

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>MHL090-177</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING _____	(X3) DATE SURVEY COMPLETED  <b>03/27/2019</b>
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NAME OF PROVIDER OR SUPPLIER  <b>ALEXANDER YOUTH NETWORK-PORTER RIDGE</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>2843 RIDGE RD, CLASSROOMS E-102 &amp; E-104 INDIAN TRAIL, NC 28079</b>
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V 000	<p><b>INITIAL COMMENTS</b></p> <p>A complaint survey was completed on 3-27-19. The complaints were substantiated (#NC00149750, #NC00149737, #NC00149557). Deficiencies were cited.</p> <p>This facility is licensed for the following service category: 10A NCAC 27G 1400 Day Treatment for Children and Adolescents with Emotional or Behavioral Disturbances.</p> <p>A sister facility is identified in this report. The sister facility will be identified as sister facility A. Staff will be identified using the letter of the facility and a numerical identifier.</p>	V 000	<p style="text-align: center;"><b>DHSR - Mental Health</b></p> <p style="text-align: center;"><b>APR 22 2019</b></p> <p style="text-align: center;"><b>Lic. &amp; Cert. Section</b></p> <p>Please see attached document for plan of correction addressing each deficiency.</p>	
V 110	<p>27G .0204 Training/Supervision Paraprofessionals</p> <p>10A NCAC 27G .0204 COMPETENCIES AND SUPERVISION OF PARAPROFESSIONALS</p> <p>(a) There shall be no privileging requirements for paraprofessionals.</p> <p>(b) Paraprofessionals shall be supervised by an associate professional or by a qualified professional as specified in Rule .0104 of this Subchapter.</p> <p>(c) Paraprofessionals shall demonstrate knowledge, skills and abilities required by the population served.</p> <p>(d) At such time as a competency-based employment system is established by rulemaking, then qualified professionals and associate professionals shall demonstrate competence.</p> <p>(e) Competence shall be demonstrated by exhibiting core skills including:</p> <p>(1) technical knowledge;</p> <p>(2) cultural awareness;</p>	V 110		

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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

TITLE

(X6) DATE

STATE FORM

6899

89KL11

If continuation sheet 1 of 20

*Buddy Hummer* Vice President Performance Improvement 4/18/19

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V 110	<p>Continued From page 1</p> <p>(3) analytical skills; (4) decision-making; (5) interpersonal skills; (6) communication skills; and (7) clinical skills.</p> <p>(f) The governing body for each facility shall develop and implement policies and procedures for the initiation of the individualized supervision plan upon hiring each paraprofessional.</p> <p>This Rule is not met as evidenced by: Based on interviews and record reviews one out of three staff (staff A1) failed to show competency, effecting two of three audited clients (Clients #1 and #2). The findings are:</p> <p>Review on 3-21-19 of client #1's record revealed: -Admitted 3-6-19. -6 years old. -Diagnoses of: Disruptive Mood Dysregulation Disorder, Attention Deficit/Hyperactivity Disorder (AD/HD), Combined Presentation, severe, rule out intermittent explosive disorder.</p> <p>Review on 3-21-19 of client #2's record revealed: -Admitted 7-16-18. -7 years old. -Diagnoses of: AD/HD, Oppositional Defiance Disorder, Intermittent Explosive Disorder</p> <p>Review on 3-20-19 of incident report dated 3-13-19 electronically signed on 3-16-19 by</p>	V 110		

