are cited):

- **1A25.1** – Caregiver Criminal History Screening
- **1A26.1** – Consolidated On-line Registry Employee Abuse Registry

Service Domain: Health, Welfare and Safety - *The State, on an ongoing basis, identifies, addresses and seeks to prevent occurrences of abuse, neglect and exploitation. Individuals shall be afforded their basic human rights. The provider supports individuals to access needed healthcare services in a timely manner.*

Potential Condition of Participation Level Tags, if compliance is below 85%:

- **1A08.2** – Administrative Case File: Healthcare Requirements & Follow-up
- **1A09** – Medication Delivery Routine Medication Administration
- **1A09.1** – Medication Delivery PRN Medication Administration
- **1A15.2** – Administrative Case File: Healthcare Documentation (Therap and Required Plans)

Non-Negotiable Condition of Participation Level Tags (one or more Individuals are cited):

- **1A05** – General Requirements / Agency Policy and Procedure Requirements
- **1A07** – Social Security Income (SSI) Payments
- **1A09.2** – Medication Delivery Nurse Approval for PRN Medication
- **1A15** – Healthcare Coordination - Nurse Availability / Knowledge
- **1A31** – Client Rights/Human Rights
- **LS25.1** – Residential Reqts. (Physical Environment - Supported Living / Family Living / Intensive Medical Living)

Attachment C

Guidelines for the Provider Informal Reconsideration of Finding (IRF) Process

Introduction:

Throughout the QMB Survey process, surveyors are openly communicating with providers. Open communication means surveyors have clarified issues and/or requested missing information before completing the review through the use of the signed/dated “Document Request,” or “Administrative Needs,” etc. forms. Regardless, there may still be instances where the provider disagrees with a specific finding. Providers may use the following process to informally dispute a finding.

Instructions:

1. The Informal Reconsideration of the Finding (IRF) request must be received in writing to the QMB Bureau Chief **within 10 business days** of receipt of the final Report of Findings (**Note: No extensions are granted for the IRF**).
2. The written request for an IRF *must* be completed on the QMB Request for Informal Reconsideration of Finding form available on the QMB website: <https://nmhealth.org/about/dhi/cbp/irf/>
3. The written request for an IRF must specify in detail the request for reconsideration and why the finding is inaccurate.
4. The IRF request must include all supporting documentation or evidence.
5. If you have questions about the IRF process, email the IRF Chairperson, Valerie V. Valdez at valerie.valdez@state.nm.us for assistance.

The following limitations apply to the IRF process:

- The written request for an IRF and all supporting evidence must be received within 10 business days.
- Findings based on evidence requested during the survey and not provided may not be subject to reconsideration.
- The supporting documentation must be new evidence not previously reviewed or requested by the survey team.
- Providers must continue to complete their Plan of Correction during the IRF process
- Providers may not request an IRF to challenge the sampling methodology.
- Providers may not request an IRF based on disagreement with the nature of the standard or regulation.
- Providers may not request an IRF to challenge the team composition.
- Providers may not request an IRF to challenge the DHI/QMB determination of compliance or the length of their DDSD provider contract.

A Provider forfeits the right to an IRF if the request is not received within 10 business days of receiving the report and/or does not include all supporting documentation or evidence to show compliance with the standards and regulations.

The IRF Committee will review the request; the Provider will be notified in writing of the ruling; no face-to-face meeting will be conducted.

When a Provider requests that a finding be reconsidered, it does not stop or delay the Plan of Correction process. **Providers must continue to complete the Plan of Correction, including the finding in dispute regardless of the IRF status.** If a finding is removed or modified, it will be noted and removed or modified from the Report of Findings. It should be noted that in some cases a Plan of Correction may be completed prior to the IRF process being completed. The provider will be notified in writing on the decisions of the IRF committee.

Attachment D

QMB Determinations of Compliance

Compliance:

The QMB determination of *Compliance* indicates that a provider has either no deficiencies found during a survey or that no deficiencies at the Condition of Participation Level were found. The agency has obtained a level of compliance such that there is a minimal potential for harm to individuals' health and safety. To qualify for a determination of *Compliance*, the provider must have received no Conditions of Participation Level Deficiencies and have a minimal number of Individuals on the sample affected by the findings indicated in the Standards Level Tags.

Partial-Compliance with Standard Level Tags:

The QMB determination of *Partial-Compliance with Standard Level Tags* indicates that a provider is in compliance with all Condition of Participation Level deficiencies but is out of compliance with a certain percentage of Standard Level deficiencies. This partial-compliance, if not corrected, may result in a negative outcome or the potential for more than minimal harm to individuals' health and safety. There are two ways to receive a determination of Partial Compliance with Standard Level Tags:

1. Your Report of Findings includes 16 or fewer Standards Level Tags with between 75% and 100% of the survey sample affected in any tag.
2. Your Report of Findings includes 17 or more Standard Level Tags with between 50% to 74% of the survey sample affected in any tag.

Partial-Compliance with Standard Level Tags and Condition of Participation Level Tags:

The QMB determination of *Partial-Compliance with Standard Level Tags and Condition of Participation Level Tags* indicates that a provider is out of compliance with one to five (1 – 5) Condition of Participation Level Tags. This partial-compliance, if not corrected, may result in a serious negative outcome or the potential for more than minimal harm to individuals' health and safety.

Non-Compliance:

The QMB determination of *Non-Compliance* indicates a provider is significantly out of compliance with both Standard Level deficiencies and Conditions of Participation level deficiencies. This non-compliance, if not corrected, may result in a serious negative outcome or the potential for more than minimal harm to individuals' health and safety. There are three ways an agency can receive a determination of Non-Compliance:

1. Your Report of Findings includes 17 or more total Tags with 0 to 5 Condition of Participation Level Tags with 75% to 100% of the survey sample affected in any Condition of Participation Level tag.
2. Your Report of Findings includes any amount of Standard Level Tags with 6 or more Condition of Participation Level Tags.

