

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: MHL014-080	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED C 06/16/2020
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NAME OF PROVIDER OR SUPPLIER CALDWELL DAY TREATMENT	STREET ADDRESS, CITY, STATE, ZIP CODE 1889 DUDLEY SHOALS ROAD GRANITE FALLS, NC 28630
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V 000	<p>INITIAL COMMENTS</p> <p>A complaint survey was completed on 6/16/20. The complaint was substantiated (intake #NC00165106). A deficiency was 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>	V 000		
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> <ol style="list-style-type: none"> (1) technical knowledge; (2) cultural awareness; (3) analytical skills; (4) decision-making; (5) interpersonal skills; (6) communication skills; and (7) clinical skills. <p>(f) The governing body for each facility shall develop and implement policies and procedures for the initiation of the individualized supervision</p>	V 110	<p style="color: blue; font-size: 1.2em;">DHSR-Mental Health</p> <p style="color: red; font-size: 1.2em;">JUL 07 2020</p> <p style="color: blue; font-size: 1.2em;">Lic. & Cert. Section</p>	

Division of Health Service Regulation
LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

Stacy Mer **BSQP**

6/26/2020

TITLE

(X6) DATE

Division of Health Service Regulation

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V 110	<p>Continued From page 1 plan upon hiring each paraprofessional.</p> <p>This Rule is not met as evidenced by: Based on record review and interview, the facility failed to ensure 1 of 1 former paraprofessional staff (Former Staff #1) maintained their professional boundaries required for the population served. The findings are:</p> <p>Review on 5/19/20 of FC #1's record revealed: -he was 16 years old and was admitted on 7/16/19; -his diagnoses included Attention-Deficit Hyperactivity Disorder (ADHD), Encounter for mental health services for perpetrator of non-parental child abuse, and Intermittent Explosive Disorder; -his 1/2/20 treatment plan included work on learning and practicing appropriate boundaries with a day treatment staff strategy to provide him with a therapeutic relationship that supported his treatment plan; -he was discharged on 1/6/20.</p> <p>Review on 5/22/20 of Current Client #9's record revealed: -he was 14 years old and was admitted on 2/7/19; -his diagnoses included Oppositional Defiant Disorder (ODD), Conduct Disorder, ADHD, Persistent (Chronic) Motor or Vocal Tic Disorder, Adjustment Disorder with Depressed Mood; -his 1/22/20 treatment plan included work on learning and practicing appropriate boundaries with a day treatment staff strategy to provide him</p>	V 110	<p>An updated professional boundaries training will be developed and facilitated upon hire and annually with Code of Ethics during the month or hire. The training coordinator will proceed to schedule staff for the updated training upon completion. Training coordinator will use a spreadsheet to keep up with when to schedule staff for the annual training quarterly.</p>	8/10/2020

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V 110	<p>Continued From page 2</p> <p>with a therapeutic relationship that supported his treatment plan;</p> <p>Review on 5/20/20 of Former Staff (FS #1)'s personnel record revealed:</p> <ul style="list-style-type: none"> -she was hired 3/11/19 in a paraprofessional position as a day treatment youth counselor; -her training for her position included: <ul style="list-style-type: none"> -3/11/19 on "Supervision and Management of Adolescents with Problem Sexual Behavior and Specific Population Training;" -4/9/19 and 12/2/19 on "Counselor's Orientation Manual Training;" -10/30/19 retraining on code of ethics and professional boundaries; -her employment ended on 2/28/20 due to unsatisfactory job performance; -prior to 2/28/20, she received verbal and disciplinary actions on: 10/15/19 (verbal) 10/28/19 (verbal and written supervision on professional boundaries), 12/31/19 (verbal and written supervision on professional boundaries), and 2/24/20 (final disciplinary warning); -her 2nd verbal and written warning on 12/31/19 regarded her problems with professional boundaries; -her final and written disciplinary notice dated 2/24/20 indicated she had problems with professional boundaries during the months of 10/2019, 11/2019, 12/2019, 1/2020 and 2/2020. <p>Review on 5/20/20 of a written statement of a meeting, which was dated 2/20/20, and included Client #9 and the Program Director revealed:</p> <ul style="list-style-type: none"> -Client #9 made statements about his interactions with FS #1 which included: <ul style="list-style-type: none"> -they hugged on 2/17/20 and FS #1 asked him on 2/18/20 to keep their hugging a secret and not to tell the Lead Case Manager (CM)/Qualified Professional (QP), who was her supervisor; 	V 110		