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V 110	<p>Continued From page 2</p> <p>Program Manager revealed:                      -"Client (client #1) was being unsafe by sitting in the cubbies and jumping down. Staff (Staff A1) directed client to refrain from crawling inside the high cubbie space and jumping down. client did with assistant with staff (staff was holding on the the clients arm) the client jumped down. Once down the client went under a near by table and refused to come out. Client was offered the calming tent as a better option and assisted by staff (holding to lower arm) from under the table. Staff then directed to walk into the other room (under his own power) and sit inside the calming tent."</p> <p>Review on 3-18-19 of a written statement completed by the assistant principal from a neighboring school revealed:                      -"...The morning went on, and as I was taking notes of my student behavior, an older student fell backward (in front of the classroom). When I looked,[Staff A1] had him grabbed by the back of the sweater and was pulling him. [Qualified Professional (QP)] was in the room next door and when she came back into the classroom, she asked, what's going on?. The student replied-He's calling my mamma ugly-, to what [Staff A1] said- yeah, yeah-. The student was then verbally redirected and went back to his desk."</p> <p>-"There was a younger student, blond with freckles who did not want to participate and was sitting under the table, upset. [QP] had given him choices and tried to engage him verbally. The student did not respond to that. I heard him being called [client #1]. He looked at me and smiled, then came to me and said he wanted to do a floor puzzle...When he was done he wanted to do another puzzle but it was lunch time and he</p>	V 110		

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V 110	<p>Continued From page 3</p> <p>struggled to transition. [QP] asked him to go to his desk and eat. He refused and went back under the kidney table, frustrated. [Staff A1] came over, reached under the table and grabbed the student's foot. He dragged the student out from under that table and then grabbed him by the upper left arm., picked the student up off the floor and sat the student at the student's desk. While all this was happening, the student was screaming, my arm, my arm, don't hurt me. The student got back up again. [Staff A1] grabbed him again by the same arm and pulled the student to the classroom next door (through the back doors). The student kept screaming and crying for a few more minutes....When the student and [Staff A1] came back into the classroom, the student approached me and asked if he could go home."</p> <p>- Client in this next paragraph section is misidentified as client #3 by the school official who reported the issue, but it was actually client #2.</p> <p>- "...There was another instance with a younger student who was wearing a green t-shirt. His name was [client #3]. His seat is toward the back of the room, close to where I was sitting. he was not sitting right, his feet were under his bottom...still on the chair. [Staff A1] pulled him off his seat and [client #2] fell to the floor. I saw [staff A1] grab [client #2] from behind, put his forearm under the student's chin, and lifted him off the floor. [Staff A1] walked toward the teacher desk, still holding [client #2] (on the semi-choke hold) and leaned against the desk. [QP] was in a separate classroom dealing with another student. [Staff A1] then let go a bit and his arm was not up against the students neck, but more resting on the student's chest."</p>	V 110		

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V 110	<p>Continued From page 4</p> <p>Review on 3-20-19 of Internal investigation dated 3-13-19 and completed by the Executive Director revealed:</p> <p>-Consumer interview with client #1 revealed: "Question: did you have a hard time yesterday during school? Answer: yes. Question: What happened? Answer: I didn't want to go to lunch and some man in brown shoes grabbed me. Question: how did he grab you? Answer: he grabbed my arm really hard and put me in my seat." -"bruises were identified, but consumer had bruises everywhere? Mother stated consumer always falls off his bike causing bruises." -Consumer interview with client #2: Question: did you have a hard time yesterday during school? Answer: No, not really, but staff got mad at me because I was playing around in my seat. Question: What happened? Answer: He grabbed my shirt and wrapped his arm around my neck, it hurt a little, but I could breathe." -Staff interview with Staff A1: "After several prompts and redirection for client to put away the toys and rejoin the group for the day activity, the client began to have tantrum and went to hide under the tale. As staff (I) was going under the table to continue to redirect the client to rejoin the group. The client kicked staff in the face and throw a toy near staff head. Client crawled from under his own power with staff holding his hand. Client continued to display aggressive behaviors kicking his chair, desk and knocking items over. At this point staff felt it was necessary for restrictive intervention (small child hold), as aggressive behaviors display were being to insight those around other students in the classroom." -Staff interview with the QP:" staff stated she was not in the room for the alleged incident with</p>	V 110		



