

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>MHL060-776</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING _____	(X3) DATE SURVEY COMPLETED  <b>06/05/2018</b>
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NAME OF PROVIDER OR SUPPLIER  <b>NEW PLACE</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>5601 FAULCONBRIDGE ROAD CHARLOTTE, NC 28227</b>
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V 000	<p>INITIAL COMMENTS</p> <p>A complaint survey was completed on June 4, 2018. Deficiencies were cited.</p> <p>This facility is licensed for the following service category: 10A NCAC 27G.1700 Residential Treatment Staff Secure for Children and Adolescents.</p>	V 000		
V 109	<p>27G .0203 Privileging/Training Professionals</p> <p>10A NCAC 27G .0203 COMPETENCIES OF QUALIFIED PROFESSIONALS AND ASSOCIATE PROFESSIONALS</p> <p>(a) There shall be no privileging requirements for qualified professionals or associate professionals.</p> <p>(b) Qualified professionals and associate professionals shall demonstrate knowledge, skills and abilities required by the population served.</p> <p>(c) At such time as a competency-based employment system is established by rulemaking, then qualified professionals and associate professionals shall demonstrate competence.</p> <p>(d) Competence shall be demonstrated by exhibiting core skills including:</p> <ol style="list-style-type: none"> <li>(1) technical knowledge;</li> <li>(2) cultural awareness;</li> <li>(3) analytical skills;</li> <li>(4) decision-making;</li> <li>(5) interpersonal skills;</li> <li>(6) communication skills; and</li> <li>(7) clinical skills.</li> </ol> <p>(e) Qualified professionals as specified in 10A NCAC 27G .0104 (18)(a) are deemed to have met the requirements of the competency-based employment system in the State Plan for MH/DD/SAS.</p> <p>(f) The governing body for each facility shall develop and implement policies and procedures for the initiation of an individualized supervision</p>	V 109		

Division of Health Service Regulation LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE	TITLE	(X6) DATE
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V 109	<p>Continued From page 1</p> <p>plan upon hiring each associate professional. (g) The associate professional shall be supervised by a qualified professional with the population served for the period of time as specified in Rule .0104 of this Subchapter.</p> <p>This Rule is not met as evidenced by: Based on record review and interviews the facility failed to have a qualified professional (QP). The findings are:</p> <p>Record review on 5/21/18 of Staff #1's record revealed: -date of hire on 6/15/15 as a Residential Counselor; -job description signed 7/29/15.</p> <p>Interview on 5/23/17 with Staff #1 revealed; -identified his current job title as Residential Counselor; -normal shift is evenings and overnight; -identified his primary job responsibilities as "take care of the young ladies, run goals, teach skills, do groups with the consumers, implement the behavior management system;" -identified his supervisor as the House Manager.</p> <p>Interview on 5/21/18 with the Residential Director revealed: -Staff #1 was the QP for the facility.</p> <p>Interview on 5/21/18 with Staff #2 and Staff #3 revealed: -identified the QP for the facility as Staff #1.</p> <p>Interview on 6/4/18 with the Executive Director</p>	V 109		

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V 109	Continued From page 2  revealed: -contacted the Clinical Director to ensure accuracy of QP for the facility as Staff #1; -stated there may be confusion regarding Staff #1's position because of being primarily on 2nd shift while the House Manager is on 1st shift and there was a possible power struggle between the House Manager and Staff #1; -would follow up to ensure QP services are provided in the facility with all facility aware of the person providing QP services.	V 109		
V 517	27E .0104(c-d) Client Rights - Sec. Rest. & ITO  10A NCAC 27E .0104 SECLUSION, PHYSICAL RESTRAINT AND ISOLATION TIME-OUT AND PROTECTIVE DEVICES USED FOR BEHAVIORAL CONTROL (c) Restrictive interventions shall not be employed as a means of coercion, punishment or retaliation by staff or for the convenience of staff or due to inadequacy of staffing. Restrictive interventions shall not be used in a manner that causes harm or abuse. (d) In accordance with Rule .0101 of Subchapter 27D, the governing body shall have policy that delineates the permissible use of restrictive interventions within a facility.  This Rule is not met as evidenced by: Based on record review and interview the facility failed to ensure that restrictive interventions not be utilized as a means of coercion, punishment or retaliation by staff, or in a manner that may cause abuse affecting 1 of 4 clients (Client #1). The findings are:	V 517		

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V 517	<p>Continued From page 3</p> <p>Review on 5/16/18 of incident report revealed: -Client #1 was turning the lights on and off on 4/14/18, refused redirection by staff, with behaviors escalating to throwing papers, files, shredding papers on staff desk in living room area. Client #1 hit Staff #2 several times after which Staff #2 called local police department.</p> <p>Review on 5/21/18 of internal investigation revealed:: -became aware of allegation that Staff #2 had slapped Client #1 when Client #1's family member disclosed during Client #1's Child and Family Team (CFT) meeting on 4/19/18 at which time an internal investigation began, including completion of incident report, and report to local Department of Social Services. Client and staff interviews were conducted as a part of the investigation. The Residential Director interviewed the local police department officer who responded to the facility call on 4/19/18 during which time officer disclosed that Client #1 had not stated that Staff #2 had slapped her during the incident on 4/14/18. Facility determined the allegation of abuse by Staff #2 towards Client #1 was unsubstantiated.</p> <p>Review on 5/16/18 on Client #1's record revealed: -age 15; -date of admission 2/2/18; -diagnoses of Oppositional Defiant Disorder-Moderate, Attention Deficit Hyperactivity Disorder-Severe, Bipolar 1 Disorder-depressed, mild; -treatment plan dated 1/16/18 documented goals of: 1) decrease anxiety symptoms, 2) decrease verbal and physical aggression, 3) decrease depressive symptoms, 4) comply with facility structure.</p>	V 517		