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V 110	<p>Continued From page 3</p> <ul style="list-style-type: none"> -no re-direction when he sat close to her; -she followed his requests to take his hoodie (sweatshirt), underwear and socks to her home to wash; -she allowed him to change clothes in the closet of one of the classrooms; -has brought him clothing items (shoe strings) she had not gotten for other clients; -Client #9 stated these interactions with FS #1 started after another client, who was not identified, left the day treatment program. <p>Review on 5/20/20 of written handwritten notes that were faxed from the licensee on 5/19/20 revealed:</p> <ul style="list-style-type: none"> -a 2/24/20 entry indicated a meeting was held with FS #1 and included the Program Director, the Day Treatment Coordinator, and Human Resources Director; -this entry indicated that FS #1 admitted to actions that included allowing Client #9 to change his clothes at day treatment and an admission to having took and washed Client #9's and FC #2's clothes at her home. <p>Review on 5/20/20 of a Level 1 written incident report for FC #1 revealed:</p> <ul style="list-style-type: none"> -the report was completed by FC #1's residential Home Manager and signed by her on 2/29/20; -the type of report was identified as "inappropriate boundaries;" -FC #1's mother disclosed in a 2/14/20 CFT (Child and Family Team meeting) that FC #1 had been using her cell phone since 12/2019 and was texting with an an adult (FS #1) that the mother believed was being a support for FC #1 in his life but the texting gave her "red flags." <p>Interview on 6/11/20 with FC #1 revealed:</p> <ul style="list-style-type: none"> -when he first started the program in 7/2019, FS 	V 110		

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V 110	<p>Continued From page 4</p> <p>#1 approached him, said he looked like he needed a hug, opened her arms and hugged him; -she told him not to tell anyone about their hug although he knew hugging was wrong; -she bought him 2 "hoodies" (sweatshirt with hoods), 3 pairs of pants, 1 pair of shoes, and several packs of gum; -he and FS #1 "conversed frequently" through written notes, in which he wrote such statements as "I love you" and FS #1 wrote him notes that she was thinking about him; -he was instructed by FS #1 to tear up and throw away her notes, which he did in the restroom after having read them; -he had an "unhealthy relationship" with FS #1, which continued after he left the day treatment program and he and FS #1 communicated by text messages and calls to one another; -he used his mother's cell phone for the text messages and calls with FS #1; -his mother aware of his communications with FS #1; -his mother disclosed his text messaging and calls with FS #1 to his probation officer which led to consequences for his behavior; -he has had no further contact with FS #1 since this disclosure.</p> <p>Interview on 6/11/20 with Client #9 revealed: -he knew FS #1 as a former staff in his day treatment program; -she "did a lot of nice stuff for us kids," (brought in doughnuts and supplies (pencils) into the classroom); -she did a favor for him by taking his hoodie to her home and washed it for him; -she hugged him once and she told him not to tell anyone; -she did not want him to tell about the hug so he would not get into trouble;</p>	V 110		

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V 110	<p>Continued From page 5</p> <p>-his treatment included work on developing boundaries, healthy relationships, and solving problems.</p> <p>Interview on 6/12/20 with FS #1 revealed:</p> <p>-she worked as a day treatment youth counselor (a paraprofessional position) at the day treatment program from 3/2019 until 2/21/20;</p> <p>-her job duties included to help teach life skills to the day treatment program clients and to be a support system to the clients;</p> <p>-FC #1 wrote and gave her notes that said he was thinking about her and he loved her but she did not think about the notes as being romantic;</p> <p>-after FC #1 left a note on her desk one time that said he loved her, a meeting was held the next week with her, her supervisor (the Lead Case Manager (CM)/Qualified Professional (QP), the Quality Improvement (QI) Director and 2 therapists;</p> <p>-she was told at this meeting by her supervisor she had boundary issues with "some" clients (FC #1), she was told not to bring in extra snacks and supplies into the classroom anymore, and she was told not to allow clients to move their desks and chairs close to her desk;</p> <p>-she did not clearly understand from this meeting what constituted a professional boundary issue;</p> <p>-she perceived herself as a support system for the clients;</p> <p>-she denied she crossed a professional boundary with any client;</p> <p>-she did not perceive hugging a client as a crossed professional boundary;</p> <p>-she acknowledged she provided "extra support" for the clients who lived in group homes (she bought clothing items and gum for FC #1 and admitted Client #9's sweatshirt to her home for washing);</p> <p>-after she washed Client #9's sweatshirt, she was</p>	V 110		