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V 110	<p>Continued From page 5</p> <p>[client #2], but did observe the alleged incident that happened with [client #1]. [QP] stated that [client #1] refused to transition from activity of putting together a puzzle and refused to follow prompts to go to lunch. [Staff A1] then assisted consumer by grabbing his arm and lifting him off the floor and putting him in his seat. She stated that consumer was upset and she did witness a bruise on his left arm, along with other bruises that looked old."</p> <p>Results of Investigation: "On 3-13-19, Executive Director contacted Child Protective Services (CPS) and spoke to DSS (Department of Social Services), [social worker] about alleged incident. DSS emailed letter to Executive Director on 3-14-19, stating that they would not investigate alleged allegation, and would forward information to the NC (North Carolina) Department of Social Services, because the allegations are considered licensing issues.- [School Resource Officer] is the assigned officer at [facility elementary school] will be also investigation allegations...-Executive Director will complete internal incident documentation and IRIS (Incident Response Improvement System) report from allegation. HCPR (Health Care Personnel Registry) report was also completed. Staff will be suspended and will have no contact with consumer until external investigation is completed."</p> <p>Interview on 3-15-19 with client #1 revealed: -Client #1 did remember the incident. -"He restrained me, he hurt me, he got me away, I was crying. -"He squeezed me like a hamburger." (Demonstrated a therapeutic wrap). -"He grabbed my arm and pulled me from under the desk."</p>	V 110		

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V 110	<p>Continued From page 6</p> <p>-Client #1 remembers being put in his seat by the substitute teacher.</p> <p>Observation on 3-15-19 of client #1's arm revealed: -Several bruises, some appearing older than others.</p> <p>Interview on 3-15-19 with client #2 revealed: -"I asked to sharpen my pencil and he pulled me from the desk and choked me with his arm." -"He pulled me by my shirt." -"He was behind the desk and pulled me by my shirt." -"He pulled me from the floor." (client #2 demonstrated his arm wrapped around his neck area.) -"I tried to get him off me." -This happened one time. -Client #2 stated that he was not hurt and could breathe. -Client stated he was not doing anything wrong at the time.</p> <p>Interview on 3-15-19 with client #3 revealed: -He remembered having a substitute teacher. -"I was good that day, I didn't get restrained, I didn't see anyone get restrained." -He couldn't say if anyone was pulled from under a desk or out of their seat.</p> <p>Interview on 3-15-19 with client #4 revealed: -"All I know is he (Staff A1) didn't restrain anyone." -He didn't see anyone get pulled off the floor or anyone get pulled on by their shirt.</p> <p>Interview on 3-15-19 with client #5 revealed:</p>	V 110		

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V 110	<p>Continued From page 7</p> <ul style="list-style-type: none"> <li>-He had gotten restrained by the QP that day.</li> <li>-He did see Staff A1 "pull on [client #6]"</li> <li>-He didn't see client #1 get restrained or get pulled on by staff A1.</li> </ul> <p>Interview on 3-15-19 with the QP revealed:</p> <ul style="list-style-type: none"> <li>-Client #1 was having trouble transitioning to go outside.</li> <li>-"I prompted him, he sat under the desk, balled up, so people couldn't move him."</li> <li>-"I processed, I explained to [Staff A1] that I might need some assistance.</li> <li>-The therapist was still there at this time, so he took client #1 in the adjoining room for some 1:1 time.</li> <li>-Client #1 was crying then.</li> <li>-"We then started transitioning for lunch."</li> <li>-The clients walk to the lunch room and bring their trays back with them and eat in the classroom.</li> <li>-"All the kids lined up, [client #1] was still in the room. I was tying [client #1]'s shoe."</li> <li>-"We started walking, [staff A1] came back with the others because they were not ready to transition."</li> <li>-The students had barely gotten out the door when they had to come back.</li> <li>-"I turned on Youtube, [client #1] was still upset, [client #1] threw the trash can, kicked the bookshelf and went under [teacher]'s desk, throwing things."</li> <li>-Staff A1 went to the lunch room to get the trays, when he came back, the QP went to get the missing trays (that staff A1 had not gotten).</li> <li>-"When I cam back, [client #1] was doing a puzzle with the assistant principal (from another school)."</li> <li>-"When he finished the puzzle, he went to</li> </ul>	V 110		
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V 110	<p>Continued From page 8</p> <p>the the table...he said his stomach hurt."                      -"He asked the assistant principal for another game and she said no. He went under the table, kicking, throwing stuff."                      -Client #1 did come out from under the table.                      -"[Staff A1] was sitting at the desk, I was prompting [client #1] to put away things."                      -"I told [staff A1] to get the toys from him (client #1)."                      -" [Client #1] went back under the table."                      -"At that point, [staff A1] pulled him from under the table by his foot, he told [client #1] to get to his seat, but [client #1] refused."                      -"[Staff A1] picked him up and put him in his seat, he picked him up by his body (mimed wrapping arms around waist)."                      -"[Client #1] got up and did something, I think [client #1]'s back hit the corner of the desk. [Client #1] started screaming and crying his back hurt."                      -"I asked [client #1] if he wanted to take some time to himself."                      -Client #1 then calmed down.                      -She did not see staff A1 inappropriately restrain client #2 as she was dealing with another child at the time.</p> <p>Interview on 3-20-19 with the assistant principal from local school.                      -She was in the classroom for about 2 hours, observing a student that would soon be transitioning back to her school.                      -Client #1 was under the horseshoe shaped table, crying, frustrated and pushing the table up with his feet. The QP was trying to direct him that it was time for lunch.                      -Staff A1 went to get the lunch trays.                      -Staff A1 came back with most of the trays.                      -Client #1 came out from under the table and</p>	V 110		