Compliance Determination	Weighting						
	LOW		MEDIUM			HIGH	
Total Tags:	up to 16	17 or more	up to 16	17 or more	Any Amount	17 or more	Any Amount
	and	and	and	and	And/or	and	And/or
COP Level Tags:	0 COP	0 COP	0 COP	0 COP	1 to 5 COP	0 to 5 CoPs	6 or more COP
	and	and	and	and		and	
Sample Affected:	0 to 74%	0 to 49%	75 to 100%	50 to 74%		75 to 100%	
"Non-Compliance"						17 or more Total Tags with 75 to 100% of the Individuals in the sample cited in any CoP Level tag.	Any Amount of Standard Level Tags and 6 or more Conditions of Participation Level Tags.
"Partial Compliance with Standard Level tags and Condition of Participation Level Tags"					Any Amount Standard Level Tags, plus 1 to 5 Conditions of Participation Level tags.		
"Partial Compliance with Standard Level tags"			up to 16 Standard Level Tags with 75 to 100% of the individuals in the sample cited in any tag.	17 or more Standard Level Tags with 50 to 74% of the individuals in the sample cited any tag.			
"Compliance"	Up to 16 Standard Level Tags with 0 to 74% of the individuals in the sample cited in any tag.	17 or more Standard Level Tags with 0 to 49% of the individuals in the sample cited in any tag.					

Agency: Dungarvin NM, LLC – Metro and Northwest (Grants) Region
Program: Developmental Disabilities Waiver
Service: 2018: Supported Living, Family Living, Intensive Medical Living; Customized In-Home Supports, Customized Community Supports, Community Integrated Employment Services
Survey Type: Verification
Routine Survey: November 1 – 7, 2019
Verification Survey: April 20 – 29, 2020

Standard of Care	Routine Survey Deficiencies November 1 – 7, 2019	Verification Survey New and Repeat Deficiencies April 20 – 29, 2020
Service Domain: Service Plans: ISP Implementation – Services are delivered in accordance with the service plan, including type, scope, amount, duration and frequency specified in the service plan.		
Tag # 1A32 Administrative Case File: Individual Service Plan Implementation	Condition of Participation Level Deficiency	Standard Level Deficiency
<p>NMAC 7.26.5.16.C and D Development of the ISP. Implementation of the ISP. The ISP shall be implemented according to the timelines determined by the IDT and as specified in the ISP for each stated desired outcomes and action plan.</p> <p>C. The IDT shall review and discuss information and recommendations with the individual, with the goal of supporting the individual in attaining desired outcomes. The IDT develops an ISP based upon the individual's personal vision statement, strengths, needs, interests and preferences. The ISP is a dynamic document, revised periodically, as needed, and amended to reflect progress towards personal goals and achievements consistent with the individual's future vision. This regulation is consistent with standards established for individual plan development as set forth by the commission on the accreditation of rehabilitation facilities (CARF) and/or other program accreditation approved and adopted by the developmental disabilities division and the department of health. It is the policy of the developmental disabilities division (DDD), that to the extent permitted by funding, each individual receive supports and services that will assist and encourage independence and productivity in the community and attempt to prevent regression or loss of current capabilities. Services and supports include specialized and/or generic services, training, education</p>	<p>After an analysis of the evidence it has been determined there is a significant potential for a negative outcome to occur.</p> <p>Based on administrative record review, the Agency did not implement the ISP according to the timelines determined by the IDT and as specified in the ISP for each stated desired outcomes and action plan for 5 of 18 individuals.</p> <p>As indicated by Individuals ISP the following was found with regards to the implementation of ISP Outcomes:</p> <p>Supported Living Data Collection/Data Tracking/Progress with regards to ISP Outcomes:</p> <p>Individual #1</p> <ul style="list-style-type: none"> None found regarding: Live Outcome/Action Step: "...will mark the weekly chart using sticker or stamp" for 7/2019 - 9/2019. Action step is to be completed 2 times per week. <p>Individual #12</p> <ul style="list-style-type: none"> None found regarding: Live Outcome/Action Step: "Will choose day/task" for 7/2019. Action step is 	<p>New / Repeat Findings:</p> <p>Based on administrative record review the Agency did not implement the ISP according to the timelines determined by the IDT and as specified in the ISP for each stated desired outcomes and action plan for 1 of 17 individuals.</p> <p>As indicated by Individuals ISP the following was found with regards to the implementation of ISP Outcomes:</p> <p>Supported Living Data Collection/Data Tracking/Progress with regards to ISP Outcomes:</p> <p>Individual #1</p> <ul style="list-style-type: none"> None found regarding: Live Outcome/Action Step: "...will gather the food items and cookware" for 2/2020 – 3/2020. Action step is to be completed 2 times per week. <i>Note: Document maintained by the provider was blank..</i> None found regarding: Live Outcome/Action Step: "...will set the table" for 2/2020 – 3/2020. Action step is to be completed 2 times per week. <i>Note: Document maintained by the provider was blank.</i>

QMB Report of Findings – Dungarvin New Mexico, LLC – Metro & Northwest (Grants)– April 20 – 29, 2020

