

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: MHL060-969	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING _____	(X3) DATE SURVEY COMPLETED 01/13/2021
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NAME OF PROVIDER OR SUPPLIER ALEXANDER YOUTH NETWORK - OAK UNIT PRTF	STREET ADDRESS, CITY, STATE, ZIP CODE 6220-A THERMAL ROAD CHARLOTTE, NC 28211
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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 000	<p>INITIAL COMMENTS</p> <p>A complaint survey was completed on 1/13/21. The complaint was unsubstantiated (Intake #NC172874). A deficiency was cited.</p> <p>This facility is licensed for the following service category: 10A NCAC 27G .1900 Psychiatric Residential Treatment Facility</p>	V 000		
V 537	<p>27E .0108 Client Rights - Training in Sec Rest & ITO</p> <p>10A NCAC 27E .0108 TRAINING IN SECLUSION, PHYSICAL RESTRAINT AND ISOLATION TIME-OUT</p> <p>(a) Seclusion, physical restraint and isolation time-out may be employed only by staff who have been trained and have demonstrated competence in the proper use of and alternatives to these procedures. Facilities shall ensure that staff authorized to employ and terminate these procedures are retrained and have demonstrated competence at least annually.</p> <p>(b) Prior to providing direct care to people with disabilities whose treatment/habilitation plan includes restrictive interventions, staff including service providers, employees, students or volunteers shall complete training in the use of seclusion, physical restraint and isolation time-out and shall not use these interventions until the training is completed and competence is demonstrated.</p> <p>(c) A pre-requisite for taking this training is demonstrating competence by completion of training in preventing, reducing and eliminating the need for restrictive interventions.</p> <p>(d) The training shall be competency-based, include measurable learning objectives, measurable testing (written and by observation of behavior) on those objectives and measurable</p>	V 537		

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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE _____ TITLE _____ (X6) DATE _____

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V 537	<p>Continued From page 1</p> <p>methods to determine passing or failing the course.</p> <p>(e) Formal refresher training must be completed by each service provider periodically (minimum annually).</p> <p>(f) Content of the training that the service provider plans to employ must be approved by the Division of MH/DD/SAS pursuant to Paragraph (g) of this Rule.</p> <p>(g) Acceptable training programs shall include, but are not limited to, presentation of:</p> <p>(1) refresher information on alternatives to the use of restrictive interventions;</p> <p>(2) guidelines on when to intervene (understanding imminent danger to self and others);</p> <p>(3) emphasis on safety and respect for the rights and dignity of all persons involved (using concepts of least restrictive interventions and incremental steps in an intervention);</p> <p>(4) strategies for the safe implementation of restrictive interventions;</p> <p>(5) the use of emergency safety interventions which include continuous assessment and monitoring of the physical and psychological well-being of the client and the safe use of restraint throughout the duration of the restrictive intervention;</p> <p>(6) prohibited procedures;</p> <p>(7) debriefing strategies, including their importance and purpose; and</p> <p>(8) documentation methods/procedures.</p> <p>(h) Service providers shall maintain documentation of initial and refresher training for at least three years.</p> <p>(1) Documentation shall include:</p> <p>(A) who participated in the training and the outcomes (pass/fail);</p> <p>(B) when and where they attended; and</p>	V 537		

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V 537	<p>Continued From page 2</p> <p>(C) instructor's name.</p> <p>(2) The Division of MH/DD/SAS may review/request this documentation at any time.</p> <p>(i) Instructor Qualification and Training Requirements:</p> <p>(1) Trainers shall demonstrate competence by scoring 100% on testing in a training program aimed at preventing, reducing and eliminating the need for restrictive interventions.</p> <p>(2) Trainers shall demonstrate competence by scoring 100% on testing in a training program teaching the use of seclusion, physical restraint and isolation time-out.</p> <p>(3) Trainers shall demonstrate competence by scoring a passing grade on testing in an instructor training program.</p> <p>(4) The training shall be competency-based, include measurable learning objectives, measurable testing (written and by observation of behavior) on those objectives and measurable methods to determine passing or failing the course.</p> <p>(5) The content of the instructor training the service provider plans to employ shall be approved by the Division of MH/DD/SAS pursuant to Subparagraph (j)(6) of this Rule.</p> <p>(6) Acceptable instructor training programs shall include, but not be limited to, presentation of:</p> <p>(A) understanding the adult learner;</p> <p>(B) methods for teaching content of the course;</p> <p>(C) evaluation of trainee performance; and</p> <p>(D) documentation procedures.</p> <p>(7) Trainers shall be retrained at least annually and demonstrate competence in the use of seclusion, physical restraint and isolation time-out, as specified in Paragraph (a) of this Rule.</p>	V 537		