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V 110	<p>Continued From page 9</p> <p>started doing a puzzle, he wanted to do more but was told no.</p> <ul style="list-style-type: none"> <li>-Client #1 went back under the table.</li> <li>-"[Staff A1] reached under the table and pulled him out by his foot, he pulled him up by his left upper arm, his feet were off the ground."</li> <li>-Staff A1 walked the client to his seat, the client sat down.</li> <li>-"[Client #1] was screaming, 'my arm, my arm, don't hurt me'."</li> <li>-"[Staff A1] grabbed him again and pulled him into the other room, I could hear the student crying."</li> <li>-Client #1 came back in the room and calmed down.</li> <li>-She stated she saw staff A1 pull an unknown client by his sweatshirt.</li> <li>-The client said the staff A1 had called his mother "ugly". Staff A1 was very dismissive of the child.</li> <li>-Client #2 was sitting on his feet at his desk.</li> <li>-Staff A1 told him to sit correctly.</li> <li>-"I saw [staff A1] pull him by his shirt onto the ground."</li> <li>-"[Staff A1] wrapped his arm around his chest, pressed against his neck and picked him up like that."</li> <li>-The QP wasn't in the room at the time and when she stepped back in, staff A1 relaxed his hold so it looked like he had his arm around him. She doesn't recall what happened after that.</li> <li>-She reported the incident to her principal and it went up the chain of command.</li> <li>-She got a call from the assistant supervisor of student support who told her that he had notified the police and DSS.</li> <li>-She got a call from the chief operating officer of the program saying this was not acceptable behavior from staff and they were</li> </ul>	V 110		

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V 110	<p>Continued From page 10</p> <p>looking into the situation.</p> <p>Interview on 3-21-19 with the facility therapist revealed:</p> <ul style="list-style-type: none"> <li>-He was only at the facility until about 10:30 am that day.</li> <li>-"That day [client #1] was struggling so I kinda hung with him."</li> <li>-"He was crying a lot that day, he was just saying he wanted to go home."</li> <li>-He did not see any restraints or any staff put their hands on the clients while he was there.</li> <li>-He did see some bruises on client #1 and when he observed the pictures taken that afternoon he stated they looked like the same bruises that he had that morning before the incident.</li> </ul> <p>Interview on 3-20-19 with the school resource officer revealed:</p> <ul style="list-style-type: none"> <li>-She got called into the incident on 3-14-19 to do a report.</li> <li>-An assistant principal from another school was in the room observing a child.</li> <li>-She said that one child got pulled by the arm.</li> <li>-"One report said leg, one said arm."</li> <li>-The staff said he pulled him by the arm, but only after the reports came out.</li> <li>-Staff A1 said that he did a small child hold, but no one else confirmed that.</li> <li>-The principal did take pictures on client #1's arm.</li> <li>-The assistant principal from the other school reported it to her supervisor immediately and it quickly went up the chain of command and their school was notified.</li> <li>-On 3-14-19 client #1's mother called and said she wanted to press charges.</li> </ul>	V 110		