<p>and/or treatment as determined by the IDT and documented in the ISP.</p> <p>D. The intent is to provide choice and obtain opportunities for individuals to live, work and play with full participation in their communities. The following principles provide direction and purpose in planning for individuals with developmental disabilities. [05/03/94; 01/15/97; Recompiled 10/31/01]</p> <p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>Chapter 6: Individual Service Plan (ISP) 6.8 ISP Implementation and Monitoring: All DD Waiver Provider Agencies with a signed SFOC are required to provide services as detailed in the ISP. The ISP must be readily accessible to Provider Agencies on the approved budget. (See Chapter 20: Provider Documentation and Client Records.) CMs facilitate and maintain communication with the person, his/her representative, other IDT members, Provider Agencies, and relevant parties to ensure that the person receives the maximum benefit of his/her services and that revisions to the ISP are made as needed. All DD Waiver Provider Agencies are required to cooperate with monitoring activities conducted by the CM and the DOH. Provider Agencies are required to respond to issues at the individual level and agency level as described in Chapter 16: Qualified Provider Agencies.</p> <p>Chapter 20: Provider Documentation and Client Records 20.2 Client Records Requirements: All DD Waiver Provider Agencies are required to create and maintain individual client records. The contents of client records vary depending on the unique needs of the person receiving services and the resultant information produced. The extent of documentation required for individual client records per service type depends on the location of the file, the type of service being provided, and the information necessary. DD Waiver Provider Agencies are required to adhere to the following:</p> <p>1. Client records must contain all documents</p>	<p>to be completed 1 time per week. <i>Note: Document maintained by the provider was blank.</i></p> <ul style="list-style-type: none"> • None found regarding: Live Outcome/Action Step: “Will complete chosen task” for 7/2019. Action step is to be completed 1 time per week. <i>Note: Document maintained by the provider was blank.</i> • None found regarding: Live Outcome/Action Step: “...will choose meal” for 8/2019 - 9/2019. Action step is to be completed 1 time per week. • None found regarding: Live Outcome/Action Step: “...will complete meal preparation task” for 8/2019 - 9/2019. Action step is to be completed 1 time per week. • None found regarding: Fun Outcome/Action Step: “...will decide the social activity” for 8/2019 - 9/2019. Action step is to be completed 1 time per month. • None found regarding: Fun Outcome/Action Step: “...will be attended chosen activity” for 8/2019 - 9/2019. Action step is to be completed 1 time per month. <p>Customized Community Supports Data Collection/Data Tracking/Progress with regards to ISP Outcomes:</p> <p>Individual #1</p> <ul style="list-style-type: none"> • None found regarding: Fun Outcome/Action Step: “...will select the movie or book” for 7/2019 - 9/2019. Action step is to be completed 2 times per week. • None found regarding: Fun Outcome/Action Step: “...will check out the material he has chosen” for 7/2019 - 9/2019. Action step is to be completed 2 times per week. 	
--	--	--

<p>essential to the service being provided and essential to ensuring the health and safety of the person during the provision of the service.</p> <p>2. Provider Agencies must have readily accessible records in home and community settings in paper or electronic form. Secure access to electronic records through the Therap web based system using computers or mobile devices is acceptable.</p> <p>3. Provider Agencies are responsible for ensuring that all plans created by nurses, RDs, therapists or BSCs are present in all needed settings.</p> <p>4. Provider Agencies must maintain records of all documents produced by agency personnel or contractors on behalf of each person, including any routine notes or data, annual assessments, semi-annual reports, evidence of training provided/received, progress notes, and any other interactions for which billing is generated.</p> <p>5. Each Provider Agency is responsible for maintaining the daily or other contact notes documenting the nature and frequency of service delivery, as well as data tracking only for the services provided by their agency.</p> <p>6. The current Client File Matrix found in Appendix A Client File Matrix details the minimum requirements for records to be stored in agency office files, the delivery site, or with DSP while providing services in the community.</p> <p>7. All records pertaining to JCMs must be retained permanently and must be made available to DDSD upon request, upon the termination or expiration of a provider agreement, or upon provider withdrawal from services.</p>	<p>Individual #7</p> <ul style="list-style-type: none"> • None found regarding: Work Outcome/Action Step: "...will research opportunities that she shows interest in, i.e., daycares, gardening, hair salons" for 7/2019 - 9/2019. Action step is to be completed 1 time per month. <p>Individual #10</p> <ul style="list-style-type: none"> • None found regarding: Work Outcome/Action Step: "...through use of low-tech devices, make a choice of what places she wants to see" for 7/2019 - 9/2019. Action step is to be completed 1 time per month. • None found regarding: Work Outcome/Action Step: "...will go to the chosen activity" for 7/2019 – 9/2019. Action step is to be completed every other month. <p>Individual #12</p> <ul style="list-style-type: none"> • No Outcomes or DDSD exemption/decision justification found for Customized Community Supports, Individual (H2021 HB UI) Services. As indicated by NMAC 7.26.5.14 "Outcomes are required for any life area for which the individual receives services funded by the developmental disabilities Medicaid waiver." <p>Individual #14</p> <ul style="list-style-type: none"> • None found regarding: Fun Outcome/Action Step: "...will chose an event that he has planned for the group" for 7/2019 - 9/2019. Action step is to be completed 1 time per month. • None found regarding: Fun Outcome/Action Step: "...will participate in the activity chosen" for 7/2019 – 9/2019. Action step is to be completed 1 time per month. 	
--	--	--

Tag # 1A32.1 Administrative Case File: Individual Service Plan Implementation (Not Completed at Frequency)	Standard Level Deficiency	Standard Level Deficiency
<p>NMAC 7.26.5.16.C and D Development of the ISP. Implementation of the ISP. The ISP shall be implemented according to the timelines determined by the IDT and as specified in the ISP for each stated desired outcomes and action plan.</p> <p>C. The IDT shall review and discuss information and recommendations with the individual, with the goal of supporting the individual in attaining desired outcomes. The IDT develops an ISP based upon the individual's personal vision statement, strengths, needs, interests and preferences. The ISP is a dynamic document, revised periodically, as needed, and amended to reflect progress towards personal goals and achievements consistent with the individual's future vision. This regulation is consistent with standards established for individual plan development as set forth by the commission on the accreditation of rehabilitation facilities (CARF) and/or other program accreditation approved and adopted by the developmental disabilities division and the department of health. It is the policy of the developmental disabilities division (DDD), that to the extent permitted by funding, each individual receive supports and services that will assist and encourage independence and productivity in the community and attempt to prevent regression or loss of current capabilities. Services and supports include specialized and/or generic services, training, education and/or treatment as determined by the IDT and documented in the ISP.</p> <p>D. The intent is to provide choice and obtain opportunities for individuals to live, work and play with full participation in their communities. The following principles provide direction and purpose in planning for individuals with developmental</p>	<p>Based on administrative record review the Agency did not implement the ISP according to the timelines determined by the IDT and as specified in the ISP for each stated desired outcomes and action plan for 7 of 18 individuals.</p> <p>As indicated by Individuals ISP the following was found with regards to the implementation of ISP Outcomes:</p> <p>Supported Living Data Collection/Data Tracking/Progress with regards to ISP Outcomes:</p> <p>Individual #1</p> <ul style="list-style-type: none"> • According to the Live Outcome; Action Step for "...will choose a chore" is to be completed 2 times per week. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 7/2019 - 9/2019. • According to the Live Outcome; Action Step for "...will gather the necessary supplies" is to be completed 2 times per week. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 7/2019 - 9/2019 • According to the Live Outcome; Action Step for "...will complete the chore" is to be completed 2 times per week. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 7/2019 - 9/2019 <p>Individual #2</p> <ul style="list-style-type: none"> • According to the Live Outcome; Action Step for "...will look for new desired recipes to create" is to be completed 1 time per month. Evidence found 	<p>New / Repeat Findings:</p> <p>Based on administrative record review the Agency did not implement the ISP according to the timelines determined by the IDT and as specified in the ISP for each stated desired outcomes and action plan for 3 of 17 individuals.</p> <p>As indicated by Individuals ISP the following was found with regards to the implementation of ISP Outcomes:</p> <p>Supported Living Data Collection/Data Tracking/Progress with regards to ISP Outcomes:</p> <p>Individual #12</p> <ul style="list-style-type: none"> • According to the Live Outcome; Action Step for "...with choose meal" is to be completed 1 time per week. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 2/2020 – 3/2020. • According to the Live Outcome; Action Step for "...will complete meal preparation task" is to be completed 1 time per week. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 2/2020 – 3/2020. <p>Customized Community Supports Data Collection/Data Tracking/Progress with regards to ISP Outcomes:</p> <p>Individual #1</p> <ul style="list-style-type: none"> • According to the Fun Outcome; Action Step for "...will choose between two activities" is to be completed 5 times per week. Evidence found