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V 537	<p>Continued From page 3</p> <p>(8) Trainers shall be currently trained in CPR.</p> <p>(9) Trainers shall have coached experience in teaching the use of restrictive interventions at least two times with a positive review by the coach.</p> <p>(10) Trainers shall teach a program on the use of restrictive interventions at least once annually.</p> <p>(11) Trainers shall complete a refresher instructor training at least every two years.</p> <p>(k) Service providers shall maintain documentation of initial and refresher instructor training for at least three years.</p> <p>(1) Documentation shall include:</p> <p>(A) who participated in the training and the outcome (pass/fail);</p> <p>(B) when and where they attended; and</p> <p>(C) instructor's name.</p> <p>(2) The Division of MH/DD/SAS may review/request this documentation at any time.</p> <p>(l) Qualifications of Coaches:</p> <p>(1) Coaches shall meet all preparation requirements as a trainer.</p> <p>(2) Coaches shall teach at least three times, the course which is being coached.</p> <p>(3) Coaches shall demonstrate competence by completion of coaching or train-the-trainer instruction.</p> <p>(m) Documentation shall be the same preparation as for trainers.</p> <p> </p> <p>This Rule is not met as evidenced by: Based on records review, observations and interviews, the facility failed to ensure staff demonstrated competency in restrictive</p>	V 537		

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V 537	<p>Continued From page 4</p> <p>interventions for 1 of 5 staff (#1). The findings are:</p> <p>Review on 1/7/21 of staff #1's personnel record revealed:</p> <ul style="list-style-type: none"> -hire date of 5/11/15; -job title of Behavioral Health Counselor; -completed training in TCI(Therapeutic Crisis Intervention) dated 1/20/20. <p>Interview on 1/5/21 and 1/6/21 with clients #1, #2, #3, #4 and #5 revealed:</p> <ul style="list-style-type: none"> -staff #1 bends their wrist; -happens when they act out. <p>Interview on 1/12/21 with staff #4 revealed:</p> <ul style="list-style-type: none"> -only time a staff grabbed a client's wrist was to do a small child restraint, -have to grab the wrist to do a wrap; -do not grab a client's wrist if not going to do a restraint; -for a "moving hold" get the client by the forearm and keep close to your waist; -walk the child from one area to another; -this was done to move a child who was not at baseline to a controlled environment. <p>Interview on 1/12/21 with staff #5 revealed:</p> <ul style="list-style-type: none"> -trained in TCI; -if doing a moving hold, intertwine your arms with theirs and hold their arms; -holding a client by the wrist is not TCI; -to move a client from one area to another, one staff on one side and another staff on other side of the client. <p>Interview on 1/12/21 with staff #1 revealed:</p> <ul style="list-style-type: none"> -clients go outside, throw things and become aggressive; -he will grab client's hand/wrist; 	V 537		

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V 537	<p>Continued From page 5</p> <ul style="list-style-type: none"> -clients twirl around and he lets go; -tries to keep clients from hitting themselves; -clients fall out and are yanking away; -clients try to elope; -hold their hands to keep them from running and getting hurt; -clients fall to the ground, their wrist is bent as they are trying to yank away. <p>Observation on 1/21/21 at 12:05pm revealed:</p> <ul style="list-style-type: none"> -staff #1 demonstrated how he gets clients by their wrist; -they twist/turn/yank and client's wrist bends while doing this; -clients fall to the floor; -clients twisting their arms around. <p>Interview on 1/21/21 with the Vice President of Program Operations revealed:</p> <ul style="list-style-type: none"> -certified TCI instructor; -no restraint in TCI has bending of the wrist of a client; -if a staff has a hold of clients and they pull back, let client go or do a TCI hold; -if staff can't get the client to calm down, do restraint or a moving hold; -do not restrict movement; -in the moving hold, staff does not grab the client's wrist, -staff grab the client above the wrist; -need to retrain staff #1 in restrictive movements. 	V 537		