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STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>MHL090-177</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING _____	(X3) DATE SURVEY COMPLETED  <b>03/27/2019</b>
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NAME OF PROVIDER OR SUPPLIER  <b>ALEXANDER YOUTH NETWORK-PORTER RIDGE</b>	STREET ADDRESS, CITY, STATE, ZIP CODE <b>2843 RIDGE RD, CLASSROOMS E-102 &amp; E-104 INDIAN TRAIL, NC 28079</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
V 110	<p>Continued From page 11</p> <ul style="list-style-type: none"> <li>-She was still doing her investigation.</li> <li>-The agency had already called CPS and reported the incident.</li> </ul> <p>Interview on 3-20-19 with the school principal revealed:</p> <ul style="list-style-type: none"> <li>-Client #1 was asleep when she went back to check on him.</li> <li>-Client #1 did have a mark on his arm, but it was hard to tell if it was a bruise, he was so fair skinned and had been laying on his arm while he slept.</li> <li>-Client #1 told her, "that man squeezed me arm too tight."</li> <li>-He said his arm did hurt.</li> </ul> <p>Interview on 3-15-19 with the class teacher revealed:</p> <ul style="list-style-type: none"> <li>-She had taken a sick day, so she had not been in the classroom to observe any incident.</li> <li>-"All I know is what I was told. [Program Director] said that the PRN (per requisite need) was aggressive with the students."</li> <li>-"He did mention [QP] called him and said to get back here (program)."</li> <li>-"An assistant principal from [county] public school, specifically [elementary school] was here for about 2 hours. She went back to her school and reported it."</li> <li>-"I heard, I don't know the whole thing, I heard he grabbed a student improperly."</li> <li>-The school resource officer showed up and took pictures and it was a very large red area.</li> </ul> <p>Interview on 3-15-19 with the Program Director revealed:</p> <ul style="list-style-type: none"> <li>-He had been at a training at the main campus when he got a text from the QP</li> <li>-He came back to the campus around 1:45 or</li> </ul>	V 110		

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V 110	<p>Continued From page 12</p> <p>2:00</p> <ul style="list-style-type: none"> <li>-He spoke with client #2 who said that staff A1 had grabbed him by the hood and pulled him down, but didn't mention being pulled up by his chest/neck.</li> <li>-He didn't get to speak with client #1 that day.</li> </ul> <p>Interview on 3-26-19 with substitute teacher revealed:</p> <ul style="list-style-type: none"> <li>-He was subbing that day for the regular teacher.</li> <li>-He didn't remember seeing a child being pulled from under a desk.</li> <li>-He does remember a child being picked up, but he didn't know the child's name.</li> <li>-"He bent down, put one arm around his waist and lifted him up."</li> <li>- " Whatever he (staff A1) did,that kid deserved it, he as acting up and needed to be straightened out."</li> </ul> <p>Client #6 refused to talk to surveyor</p> <p>Attempts on 3-15-18, 3-18-18 and 3-19-18 to contact Staff A1 were unsuccessful</p> <p>This deficiency is cross referenced into 10ANCAC 27G .0205 Assessment or Treatment/Habilitation Plans (V112) for a type B rule violation and must be corrected within 45 days.</p>	V 110		
V 112	<p>27G .0205 (C-D) Assessment/Treatment/Habilitation Plan</p> <p>10A NCAC 27G .0205 ASSESSMENT AND TREATMENT/HABILITATION OR SERVICE PLAN</p>	V 112		



Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:  <b>MHL090-177</b>	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____  B. WING _____	(X3) DATE SURVEY COMPLETED  <b>03/27/2019</b>
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V 112	<p>Continued From page 13</p> <p>(c) The plan shall be developed based on the assessment, and in partnership with the client or legally responsible person or both, within 30 days of admission for clients who are expected to receive services beyond 30 days.</p> <p>(d) The plan shall include:</p> <ol style="list-style-type: none"> <li>(1) client outcome(s) that are anticipated to be achieved by provision of the service and a projected date of achievement;</li> <li>(2) strategies;</li> <li>(3) staff responsible;</li> <li>(4) a schedule for review of the plan at least annually in consultation with the client or legally responsible person or both;</li> <li>(5) basis for evaluation or assessment of outcome achievement; and</li> <li>(6) written consent or agreement by the client or responsible party, or a written statement by the provider stating why such consent could not be obtained.</li> </ol> <p>This Rule is not met as evidenced by: Based on record reviews and interviews the facility failed to implement strategies designed to reduce behaviors, effecting 2 of 3 audited clients (clients #1 and #2). The findings are:</p> <p>Cross referenced: 10A NCAC 27G .0204 Training/Supervision of paraprofessionals (V110)</p> <p>Review on 3-21-19 of client #1's record revealed: -Admitted 3-6-19. -6 years old.</p>	V 112		

Division of Health Service Regulation

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V 112	<p>Continued From page 14</p> <p>-Diagnoses of: Disruptive Mood Dysregulation Disorder, Attention Deficit/Hyperactivity Disorder (AD/HD), Combined Presentation, severe, and rule out intermittent explosive disorder.</p> <p>-Review on 3-21-19 of Comprehensive Clinical Assessment dated 12-12-18 revealed; "has been kicked out of every daycare (5 total) due to displaying physical aggression and running away from daycare...teacher reported that every morning from 10:30-11:00 they 'start seeing behaviors'...mom reports that from 3:00-4:00 pm after school 'all h*** breaks loose'...all parties report that trying to calm him down by applying pressure such as a 'hug' sometimes helps...all parties report that [client #1] goes into an explosive rage and sometimes it might be for attention and sometimes he seems to have lost control."</p> <p>-Review on 3-21-19 of Person Centered Plan dated 12-12-18 and updated 2-26-19 revealed: "Likes individual attention...recommended for [provider] day treatment program...currently having extreme difficulty in the school setting...behaviors include temper tantrums that may lead to uncomformable physical aggression(yelling, swearing, biting, kicking, spitting, throwing objects, climbing furniture, eloping from classroom and punching walls)...currently on half day but he is still throwing his morning tantrum daily...goals include; increase self-management of impulsivity by utilizing coping skills, and will increase positive peer interaction."</p> <p>-Crisis plan dated 2-26-19 revealed: "client will refuse to transition or follow directions by hiding under his desk. Client will begin to turn red in the face and growl...he does not do well when sent to his room (at home) so we have him stand</p>	V 112		

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V 112	<p>Continued From page 15</p> <p>in the corner where we can see him...hugging him...allows client to isolate himself in a calming tent or separate him from group and allow him to let out his anger and frustration away from others."</p> <p>Review on 3-21-19 of client #2's record revealed:</p> <ul style="list-style-type: none"> <li>-Admitted 7-16-18.</li> <li>-7 years old.</li> <li>-Diagnoses of: AD/HD, Oppositional Defiance Disorder, and Intermittent Explosive Disorder</li> <li>-Comprehensive Clinical Assessment dated 6-15-18 revealed: "often fidgety and unable to sit still, has trouble with teachers...is easily distracted, is irritable and angry, has trouble concentrating...transitions are a big trigger for him...he bottles up his anger and is a ticking time bomb...recommended that he attends day treatment program."</li> <li>-Person Centered Plan dated 6-8-18 revealed: "fidgety, easily distracted update on 2-26-19...showing progress refraining from shutting down...improved communication...has not displayed any aggression to adults or peers...goals include; increase positive communication, will improve ability to accept feedback from peers and adults, will decrease aggressive behaviors and angry outbursts by utilizing coping strategies."</li> <li>-Crisis Plan dated 6-8-18 revealed: "triggers include; being around my friends "I hate my friends", being antagonized and made fun of my others, being asked to complete assignments of academic work, being told 'no', not getting his way, being given a consequence....how can others help; Remind client to use coping skills client is familiar with (ignoring behavior of others, using self control by making safe choices) if</li> </ul>	V 112		