<p>disabilities. [05/03/94; 01/15/97; Recompiled 10/31/01]</p> <p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>Chapter 6: Individual Service Plan (ISP) 6.8 ISP Implementation and Monitoring: All DD Waiver Provider Agencies with a signed SFOC are required to provide services as detailed in the ISP. The ISP must be readily accessible to Provider Agencies on the approved budget. (See <u>Chapter 20: Provider Documentation and Client Records.</u>) CMs facilitate and maintain communication with the person, his/her representative, other IDT members, Provider Agencies, and relevant parties to ensure that the person receives the maximum benefit of his/her services and that revisions to the ISP are made as needed. All DD Waiver Provider Agencies are required to cooperate with monitoring activities conducted by the CM and the DOH. Provider Agencies are required to respond to issues at the individual level and agency level as described in <u>Chapter 16: Qualified Provider Agencies.</u></p> <p>Chapter 20: Provider Documentation and Client Records 20.2 Client Records Requirements: All DD Waiver Provider Agencies are required to create and maintain individual client records. The contents of client records vary depending on the unique needs of the person receiving services and the resultant information produced. The extent of documentation required for individual client records per service type depends on the location of the file, the type of service being provided, and the information necessary. DD Waiver Provider Agencies are required to adhere to the following:</p> <ol style="list-style-type: none"> 1. Client records must contain all documents essential to the service being provided and essential to ensuring the health and safety of the person 	<p>indicated it was not being completed at the required frequency as indicated in the ISP for 8/2019 - 9/2019.</p> <ul style="list-style-type: none"> • According to the Live Outcome; Action Step for "...will research to take a trip to see a NASCAR Race" is to be completed 1 time per month. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 9/2019. <p>Individual #4</p> <ul style="list-style-type: none"> • According to the Live Outcome; Action Step for "...will participate in his hygiene / self-care tasks" is to be completed 1 time per day. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 7/2019 - 9/2019. <p>Individual #7</p> <ul style="list-style-type: none"> • According to the Live Outcome; Action Step for "...will choose a recipe to add to her book" is to be completed 2 times per month. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 7/2019 - 9/2019 <p>Individual #17</p> <ul style="list-style-type: none"> • According to the Fun Outcome; Action Step for "...will research upcoming events and activities" is to be completed 2 times per month. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 9/2019. • According to the Fun Outcome; Action Step for "...will invite peers to attend activities with her" is to be completed 2 times per month. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 9/2019. 	<p>indicated it was not being completed at the required frequency as indicated in the ISP for 2/2020.</p> <ul style="list-style-type: none"> • According to the Fun Outcome; Action Step for "...will participate in the activity" is to be completed 5 times per week. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 2/2020. <p>Individual #7</p> <ul style="list-style-type: none"> • According to the Work Outcome; Action Step for "...will research opportunities that she shows interest in i.e., daycares, gardening, hair salons" is to be completed 1 time per month. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 2/2020.
--	---	--

<p>during the provision of the service.</p> <p>2. Provider Agencies must have readily accessible records in home and community settings in paper or electronic form. Secure access to electronic records through the Therap web based system using computers or mobile devices is acceptable.</p> <p>3. Provider Agencies are responsible for ensuring that all plans created by nurses, RDs, therapists or BSCs are present in all needed settings.</p> <p>4. Provider Agencies must maintain records of all documents produced by agency personnel or contractors on behalf of each person, including any routine notes or data, annual assessments, semi-annual reports, evidence of training provided/received, progress notes, and any other interactions for which billing is generated.</p> <p>5. Each Provider Agency is responsible for maintaining the daily or other contact notes documenting the nature and frequency of service delivery, as well as data tracking only for the services provided by their agency.</p> <p>6. The current Client File Matrix found in <u>Appendix A Client File Matrix</u> details the minimum requirements for records to be stored in agency office files, the delivery site, or with DSP while providing services in the community.</p> <p>7. All records pertaining to JCMs must be retained permanently and must be made available to DDSD upon request, upon the termination or expiration of a provider agreement, or upon provider withdrawal from services.</p>	<ul style="list-style-type: none"> • According to the Fun Outcome; Action Step for "...will attend events" is to be completed 2 times per month. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 9/2019. <p>Intensive Medical Living Data Collection/Data Tracking/Progress with regards to ISP Outcomes:</p> <p>Individual #10</p> <ul style="list-style-type: none"> • According to the Live Outcome; Action Step for "...will build a book of choices she would like to make regular choice from" is to be completed 1 time per week. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 7/2019 - 9/2019. • According to the Live Outcome; Action Step for "...will use her low-tech system to make regular choices of things that she wants" is to be completed 1 time per week. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 7/2019 - 9/2019. <p>Customized Community Supports Data Collection/Data Tracking/Progress with regards to ISP Outcomes:</p> <p>Individual #14</p> <ul style="list-style-type: none"> • According to the Work/Learn Outcome; Action Step for "...will find a math book or tablet program to see what skills level that he can begin at" is to be completed 1 time per week. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 9/2019. • According to the Work/Learn Outcome; Action Step for "...will follow through in the chapter for 	
---	---	--

math skills to then test at that level” is to be completed 1 – 2 times per week. Evidence found indicated it was not being completed at the required frequency as indicated in the ISP for 9/2019.