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V 517	<p>Continued From page 4</p> <p>Review on 5/16/18 of Client #2's record revealed: -age 16; -date of admission 1/10/18; -diagnoses of Post Traumatic Stress Disorder, Attention Deficit Hyperactivity Disorder-Combined, Generalized Anxiety Disorder; -treatment plan dated 1/3/18 documented goals of: 1) learn to be responsible and accountable by improving coping skills, 2) learn to manage past trauma/ loss, 3) comply with program rule, 4) improve interpersonal relationships.</p> <p>Review on 5/16/18 of Client #3's record revealed: -age 15: -date of admission 5/3/18; -treatment plan dated 4/30/18 documented goals of 1) graduate high school and become successful, 2) decrease defiance and aggressive behavior, 3) decrease negative behaviors in the school environment.</p> <p>Review on 5/16/18 of Client #4's record revealed: -age 17; -date of admission 4/3/18; -diagnoses of Post Traumatic Stress Disorder, Oppositional Defiant Disorder-Moderate; -treatment plan dated 3/20/18 documented goals of: 1) learn to manage past trauma, 2) decrease symptoms and behaviors related to depression, 3) work to improve interpersonal relationships, 4) learn to be responsible for actions.</p> <p>Review on 5/16/18 of Staff #2's record revealed: -date of hire 5/7/14 as a Residential Counselor; -job description signed 5/7/18; -training on alternatives to restrictive interventions, Evidence Based Protective Interventions Base Plus 1/10/18.</p>	V 517		

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V 517	<p>Continued From page 5</p> <p>Interview on 5/21/18 with Client #1 revealed: -was in the living room standing by the light switch several weeks ago when Staff #2 put his hand on her left arm to prevent her from turning off the lights and during this interaction he brushed her eye glasses up out of her field of vision; -denied hitting Staff #2.</p> <p>Interview on 5/21/18 with Client #2 revealed: -she was in the living room when the incident occurred and saw Client #1 brush her glasses up towards her forehead. She saw Staff #2 reach out to prevent Client #1 from reaching the light switch. Client #1 had been running throughout the facility turning the lights on and off. Client #1 did not respond to redirection by Staff #2, Client #1 started to throw papers off the staff desk which resulted in local police department call to facility. Client #1 reached up towards her face and brushed her eye glasses up towards her forehead.</p> <p>Interview on 5/21/18 with Client #3 revealed: -she was standing by the living room door when she saw Client #1 reach out to turn the living room lights off, Staff #2 had his Left hand on the light switch plate and reach out with his right hand to block Client #1 from turning off the lights.</p> <p>Interview on 5/23/18 with Client #4 revealed: -stated "Oh my God, she is not going to let this go. Nothing happened." Client #4 provided no further details.</p> <p>Interview on 5/23/18 with Staff #2 revealed: -was on shift on 4/14/18 when Client #1 began exhibiting behaviors of running through the facility turning the lights on and off, time of day was early</p>	V 517		

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V 517	<p>Continued From page 6</p> <p>evening;</p> <ul style="list-style-type: none"> <li>-Client #1 did not respond to redirection;</li> <li>-Client #1 went over to light switch in living room to turn the lights off, Staff #2 had his Left hand on the light switch and reached out to Client #1's Right arm as she raised her arm to attempt to turn the lights off. Staff #2 put his Left arm on Client #2's Right arm to prevent her from turning off the lights;</li> <li>-Client #1 hit Staff #2 several times in the upper chest area after which he called 911;</li> <li>-local law enforcement responded to call, talked with Client #1 after which she calmed and went to bed.</li> </ul> <p>Interview on 5/26/2018 with Staff #3 revealed;</p> <ul style="list-style-type: none"> <li>-was on shift on 4/14/18 when Client #1 began exhibiting behaviors of running through the facility turning the lights on and off, time of day was early evening;</li> <li>-was sitting on the sofa in the living room completing required shift documentation;</li> <li>-Client #1 did not respond to Staff #2's directives to discontinue running through the facility turning the lights on and off;</li> <li>-Staff #2 did not slap Client #1;</li> <li>-Staff #2 did not touch Client #1's eye glasses;</li> <li>-Client #1's behavior continued to escalate with throwing papers, files, and throwing objects on the staff desk on the floor;</li> <li>-Staff #2 called local law enforcement after Client #1 hit him several times in the upper body area;</li> <li>-local police department responded to call, interviewed clients and staff, talked with Client #1 who calmed and went to bed with no further incident throughout the evening.</li> </ul> <p>Interview on 5/30/18 with the Executive Director revealed:</p> <ul style="list-style-type: none"> <li>-understood that Staff #2 had restricted Client</li> </ul>	V 517		

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V 517	Continued From page 7  #1's movement; -would follow up with staff regarding usage of de-escalation techniques.	V 517		