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V 112	<p>Continued From page 16</p> <p>client is frustrated with one person, that person should not be the one to perform crisis intervention, give client space in room removed from the stimulating environment, help client count to 10, help client take deep breathes, let client talk with natural support over the phone, talk with client about triggers."</p> <p>Review on 3-20-19 of staff A1's personnel record revealed:                      -Hire date of 1-9-17.                      -Trainings include: TCI (Therapeutic Crisis Intervention) physical and written refresher 1-28-19, Person Centered Plan training 1-13-17, Person centered Thinking 3-1-18, client rights 1-10-17, clinical interventions 1-18-17, crisis response training 3-8-17.</p> <p>Interview on 3-18-19 with staff A2 revealed:                      -He works as needed for the provider.                      -He is usually at that facility 2 times a week.                      -When he comes to that facility he is trained on the individual clients, including their treatment plans and their interventions either by the program Director or the Qualified Professional (QP).                      -"At the end of the day, we do a debriefing." Talking about how the day went with the clients.</p> <p>Interview on 3-20-19 with the QP revealed:                      -Whenever there is a substitute they go over all the clients plans and interventions before they work with the clients.                      -Client #1 was new, so they had less information on him than some of the others.</p> <p>Interview on 3-22-19 with the program Director revealed:                      -When there is a substitute, they sit down</p>	V 112		

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V 112	<p>Continued From page 17</p> <p>and go over the clients, including their treatment plans and interventions. -They don't document this, but may in the future.</p> <p>Attempts on 3-15-18, 3-18-18 and 3-19-18 to contact Staff A1 were unsuccessful</p> <p>Reviewed on 3-25-19 of the Plan of Protection dated 3-25-19 and signed by the Executive Director revealed:</p> <p>What will you immediately do to correct the above violations in order to protect the clients from further risk or additional harm?</p> <p>"-On 3-13-19 Alexander Youth network suspended the employee pending the outcomes of external investigations and will ensure he has no contact with children. The incident occurred when the program manger was away from the program. -On 3-14-19 Chief Operating officer has informed management to schedule meeting after Day treatment hours, to minimize opportunities where program Managers aren't present in their programs when services are being provided. -On 3-21-19, the Chief Operating officer instructed the Day Treatment manager to minimize the amount of time the manager is out of the program by having required meetings after program hours, letting other staff transition children to school, etc. During an extended absence, another supervisor will be on-site periodically to ensure staff are meeting the client's needs as indicated in their treatment plans.</p>	V 112		



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V 112	<p>Continued From page 18</p> <p>-Effective 3-20-19 Alexander has implemented a protocol to ensure PRN coverage is covered by staff who are familiar with meeting the needs of day Treatment clients. Program Manager and Human resources will ensure the PRN coverage staff have a chance to familiarize themselves with the treatment plans of children before they work directly with them."</p> <p>Describe your plans to make sure the above happens.</p> <p>"Director of Human Capital will monitor PRN selection on-going. Program Manager will ensure there is an updated notebook of client's plans for PRN's to review in one centralized place prior to working in the program no later than 3-29-19. Program manager will have PRNs sign off on review of plans each time they work in the program. Program Manager will update as needed. Program Manager and HR (Human Resources) will monitor to ensure PRN staff are following protocol. Performance Improvement staff will review process during routine program reviews.</p> <p>While working as a substitute at a day treatment, Staff A1 inappropriately grabbed two clients. Client #1 was in crisis and staff A1 dd not try to calm client #1 by apply pressure such a hug or allow him to isolate himself, as stated in his crisis plans. Instead, he grabbed and dragged client #1 by his foot and then his arm. Client #2 was apparently not in crisis but refused to listen when told to sit correctly. Staff A1 did not try interventions listed in client #2's crisis plan such as reminding him of his coping skills, but instead, pulled him to the ground and then lifted him up by his chest/neck area. Staff A1 had been</p>	V 112		

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V 112	Continued From page 19  properly trained in TCI techniques and had been advised of client treatment plans and interventions. Staff A1 did not follow the clients crisis plans to try to de-escalate the clients behaviors when working with the them, this we detrimental to the health, safety and well being of the clients and constitutes a Type B rule violation. If the violation is not corrected within 45 days, an administrative penalty of 500.00 per day will be imposed for each day the facility is out of compliance beyond the 45th day.	V 112		

Provider License: MHL-090-177

Date Survey Completed: 3/27/19

APR 22 2019

Lic. & Cert. Section

**Summary of Incident:** Assistant Principal alleged that while she was doing an observation in the classroom, staff member [REDACTED] intervened in inappropriate ways with two AYN consumers. Assistant Principal that was observing also alleged that she saw red marks on the left arm of one consumer from staff grabbing him.