Standard of Care	Routine Survey Deficiencies November 1 – 7, 2019	Verification Survey New and Repeat Deficiencies April 20 – 29, 2020
Service Domain: Health and Welfare – The state, on an ongoing basis, identifies, addresses and seeks to prevent occurrences of abuse, neglect and exploitation. Individuals shall be afforded their basic human rights. The provider supports individuals to access needed healthcare services in a timely manner.		
Tag # 1A09 Medication Delivery Routine Medication Administration	Condition of Participation Level Deficiency	Standard Level Deficiency
<p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>Chapter 20: Provider Documentation and Client Records 20.6 Medication Administration Record (MAR): A current Medication Administration Record (MAR) must be maintained in all settings where medications or treatments are delivered. Family Living Providers may opt not to use MARs if they are the sole provider who supports the person with medications or treatments. However, if there are services provided by unrelated DSP, ANS for Medication Oversight must be budgeted, and a MAR must be created and used by the DSP. Primary and Secondary Provider Agencies are responsible for:</p> <ol style="list-style-type: none"> 1. Creating and maintaining either an electronic or paper MAR in their service setting. Provider Agencies may use the MAR in Therap, but are not mandated to do so. 2. Continually communicating any changes about medications and treatments between Provider Agencies to assure health and safety. 7. Including the following on the MAR: <ol style="list-style-type: none"> a. The name of the person, a transcription of the physician’s or licensed health care provider’s orders including the brand and generic names for all ordered routine and PRN medications or treatments, and the diagnoses for which the medications or treatments are prescribed; b. The prescribed dosage, frequency and method or route of administration; times and dates of administration for all ordered routine or PRN prescriptions or treatments; 	<p>After an analysis of the evidence it has been determined there is a significant potential for a negative outcome to occur.</p> <p>Medication Administration Records (MAR) were reviewed for the months of 10/2019 and 11/2019.</p> <p>Based on record review, 10 of 18 individuals had Medication Administration Records (MAR), which contained missing medications entries and/or other errors:</p> <p>Individual #1 November 2019 Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Calcium/Vitamin D tablet 600/400 (2 times daily) – Blank 11/2 - 4 (8:00 am); 11/2 – 3 (8:00 pm). • Lamotrigine 150 mg (2 times daily) – Blank 11/ 2 - 4 (8:00 am); 11/2 – 3 (8:00 pm). • Onfi 10 mg (1 time daily) – Blank 11/2 - 3, (8:00 pm). • Seroquel 300 mg (1 time daily) – Blank 11/2 - 3 (8:00 pm). • Seroquel XR 150 mg (1 time daily) – Blank 11/2 – 4 (8:00 am). • Topiramate 200 mg (2 times daily) – Blank 11/2 - 4 (8:00 am); 11/2 – 3 (8:00 pm). 	<p>New / Repeat Findings:</p> <p>Medication Administration Records (MAR) were reviewed for the month of 3/2020.</p> <p>Based on record review, 1 of 17 individuals had Medication Administration Records (MAR), which contained missing medications entries and/or other errors:</p> <p>Individual #1 March 2020 Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Lamotrigine 150 mg (2 times daily) – Blank 3/31 (8:00 pm).

QMB Report of Findings – Dungarvin New Mexico, LLC – Metro & Northwest (Grants)– April 20 – 29, 2020

<p>over the counter (OTC) or “comfort” medications or treatments and all self-selected herbal or vitamin therapy;</p> <p>c. Documentation of all time limited or discontinued medications or treatments;</p> <p>d. The initials of the individual administering or assisting with the medication delivery and a signature page or electronic record that designates the full name corresponding to the initials;</p> <p>e. Documentation of refused, missed, or held medications or treatments;</p> <p>f. Documentation of any allergic reaction that occurred due to medication or treatments; and</p> <p>g. For PRN medications or treatments:</p> <p>i. instructions for the use of the PRN medication or treatment which must include observable signs/symptoms or circumstances in which the medication or treatment is to be used and the number of doses that may be used in a 24-hour period;</p> <p>ii. clear documentation that the DSP contacted the agency nurse prior to assisting with the medication or treatment, unless the DSP is a Family Living Provider related by affinity of consanguinity; and</p> <p>iii. documentation of the effectiveness of the PRN medication or treatment.</p> <p>Chapter 10 Living Care Arrangements 10.3.4 Medication Assessment and Delivery: Living Supports Provider Agencies must support and comply with:</p> <ol style="list-style-type: none"> 1. the processes identified in the DDSD AWMD training; 2. the nursing and DSP functions identified in the Chapter 13.3 Part 2- Adult Nursing Services; 	<ul style="list-style-type: none"> • Topiramate 200 mg ½ tablet (1 time daily) – Blank 11/2 – 4 (12:00 pm). <p>Individual #3 October 2019 Medication Administration Records contain the following medications. No Physician’s Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Dynamic Balance Blend Trace Minerals 1 capsule (1 time daily). <p>Individual #5 October 2019 Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Docusate Sodium 100 mg (2 times daily) – Blank 10/30 (8:00 pm). • Lamotrigine 100 mg (2 times daily) – Blank 10/30 (8:00 pm). • Lorazepam 2mg (3 times daily) – Blank 10/27, 28, 30 (8:00 pm). • Melatonin 5mg (1 time daily) – Blank 10/27, 28, 30 (at bedtime). • Olanzapine 10 mg (1 time daily) – Blank 10/27, 28, 30 (at bedtime). • Omega 31,000 mg (2 times daily) – Blank 10/27, 28, 30 (8:00 pm). <p>Individual #6 October 2019 Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p>	
---	--	--

3. all Board of Pharmacy regulations as noted in Chapter 16.5 Board of Pharmacy; and
 4. documentation requirements in a Medication Administration Record (MAR) as described in Chapter 20.6 Medication Administration Record (MAR).