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V 110	<p>Continued From page 6</p> <p>told by the Program Director she could not do this type of thing for the type of clients served by the program;</p> <ul style="list-style-type: none"> -she went through retraining that included a review of the program's orientation handbook; -she had supervision meetings with the Lead CM/QP around boundary issues while other staff (QPs) allowed the clients to move their desks closer to them and brought in snacks; -FC #1's mother had encouraged her to continue to be a support system for him the reason she texted and called him; -she received verbal and written disciplinary actions for unsatisfactory job performance and left her job on 2/21/20. <p>Interview on 5/22/20 with the Lead CM/QP revealed:</p> <ul style="list-style-type: none"> -she directly supervised FS #1; -her supervision usually occurred through individual clinical supervision and staff meetings on a monthly basis; -she had meetings with FS #1 that included the QI Director and therapists to discuss staff concerns about her (FS #1's) boundary issues (concerns included her not communicating with staff about FC #1's notes, her buying items for clients that were not pre-approved, and she allowed clients to gather around and sit on her desk); -she counseled FS #1 in individual supervision about working on her boundary issues and made "blanket statements" in staff meetings on boundaries as a reminder to all staff; -FS #1 did not believe she had a problem or an issue with boundaries in her work with clients; -other day treatment staff kept her informed of their concerns about FS #1's behaviors in the program that they perceived crossed professional boundaries and she followed up with FS #1 about 	V 110		

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STREET ADDRESS, CITY, STATE, ZIP CODE
**1889 DUDLEY SHOALS ROAD
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V 110	<p>Continued From page 7</p> <p>these concerns and disciplinary actions were issued;</p> <p>-she was not aware until after FC #1's discharge from the program that he and FS #1 had been texting and calling one another.</p> <p>Interview on 6/16/20 with a therapist for FC #1 and Client #9 revealed:</p> <p>-she had met in individual sessions with FC #1 and Client #9 and processed with them about their interactions with FS #1;</p> <p>-she did not believe the separate interactions FC #1 and Client #9 had with FS #1 created significant setbacks in their individual treatment work or caused either of them distress;</p> <p>-although FS #1 received retraining on code of ethics and on professional boundaries, she continued to have boundary issues with clients.</p> <p>Interviews on 5/18/20 and 6/16/20 with the Quality Improvement Director revealed:</p> <p>-5/18/20, FS #1's employment ended on 2/28/20 for unsatisfactory job performance, which included the knowledge on 2/28/20 of FS #1 texting and calling a client (FC #1) and his mother after his discharge from the program;</p> <p>-The Program Director handled the personnel issue that concerned FS #1;</p> <p>-6/16/20, FS #1's retraining on professional boundaries was clear in what constituted professional boundaries and which included no physical touch of clients.</p> <p>Interview on 5/19/20 with the Program Director revealed:</p> <p>-FS #1 was "too friendly" and "too chummy" with FC #1;</p> <p>-Her job performance was documented for improper boundary issues;</p> <p>-FS #1 showed favoritism toward clients (FC #1</p>	V 110		

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V 110	Continued From page 8 and Client #9); -FS #1's favoritism ranged from having been more caring and attentive than she was expected, and buying items like gum, drinks and washing clothes for "some" (FC #, FC #2 and Client #9) clients and not other clients; -She and staff were not aware of FS #1's continued communication with FC #1 until his mother brought up about their texting and calling from her cell phone in a 2/2020 meeting with FS #1's residential Home Manager.	V 110		