A complaint and follow up survey was completed on January 8, 2021. The complaints were unsubstantiated (intake #NC00172633 & #NC00172629). A deficiency was cited.

This facility is licensed for the following service category: 10A NCAC 27G .1900 Psychiatric Residential Treatment for Children and Adolescents.

10A NCAC 27G .0201 GOVERNING BODY POLICIES
(a) The governing body responsible for each facility or service shall develop and implement written policies for the following:
(1) delegation of management authority for the operation of the facility and services;
(2) criteria for admission;
(3) criteria for discharge;
(4) admission assessments, including:
(A) who will perform the assessment; and
(B) time frames for completing assessment.
(5) client record management, including:
(A) persons authorized to document;
(B) transporting records;
(C) safeguard of records against loss, tampering, defacement or use by unauthorized persons;
(D) assurance of record accessibility to authorized users at all times; and
(E) assurance of confidentiality of records.
(6) screenings, which shall include:
(A) an assessment of the individual's presenting problem or need;
(B) an assessment of whether or not the facility can provide services to address the individual's needs; and
(C) the disposition, including referrals and
**STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION**

<table>
<thead>
<tr>
<th>(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:</th>
<th>(X2) MULTIPLE CONSTRUCTION</th>
<th>(X3) DATE SURVEY COMPLETED</th>
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<tbody>
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<td>MHL054-126</td>
<td></td>
<td>01/08/2021</td>
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**NAME OF PROVIDER OR SUPPLIER**

**OAKWOOD FACILITY**

**STREET ADDRESS, CITY, STATE, ZIP CODE**

2002 D & E SHACKLEFORD ROAD

KINSTON, NC 28504

<table>
<thead>
<tr>
<th>(X4) ID PREFIX TAG</th>
<th>SUMMARY STATEMENT OF DEFICIENCIES</th>
<th>ID PREFIX TAG</th>
<th>PROVIDER'S PLAN OF CORRECTION</th>
<th>(X5) COMPLETE DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>V 105</td>
<td>Continued From page 1 recommendations; (7) quality assurance and quality improvement activities, including: (A) composition and activities of a quality assurance and quality improvement committee; (B) written quality assurance and quality improvement plan; (C) methods for monitoring and evaluating the quality and appropriateness of client care, including delineation of client outcomes and utilization of services; (D) professional or clinical supervision, including a requirement that staff who are not qualified professionals and provide direct client services shall be supervised by a qualified professional in that area of service; (E) strategies for improving client care; (F) review of staff qualifications and a determination made to grant treatment/habilitation privileges; (G) review of all fatalities of active clients who were being served in area-operated or contracted residential programs at the time of death; (H) adoption of standards that assure operational and programmatic performance meeting applicable standards of practice. For this purpose, “applicable standards of practice” means a level of competence established with reference to the prevailing and accepted methods, and the degree of knowledge, skill and care exercised by other practitioners in the field;</td>
<td>V 105</td>
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[Division of Health Service Regulation]

STATE FORM 1MEK11

If continuation sheet 2 of 4
This Rule is not met as evidenced by:
Based on record reviews and interview, the facility failed to implement written standards that assured operational and programmatic performance meeting applicable standards of practice to report serious occurrences to the State designated Protection and Advocacy system. The findings are:

Review on 01/05/21 of the LME-MCO (Local Management Entity-Managed Care Organization) communication Bulletin J287, "Clarifying the Reporting Standards for Psychiatric Residential Treatment Facilities (PRTF)" dated 5/11/18 revealed:
- "...Serious Occurrences are any event that result in Restraint or Seclusion, Resident's Death, Any Serious Injury to a Resident, and a Resident's Suicide Attempt. NC § 483.374 specifies that facilities must report each Serious Occurrence to both the State Medicaid agency (Division of Medical Assistance - DMA) and, unless prohibited by State law, the State-designated Protection and Advocacy system (Disability Rights North Carolina - DRNC)."
- "DRNC reports are to be faxed to (919) 856-2244."

Review on 01/07/21 of facility restrictive intervention records from 12/01/20 thru 1/05/21 revealed no serious occurrences involving seclusion or restraint had been reported to DRNC as required for the following clients:
- Client #1 - Restraint on 12/04/20 and seclusion on 12/06/20.
- Client #4 - Restraint on 12/07/20, 12/10/20 and 12/13/20.
Review on 1/05/21 of the facility plan of correction for survey completed 10/23/20 revealed:
- "[Facility] will submit written correspondence to [Acting Chief] Acting Chief, Division of Health Service Regulation, Mental Health Licensure & Certification Section requesting an informal meeting to discuss the interpretation of the conditions of participation, LME-MCO Communication Bulletin(g) J287 in comparison to related [Facility] policies. This letter will be written by [Facility] CEO. A copy of the letter as well as outcomes from the proposed meeting will be maintained in the Program Director's office."

Interview on 1/05/21 the Program Director stated:
- An attempt to gain clarity on the definition of a serious occurrence was made on 11/20/20 with a request for an informal meeting.

[This deficiency constitutes a re-cited deficiency and must be corrected with 30 days.]