NMAC 16.19.11.8 MINIMUM STANDARDS:
 A. MINIMUM STANDARDS FOR THE DISTRIBUTION, STORAGE, HANDLING AND RECORD KEEPING OF DRUGS:
 (d) The facility shall have a Medication Administration Record (MAR) documenting medication administered to residents, **including over-the-counter medications**. This documentation shall include:

- (i) Name of resident;
- (ii) Date given;
- (iii) Drug product name;
- (iv) Dosage and form;
- (v) Strength of drug;
- (vi) Route of administration;
- (vii) How often medication is to be taken;
- (viii) Time taken and staff initials;
- (ix) Dates when the medication is discontinued or changed;
- (x) The name and initials of all staff administering medications.

Model Custodial Procedure Manual
D. Administration of Drugs

Unless otherwise stated by practitioner, patients will not be allowed to administer their own medications.
 Document the practitioner's order authorizing the self-administration of medications.

All PRN (As needed) medications shall have complete detail instructions regarding the administering of the medication. This shall include:

- Amitiza 24 mcg (2 times daily) – Blank 10/15 (7:00 am); 10/31 (6:00 pm)
- Docusate Sodium 100 mg (2 times daily) – Blank 10/15 (6:00 am).
- Haloperidol 5 mg (3 times daily) – Blank 10/15 (7:00 am).
- Lactulose 20 gm/30 ml (3 times daily) – Blank 10/15 (6:00 am).
- Lamotrigine 200 mg (2 times daily) – Blank 10/15 (6:00 am).
- Paroxetine 40 mg (2 times daily) – Blank 10/15 (6:00 am).
- Senna Laxative 8.6 mg (2 times daily) – Blank 10/15 (8:00 am).

Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:

- Trazodone 50 mg (1 time daily)

November 2019

Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:

- Amitiza 24 mcg (1 time daily) – Blank 11/4 (7:00 am).
- Docusate Sodium 100 mg (2 times daily) – Blank 11/4 (6:00 am).
- Haloperidol 5 mg (3 times daily) – Blank 11/4 (7:00 am); 11/4 (2:00 pm).
- Lactulose 20 gm/30 ml (3 times daily) – Blank 11/4 (6:00 am); 11/4 (12:00 pm).

<ul style="list-style-type: none"> ➤ symptoms that indicate the use of the medication, ➤ exact dosage to be used, and ➤ the exact amount to be used in a 24-hour period. 	<ul style="list-style-type: none"> • Lamotrigine 200 mg (2 times daily) – Blank 11/4 (6:00 am). • Paroxetine 40 mg (2 times daily) – Blank 11/4 (6:00 am). • Senna Laxative 8.6 mg (2 times daily) – Blank 11/4 (8:00 am). <p>Individual #7 October 2019 Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Naltrexone 50 mg (1 time daily) – Blank 10/20 - 31 (8:00 am). • Onfi 10 mg (1 time daily) – Blank 10/30 (8:00 pm). • Peridex .12% (2 times daily) – Blank 10/1 – 30 (8:00 am and 8:00 pm). <p>November 2019 Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Lactulose 10 GM/1.5 mL (1 time daily) – Blank 11/4 (8:00 am). <p>Medication Administration Records contain the following medications. Medications were not found in the home:</p> <ul style="list-style-type: none"> • Triamcinolone 55 mcg <p>Individual #9 October 2019 Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p>	
---	---	--

	<ul style="list-style-type: none"> • Calcium Citrate – Vit D Caplet 315 – 200 mg (1 time daily) – Blank 10/22, 30 (9:00 pm). • Depakote Dr 125 mg (1 time daily) – Blank 10/22, 30 (9:00 pm). • Risperidone 1 mg (1 time daily) – Blank 10/22, 30 (9:00 pm). • Vitamin D2 50,000 units (1 time daily) – Blank 10/30 (9:00 am). <p>November 2019 Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Calcium Citrate – Vit D Caplet 315 – 200 mg (1 time daily) – Blank 11/4 (9:00 pm). • Depakote Dr 125 mg (1 time daily) – Blank 11/4 (9:00 pm). • Risperidone 1 mg (1 time daily) – Blank 11/4 (9:00 pm). <p>Individual #10 October 2019 Medication Administration Records contain the following medications. No Physician’s Orders were found for the following medications:</p> <ul style="list-style-type: none"> • ES Probiotic 50 billion active cultures (1 time daily). • Nexium Dr 40 mg (1 time daily). • Pro-Stat Sugar Free Liquid 30 ml (1 time daily). <p>Individual #11 October 2019</p>	
--	---	--

	<p>Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Omeprazole Dr 20 mg (2 times daily) – Blank 10/11 (5:00 pm). • Risperidone .5 mg (2 times daily) – Blank 10/11 (8:00 pm). <p>Individual #13 November 2019</p> <p>Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Divaloprex ER 500 mg (2 times daily) – Blank 11/2 (7:00 pm). • Eliquis 5 mg – Blank 11/2 (8:00 pm). • Gabapentin 800 mg (3 times daily) – Blank 11/1, 4, 5 (2:00 pm). • Levetiracetam 750 mg (2 times daily) – Blank 11/2 (7:00 pm). • Oyster Shell Calcium Vita Tablet (3 times daily) – Blank 11/1, 4, 5 (12:00 pm); 11/2 (7:00 pm). <p>Medication Administration Records contain the following medications. Medications were not found in the home:</p> <ul style="list-style-type: none"> • Aldendronate Sodium 70 mg (1 time a week) <p>Individual #17 October 2019</p> <p>Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Gabapentin 300 mg (3 times daily) – Blank 10/25 (12:00 pm). 	
--	--	--