**ID Prefix Tag: v110 - 27G .0204 Training/Supervision Paraprofessionals**

**Correction:**

- On 3/13/2019 Alexander Youth Network suspended the employee pending the outcomes of external investigations and will ensure he has no contact with children. The incident occurred when the program manager was away from the program.
- On 3/14/2019 Chief Operating Officer has informed management to schedule meetings after Day Treatment hours, to minimize opportunities where Program Managers aren't present in their programs when services are being provided.
- On 3/21/2019, the Chief Operating Officer instructed the Day Treatment Manager to minimize the amount of time the manager is out of the program by having required meetings after program hours, letting other staff transition children to school etc. During an extended absence, another supervisor will be on-site periodically to ensure staff are meeting the client's needs as indicated in their treatment plans.

**Prevention:**

1. Measure: Program Manager will have MHC staff or EC teacher attend transition meetings for discharging consumers allowing the Program Manager to provide direct supervision to PRN staff while providing coverage in the program. AYN will share new transition coverage plan with Union County Schools Oversight Meeting on May 6, 2019.  
Responsibility: Program Manager will ensure compliance with new protocol.  
Frequency: Upcoming transition plans will be discussed during weekly team meetings. Once transition plans are determined staff will be assigned.  
Timeframe for completion: 5/31/19  
PDCA Date: 5/10/19
2. Measure: Identify manager, supervisor, or QP with tenure to provide support to the program in assigned manager's absence. Program Manager's absence to be approved by Chief Operating Officer.  
Responsibility: Program Manager will ensure coverage is identified prior to absence.  
Monitoring: Chief Operating Officer will monitor initial implementation. HR staff will monitor after the first 45 days of implementation.  
Timeframe for completion: 5/31/19  
PDCA date: 4/30/19

**DSHR CORRECTIVE ACTION PLAN- Porter Ridge Day Treatment**

Provider License: MHL-090-177

Date Survey Completed: 3/27/19

**ID Prefix Tag: V112 27G .0205 (C-D) Assessment, Treatment, Habilitation Plan**

**Correction:**

- Alexander has implemented a protocol to ensure PRN coverage is covered by staff who are familiar with meeting the needs of Day Treatment clients. Program Manager and Human Resources will ensure that PRN coverage staff have a chance to familiarize themselves with the treatment plans of children before they work directly with them.

**Prevention:**

1. Measure: Program Manager will ensure there is an updated notebook of clients' plans including CCP and photo for PRNs to review in one centralized place prior to working in the program.  
Responsibility: Program Manager will have PRNs sign off on review of plans each time they work in the program.  
Monitoring: The Program Manager will monitor weekly initially to ensure PRN staff are following protocol. Performance Improvement staff will review process during routine quarterly program reviews.  
Timeframe for Completion: 5/31/19  
PDCA Date: 4/30/19
2. Measure: Monitoring of PRN selection by Director of Human Capital. When an employee receives coaching related to an RI or an inappropriate interaction with a client (i.e. power struggles, inappropriate use of language, or lack of engagement) we will place a temporary restriction on coverage outside of their program until an action plan- outlined in the corrective action- is completed.  
Responsibility: Director of Human Capital, or designee  
Monitor: During the first 45 days, the Director of Human Capital or designee will monitor compliance. After the first 45 days, the assigned HR representative will continue to monitor for compliance.  
Timeframe for completion: 5/31/19  
PDCA Date: 4/30/19

*Judy Plummer, Vice President Performance Improvement 4/18/19*