	<ul style="list-style-type: none">• Olanzapine 5 mg (1 time daily) – Blank 10/30 (8:00 pm). <p>November 2019 Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none">• Gabapentin 300 mg (3 times daily) – Blank 11/5 (12:00 pm).	
--	--	--

Tag # 1A09.1 Medication Delivery PRN Medication Administration	Condition of Participation Level Deficiency	Standard Level Deficiency
<p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>Chapter 20: Provider Documentation and Client Records 20.6 Medication Administration Record (MAR): A current Medication Administration Record (MAR) must be maintained in all settings where medications or treatments are delivered. Family Living Providers may opt not to use MARs if they are the sole provider who supports the person with medications or treatments. However, if there are services provided by unrelated DSP, ANS for Medication Oversight must be budgeted, and a MAR must be created and used by the DSP. Primary and Secondary Provider Agencies are responsible for:</p> <ol style="list-style-type: none"> 1. Creating and maintaining either an electronic or paper MAR in their service setting. Provider Agencies may use the MAR in Therap, but are not mandated to do so. 2. Continually communicating any changes about medications and treatments between Provider Agencies to assure health and safety. <ol style="list-style-type: none"> 7. Including the following on the MAR: <ol style="list-style-type: none"> a. The name of the person, a transcription of the physician’s or licensed health care provider’s orders including the brand and generic names for all ordered routine and PRN medications or treatments, and the diagnoses for which the medications or treatments are prescribed; b. The prescribed dosage, frequency and method or route of administration; times and dates of administration for all ordered routine or PRN prescriptions or treatments; over the counter (OTC) or “comfort” medications or treatments and all self-selected herbal or vitamin therapy; c. Documentation of all time limited or 	<p>After an analysis of the evidence it has been determined there is a significant potential for a negative outcome to occur.</p> <p>Medication Administration Records (MAR) were reviewed for the months of 10/2019 and 11/2019.</p> <p>Based on record review, 5 of 18 individuals had PRN Medication Administration Records (MAR), which contained missing elements as required by standard:</p> <p>Individual #3 October 2019 Medication Administration Records contain the following medications. No Physician’s Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Aller – 7 (PRN). • Aloe Vera Gel (PRN). • Benadryl 25 mg (PRN). • Tea tree and E Cream (PRN). <p>Individual #4 October 2019 No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Lorazepam 2 mg – PRN – 10/4 (given 1 time). <p>Individual #6 October 2019 No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p>	<p>New / Repeat Findings:</p> <p>Medication Administration Records (MAR) were reviewed for the month of 3/2020</p> <p>Based on record review, 2 of 17 individuals had PRN Medication Administration Records (MAR), which contained missing elements as required by standard:</p> <p>Individual #6 March 2020 No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Magnesium Citrate Solution 150 ml – PRN – 3/1, 19 (given 1 time). <p>Individual #10 March 2020 No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Loperamide 2 mg – PRN – 3/28 (given 1 time). <p>As indicated by the Medication Administration Records the individual is to take Tizanidine HCL 2 mg (PRN) oral. According to the Physician’s Orders, Tizanidine HCL 2 mg is to be taken PRN g-tube. Medication Administration Record and Physician’s Orders do not match.</p>

<p>discontinued medications or treatments;</p> <p>d. The initials of the individual administering or assisting with the medication delivery and a signature page or electronic record that designates the full name corresponding to the initials;</p> <p>e. Documentation of refused, missed, or held medications or treatments;</p> <p>f. Documentation of any allergic reaction that occurred due to medication or treatments; and</p> <p>g. For PRN medications or treatments:</p> <p>i. instructions for the use of the PRN medication or treatment which must include observable signs/symptoms or circumstances in which the medication or treatment is to be used and the number of doses that may be used in a 24-hour period;</p> <p>ii. clear documentation that the DSP contacted the agency nurse prior to assisting with the medication or treatment, unless the DSP is a Family Living Provider related by affinity of consanguinity; and</p> <p>iii. documentation of the effectiveness of the PRN medication or treatment.</p> <p>Chapter 10 Living Care Arrangements 10.3.4 Medication Assessment and Delivery: Living Supports Provider Agencies must support and comply with:</p> <ol style="list-style-type: none"> the processes identified in the DDS/AWMD training; the nursing and DSP functions identified in the Chapter 13.3 Part 2- Adult Nursing Services; all Board of Pharmacy regulations as noted in Chapter 16.5 Board of Pharmacy; and documentation requirements in a Medication Administration Record (MAR) as 	<ul style="list-style-type: none"> • Magnesium Citrate Solution 150 ml – PRN – 10/8, 31 (given 1 time). <p>Medication Administration Records contain the following medications. No Physician’s Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Acetaminophen 500 mg (PRN). • Cetirizine HCL 10 mg (PRN). • Enema (PRN). • Ibuprofen 200 mg (PRN). • Loperamide 2 mg (PRN) . • Lorazepam .5 mg (PRN). • Magnesium Citrate Solution 150 ml (PRN). • Milk of Magnesia Suspension 30 ml (PRN). • Ondansteron HCL 4 mg (PRN). • Pink Bismuth 30 ml (PRN). • Triple Antibiotic Ointment (PRN). • Tussin DM Cough Syrup 10 ml (PRN) . <p>Individual #7 October 2019 No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Tramadol HCL 50 mg – PRN – 10/23 (given 2 times), 10/25 (given 1 time). <p>Individual #11 October 2019</p>	
--	--	--

<p>described in Chapter 20.6 Medication Administration Record (MAR).</p>	<p>No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none">• Oxycodone – Acetaminophen 5- 325 mg – PRN – 10/11 (given 1 time).	
--	---	--

Standard of Care	Routine Survey Deficiencies November 1 – 7, 2019	Verification Survey New and Repeat Deficiencies April 20 - 29, 2020
<i>Service Domain: Service Plans: ISP Implementation - Services are delivered in accordance with the service plan, including type, scope, amount, duration and frequency specified in the service plan.</i>		
Tag # 1A08 Administrative Case File (Other Required Documents)	Standard Level Deficiency	COMPLETE
Tag # 1A08.3 Administrative Case File: Individual Service Plan / ISP Components	Standard Level Deficiency	COMPLETE
Tag # 1A08.1 Administrative and Residential Case File: Progress Notes	Standard Level Deficiency	COMPLETE
Tag # IS04 Community Life Engagement	Standard Level Deficiency	COMPLETE
Tag # 1A38 Living Care Arrangement / Community Inclusion Reporting Requirements	Standard Level Deficiency	COMPLETE
Tag # IS12 Person Centered Assessment (Community Inclusion)	Standard Level Deficiency	COMPLETE
Tag # LS14 Residential Service Delivery Site Case File (ISP and Healthcare Requirements)	Condition of Participation Level Deficiency	COMPLETE
Tag # LS14.1 Residential Service Delivery Site Case File (Other Req. Documentation)	Standard Level Deficiency	COMPLETE
<i>Service Domain: Qualified Providers - The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements. The State implements its policies and procedures for verifying that provider training is conducted in accordance with State requirements and the approved waiver.</i>		
Tag # 1A20 Direct Support Personnel Training	Condition of Participation Level Deficiency	COMPLETE
Tag # 1A22 Agency Personnel Competency	Standard Level Deficiency	COMPLETE
Tag # 1A25.1 Caregiver Criminal History Screening	Condition of Participation Level Deficiency	COMPLETE
Tag # 1A26 and 1A26.1 Consolidated On-line Registry Employee Abuse Registry	Standard Level Deficiency	COMPLETE
Tag # 1A37 Individual Specific Training	Standard Level Deficiency	COMPLETE
Tag # 1A43.1 General Events Reporting: Individual Reporting	Standard Level Deficiency	COMPLETE
<i>Service Domain: Health and Welfare - The state, on an ongoing basis, identifies, addresses and seeks to prevent occurrences of abuse, neglect and exploitation. Individuals shall be afforded their basic human rights. The provider supports individuals to access needed healthcare services in a timely manner.</i>		
Tag # 1A08.2 Administrative Case File: Healthcare Requirements & Follow-up	Standard Level Deficiency	COMPLETE
Tag # 1A03 Continuous Quality Improvement System & Key Performance Indicators (KPIs)	Standard Level Deficiency	COMPLETE
Tag # 1A15.2 Administrative Case File: Healthcare Documentation (Therap and Required Plans)	Condition of Participation Level Deficiency	COMPLETE

QMB Report of Findings – Dunganvin New Mexico, LLC – Metro & Northwest (Grants)– April 20 – 29, 2020

Tag # 1A27.2 Duty to Report IRs Filed During On-Site and/or IRs Not Reported by Provider	Standard Level Deficiency	COMPLETE
Tag # 1A31 Client Rights / Human Rights	Condition of Participation Level Deficiency	COMPLETE
Tag # 1A39 Assistive Technology and Adaptive Equipment	Standard Level Deficiency	COMPLETE
Tag # LS25 Residential Health & Safety (Supported Living / Family Living / Intensive Medical Living)	Standard Level Deficiency	COMPLETE
<i>Service Domain: Medicaid Billing/Reimbursement - State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.</i>		
Tag # IS30 Customized Community Supports Reimbursement	Standard Level Deficiency	COMPLETE
Tag # LS26 Supported Living Reimbursement	Standard Level Deficiency	COMPLETE

	Verification Survey Plan of Correction, On-going QA/QI and Responsible Party	COMPLETION DATE
<p>Tag # 1A32 Administrative Case File: Individual Service Plan Implementation</p>	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here <i>(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?):</i> →</p> <p>[]</p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here <i>(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?):</i> →</p> <p>[]</p>	<p> </p>
<p>Tag # 1A32.1 Administrative Case File: Individual Service Plan Implementation (Not Completed at Frequency)</p>	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here <i>(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?):</i> →</p> <p>[]</p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here <i>(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?):</i> →</p> <p>[]</p>	<p> </p>

<p>Tag # 1A09 Medication Delivery Routine Medication Administration</p>	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here <i>(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?):</i> →</p> <p>[]</p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here <i>(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?):</i> →</p> <p>[]</p>	<p> </p>
<p>Tag # 1A09.1 Medication Delivery PRN Medication Administration</p>	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here <i>(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?):</i> →</p> <p>[]</p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here <i>(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?):</i> →</p> <p>[]</p>	<p> </p>

Date: June 11, 2020

To: Scott Good, State Director
Provider: Dungarvin New Mexico, LLC
Address: 2309 Renard Place SE, Suite 205
State/Zip: Albuquerque, New Mexico 87106

E-mail Address: scgood@dungarvin.com
clopezbeck@dungarvin.com
kmarshall@dungarvin.com
bmyers@dungarvin.com

Region: Metro & Northwest (Grants)
Routine Survey: November 1 – 7, 2019
Verification Survey: April 20 – 29, 2020
Program Surveyed: Developmental Disabilities Waiver

Service Surveyed: **2018:** Supported Living, Family Living, Intensive Medical Living;
Customized In-Home Supports; Customized Community Supports,
Community Integrated Employment Services

Survey Type: Verification

Dear Mr. Scott Good and Mrs. Crystal Lopez-Beck:

The Division of Health Improvement/Quality Management Bureau has received, reviewed and approved the supporting documents you submitted for your Plan of Correction. The documents you provided verified that all previously cited survey Deficiencies have been corrected.

The Plan of Correction process is now complete.

Furthermore, your agency is now determined to be in Compliance with all Conditions of Participation.

To maintain ongoing compliance with standards and regulations, continue to use the Quality Assurance (self-auditing) processes you described in your Plan of Correction.

Consistent use of these Quality Assurance processes will enable you to identify and promptly respond to problems, enhance your service delivery, and result in fewer deficiencies cited in future QMB surveys.

Thank you for your cooperation with the Plan of Correction process, for striving to come into compliance with standards and regulations, and for helping to provide the health, safety and personal growth of the people you serve.

Sincerely,

Monica Valdez, BS

Monica Valdez, BS
Healthcare Surveyor Advanced/Plan of Correction Coordinator
Quality Management Bureau/DHI

Q.20.4.DDW.D1696.1,5.VER.09.20.163